BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY
FEBRUARY 27-28, 2020

THURSDAY, FEBRUARY 27, 2020

Meters will be bagged at the Alumni Memorial Bell Tower

8:00 – 10:00 a.m.  Board of Trustees of the Endowment Fund
                  Winslow Hall Conference Room
                  Tom Cabaniss, Chair; Andrews

10:15-11:30 a.m.  Buildings and Property Committee
                  Winslow Hall Conference Room
                  Jimmy Clark, Chair
                  Andrews, Carter, Harrell, Poole, Prestage

1:15 – 3:00 p.m.  Advancement and External Affairs
                  Chancellor’s Conference Room, Holladay Hall
                  Chip Andrews, Chair
                  Goodnight, Stack, Murphy, Washington, Weisiger

1:15 – 3:00 p.m.  University Affairs Committee
                  Winslow Hall Conference Room
                  Stan Kelly, Chair
                  Carter, Clark, Harrell, Poole, Prestage

3:00 – 3:15 p.m.  Break

3:15 – 4:45 p.m.  Audit, Risk Management and Finance Committee
                  Winslow Hall Conference Room
                  Dewayne Washington, Acting Chair
                  Goodnight, Kelly, Stack, Murphy
BoD Agenda FRIDAY, FEBRUARY 28, 2020

8:30 – 9:15 a.m.  Dean’s Briefing
                  Chris McGahan, Dean
                  College of Sciences

FULL BOARD MEETING
9:00 a.m.  Call to Order and Ethics Statement
           Tom Cabaniss, Chair of the Board

Roll Call

Approval of Minutes
   — November 22, 2019 Meeting of the Full Board
   — November 22, 2019 Closed Session of Full Board

Chair’s Report
   Chair Tom Cabaniss
   — Bylaws Revision
   — Trustee Resolution
   — Endowment Board February 27 Meeting Report
   — Update of Activities and Topics of Interest to the Board

Chancellor’s Report
   Chancellor Randy Woodson

COMMITTEE REPORTS:
Audit, Risk Management and Finance Committee
   Dewayne Washington, Acting Chair
   On the Agenda: Informational Reports and Closed Session
   — Internal Audit Update
   — Legislative, Budget and Finance Update
   — Annual Report on Endowment and Investments
   — Intercollegiate Athletics Financial and Budget Review
   — Enterprise Risk Management and Compliance Update
      — IT Security Update
   — Closed Session

.Requires full board approval.
Buildings and Property Committee

Jimmy Clark, Chair

On the Agenda: Board, Committee Approvals; Informational Reports

— Action Items
  — Property Matters
    — Acquisition by Lease: NC State University requests permission to acquire strategically located space by lease on behalf of PCOM, Jenkins MBA Program – Research Triangle Park Satellite location.
    — Acquisition by Lease: NC State University requests permission to acquire by lease three floors in the University Towers residence hall for the 2020-2021 academic year.

— Designer Selections
  — Athletics Development Plan
  — Greek Village Phase IV Construction Manager at Risk
  — McKimmon Center Restroom Renovations
  — Approval of designer selections less than $1M

— Acceptance of Completed Buildings and Projects
— Non-appropriated Capital Projects Update
 — Site and Plan Approval
  — Approval of Plans and Specifications of formal projects less than $2M

— Informational Reports
  — Capital Projects Update
  — Physical Master Plan
  — Status of Projects in Planning

University Advancement Committee

Chip Andrews, Chair

On the Agenda: Board, Committee Approvals; Informational Reports

— Informational Reports and Closed Session
  — University Advancement Update
  — Fundraising and Campaign Report
  — Major Gifts, Annual Giving, Gift Planning, Day of Giving
  — Naming Opportunity Proposals

— Closed Session

University Affairs Committee

Stan Kelly, Chair

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

— Consent Agenda

_requires full board approval.
— Informational Reports
  — Annual Report on Intercollegiate Athletics
  — Graduation Report
  — Student Body President Report
  — Provost Update
  — Faculty Senate Report
— Topic of Interest / Committee Discussion
  — Centers and Institutes Overview

☑  — Closed Session

☐ Chair of the Staff Senate Report  
   Janice Sitzes, Chair

☐ Items of Interest to Members of the Board

☐ Motion To Go into Closed Session

☑  — CLOSED SESSION

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

☐ Adjourn

✓ Requires full board approval.
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, November 22, 2019.

Members present:

Thomas E. Cabaniss, Chair
Robert F. Andrews III
Jimmy D. Clark
Ann B. Goodnight
James A. Harrell, III
Stanhope A. Kelly
Wendell H. Murphy
Ven Poole
Ronald W. Prestage, DVM
Edwin J. Stack, III
Dewayne N. Washington
Edward I. Weisiger, Jr.
Emma Carter, ex officio

Chair Tom Cabaniss called the meeting to order at 9:30 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. He also reminded those in attendance that while the Full Board meeting is a public meeting, it is not a meeting for public comment and only those on the agenda will be permitted to speak. He 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. Clark made the motion, seconded by Mrs. Goodnight, to approve the open and closed session minutes of the September 13, 2019 meeting of the full board. The motion passed.

CHAIR’S REPORT- TOM CABANISS
Chair Cabaniss called upon Randy Ramsey, NC State’s Board of Governors Liaison, to provide any updates. Randy Ramsey shared that the search for a new president of the University of North Carolina System is underway. Mr. Ramsey is serving as co-chair for the search with Wendy Murphy and shared that they have been traveling across the state to gather feedback and input that they will use to help guide the search. The search committee is scheduled to meet on December 4, 2019 and post an official profile for the job. The Board of Governors is also in the process of conducting searches for Chancellors at five of the UNC System’s seventeen institutions.

Chair Cabaniss shared some highlights with the Full Board about his experiences as Chair since the last meeting. He attended the Board of Visitors meeting in October, where he provided an update on the activities of the Board of Trustees. He acknowledged the outstanding work that the Board of Visitors do for NC State as supporters and advocates and encouraged Trustees to connect with members of the group when possible.

Chair Cabaniss thanked the Trustees for their participation in the UNC System’s workshop for Board of Trustees at all campuses. He cited the meeting as being well organized, informative, and a valuable
learning experience. He also thanked the Trustees for their involvement in Red and White Week activities and shared his hopes that they would look forward to participating in similar events in the future.

Chair Cabaniss reminded Trustees that NC State’s Fall Commencement Ceremonies will be held on Thursday, December 19, 2019 in PNC Arena. Interim President of the UNC System Dr. Bill Roper will serve as the university’s commencement speaker. Curtis Fentress, a world-famous architect and alumnus of NC State, will receive an Honorary Degree from NC State.

**CHANCELLOR’S REPORT – RANDY WOODSON**

Chancellor Woodson briefly addressed the National Chapter of Turning Point USA’s visit to campus and resulting protest organized by the “No Hate at NC State” Coalition. He thanked University Police for their diligence in making sure both groups could exercise their rights to free speech in a peaceful and respectful manner and Student Government leadership for their role in assisting.

Chancellor Woodson then provided a recap of Red and White Week, noting that the celebrations continue to grow each year as more people connect with the university. During Red and White Night, the Chancellor announced that NC State has exceeded the $1.2 billion goal for the Think and Do the Extraordinary Campaign, with a total of $1,617,927,266 at the time of the announcement. The Chancellor thanked the Trustees for their involvement in Red and White Week.

Chancellor Woodson shared that NC State was awarded the 2019 Innovation & Economic Prosperity Economic Engagement Connections Award from the Association of Public and Land Grant Universities (APLU). The Chancellor and NC State leadership traveled to San Diego for the APLU’s annual meeting to accept the award. It is one of the top three awards given by the APLU and recognizes overall excellence in economic engagement. NC State’s nomination packet highlighted the work of three programs at the university: the Entrepreneurship Initiative, the Northeast Leadership Academy, and the Biomanufacturing Training and Education Center. The UNC System performed well, as UNC-Charlotte received one of the other two top awards.

Chancellor Woodson highlighted that NC State’s graduation and completion rates continue to rise. More students completing their degrees on time means that they are graduating with less debt and joining the workforce sooner, resulting in lowered economic struggles for recent graduates overall.

**COMMITTEE REPORTS**

**AUDIT, RISK MANAGEMENT AND FINANCE COMMITTEE – CHAIR ED WEISIGER, JR**

Mr. Weisiger reported that the Committee met and heard an update on the university’s financial performance and highlights for fiscal year 2019. The Committee also heard from State Auditor Beth Wood, who discussed the audit engagement for fiscal year 2019. NC State received an unmodified audit opinion, and reported no deficiencies in internal controls. The auditor highlighted the cooperation of University staff and the significance of there being no reportable findings.

The Committee heard an update on Internal Audit activities since the last meeting, including a final report on a completed audit, as well as an update about recent legislative and state budget activity. The Committee also received updates on financial results for the first quarter of the current fiscal year, a report on the Clery Act, and an overview on campus security. The Clery Report is published yearly, posted to the university website and was in your pre-materials. The campus security report included information on a number of areas including campus demographics, the Security Master Plan, the University Police department, violence prevention and threat management.

The committee also heard an update on the search for the Chief Compliance, Enterprise Risk Management, and Ethics Officer and a new NC State Compliance and Integrity Compliance Program Plan.
BUILDINGS AND PROPERTY COMMITTEE - CHAIR JIMMY CLARK

Mr. Clark reported that the Buildings and Property Committee reviewed and approved five property matters that require full board approval. They are:

- Acquisition by Lease. Combine, restructure, and extend two existing strategic space leases for the entirety of 407 Gorman Street into a single long-term strategic space lease. Securing this two-story commercial office building space lease will allow for continued use of the building and associated parking by the NCSU TRIO Programs and will provide conveniently located office space for near- and longer-term strategic space needs.

- Acquisition by License. North Carolina State University, on behalf of The student Entrepreneurship Garage (“the Garage”) program, requests to execute a license agreement with HQ Raleigh, LLC to occupy office and classroom space to house its program within the HQ @ Centennial Co-working space in Partners I on Centennial Campus. Acquisition is recommended to enhance student experience and success within the program by co-locating with business owners and entrepreneurs.

- Disposition by Easement. Duke Energy Progress has requested the conveyance of an easement to support the installation of three new electric vehicle-charging stations. This easement would allow for installation of a new junction box and underground electric service from an existing underground line on Carter Finley property to shared property line with PNC Arena.

- Disposition by Easement. Duke Energy Progress has requested the conveyance of an easement to support the installation of three new electric vehicle-charging stations. This easement would allow for installation of underground electric service from the shared property line with Carter Finley property to the three new electric vehicle-charging stations on PNC Arena property.

- Disposition by Demolition. The North Carolina State University Office of Real Estate and Development has requested the demolition of a residential structure located on Hope Street. Demolition is requested due to the vacancy and poor condition of the structure, which has created a public safety concern for the university.

Mr. Clark made a motion, seconded by Dr. Prestage, to approve the five property matters. The motion passed.

Mr. Clark reported that the Committee approved three designer selections and accepted 16 building projects at a combined value of $10,945,355, which included the CBC Chiller Plant Expansion, Stewart Theatre Rigging Replacement, and Designer Selections under $1 million or less. The Committee reviewed and approved two non-appropriated capital improvement projects (repairs to Coliseum Parking Deck and a chiller replacement in Lee Hall) and approved one plan and specification of formal projects costing less than $2 million. The Committee also reviewed and approved the site approval for Varsity Drive Parking Lot, plan review and approval of Fitts-Woolard Plaza, and plan approval for Elevator Additions – Tucker & Owen Residence Halls.

The Committee heard updates for capital projects at a glance, capital projects and status of projects in planning as well as an update on Centennial Campus growth.

UNIVERSITY ADVANCEMENT AND EXTERNAL AFFAIRS COMMITTEE – CHAIR CHIP ANDREWS

Mr. Andrews reported that the Committee heard an update from University Advancement. The university has exceeded the campaign goal of $1.6 billion with a total of $1,617,927 billion by Red and White Night. University Advancement is engaged in a deep dive to determine capacity for reaching $2 billion. Rather than seeing a plateau in giving, the university is seeing spikes, due in part to unexpected donors who provided big gifts.

The Committee then heard an update on Red and White Week, which featured Pack Appreciation Day for the first time. This event gave students the opportunity to say thanks via video and written notes and had a turnout of over 1500 students. Over 70% of our students qualify for financial aid, meaning giving
support to our students is highly important. That need is a key to rolling out the Extraordinary Opportunity Scholarship Initiative, which will be a matching gift program with the goal of raising $40 million for need-based scholarships.

The Committee was also provided with an update on the University Advancement Roadmap, which included information about the top 10 Roadmap projects. The mission of this project group is to help NC State’s Advancement operation leapfrog to become the best in the industry. Among the actions being used to achieve that goal is digital strategy, as over 75% of respondents indicated they’d prefer to receive endowment reports electronically.

In a campaign and fundraising update, the Committee was informed that the current campaign total puts NC State at 101.1% of the campaign goal with 76% of the campaign period elapsed. The Campaign total currently stands at $1.622 billion and a goal in the push to $2 billion is to reach $1.7 billion by Day of Giving 2020, which will take place on March 25. A trajectory indicates a clear path to reaching $2 billion, which will require in large part increased results from our larger colleges and our principal gifts program. The Committee also heard an Advancement Services update, which highlighted upcoming projects such as digital endowment reports, e-receipts and a new donor mobile app which will save time, money and labor.

The Committee was reminded of the Watauga Medal nominations process and changes that have been implemented to encourage a more robust pool of nominees. The policy was recently changed to allow the Selection Committee to serve three-year terms and to send five nominees to the Chancellor rather than three.

Following the presentations, the committee met in closed session and reviewed one naming opportunity in the College of Agriculture and Life Sciences, which the Committee approved. Chancellor Woodson then reviewed the Watauga Medal nominees and made his recommendations for three recipients.

**UNIVERSITY AFFAIRS COMMITTEE – CHAIR STAN KELLY**

Mr. Kelly reported that the Committee met and approved the continuation of the North Carolina Institute for Climate Studies (NCICS) and the Kenan Institute for Engineering, Technology and Science (KIETS) as well as approved conferral of tenure to two new faculty members under the consent agenda.

The Committee received an overview of the process undertaken and recommendations presented by the Tuition Review Advisory Committee and Fee Review Committee. Chancellor Woodson stated his support for the Tuition Review Advisory Committee’s 2020-2021 campus initiated tuition increases, which include the following:

- 2.5% tuition increase for new undergraduate residents (which is below the 3% increase cap established by the UNC Board of Governors for this category). The guaranteed 8-10 semester fixed tuition rates for existing undergraduate resident students continues.
- 3% increase for undergraduate nonresidents.
- 2.5% increase for graduate residents.
- 4% increase for graduate nonresidents.

The Chancellor supported the Tuition Review Advisory Committee’s recommendation that the additional tuition revenue be used as follows: 33.7% allocated to need-based financial aid; 23.1% allocated to provide funding to the Graduate Student Support Plan; 29.1% used to improve quality and accessibility of the NC State educational experience; and 14.1% used to provide funding for faculty promotional increases.

With respect to student fees, the Fee Review Committee recommended an increase in fees of $17.85 or 0.7%. However, their recommendation did not include an increase for the Campus Security Fee, which
was established in 2016 by the UNC Board of Governors. Universities have not been allowed to request increases in the Campus Security Fee since it was established. This year after the Student Government’s review process was nearly complete, the university received notification that requests to increase the Campus Security Fee for Fall of 2020 would be allowed. Because of the late notice, the Student Government voted to not consider the proposed increase and the Fee Review Committee voted to support the Student Government’s recommendation not to consider the request. However, given the growth of the student body and additional pressures on the safety and security of our campus, Chancellor Woodson recommended the trustees consider including a $10.40 increase to the Campus Security Fee. He also recommends a reduction in the Student Center Programming Fee increase by $3.00 because the request included a similar position to the one requested in the Campus Security Fee. The Chancellor’s total recommendation for increase in fees is $25.25, representing an increase of 0.98% which is below the 3% increase cap established by the UNC Board of Governors. The committee discussed the Chancellor’s recommendations on tuition and fees and voted to recommend approval to the full board.

Mr. Kelly made a motion, seconded by Ann Goodnight, for approval of the 2020-2021 campus initiated tuition increase requests and student fee recommendations as outlined in Chancellor Woodson’s recommendation.

The Committee also recommended revisions to two policies: Policy 05.20.01 Appointment, Reappointment, Promotion and Permanent Tenure and Policy 05.25.01 Faculty Grievance and Non-Reappointment Review. The revisions are intended to bring the policies in alignment with changes made to The Code and UNC Policy Manual regarding faculty grievance and non-reappointment review. Among the main changes are to 1) name the Boards of Trustees (not the UNC BOG) as the final level of appeal for non-reappointments and imposition of discharge or serious sanctions and 2) clarify that faculty pay shall cease upon issuance of a discharge decision. Most additions to the two policies are word-for-word insertions from the Code and Policy Manuel but this also provided an opportunity to make two other needed changes to Policy 05.20.01: 1) to remove definitions of faculty responsibility, which are now housed in a separate regulation and 2) to clarify voting procedures for initial faculty appointments.

Mr. Kelly made a motion, seconded by Mr. Harrell, for approval of the revisions to Policies 05.20.01 and 05.25.01.

The Committee received an update from Staff Senate Chair Janice Sitzes, which highlighted employee appreciation events, ‘Learn at Lunch’ offerings, and Staff Senate volunteer efforts at Packapalooza, student move-in and during International Housekeeping Week. The Staff Senate currently has two collection drives in progress – one for Toys for Tots and another for Bountiful Harvest. The Staff Senate is also meeting its objective to be more inclusive to extension staff and to make other staff members aware of the scope of extension’s efforts.

The Committee also heard from Provost Arden. He shared an update on the status of current personnel searches and administrative leadership reviews underway and on the strategic plan process. The Committee received information on faculty retentions. Over the past eight years, NC State has made 124 counteroffers and 215 pre-emptive retention offers. Sixty-three percent of counteroffers were successful and 93% of the pre-emptive retentions were successful. The overall success rate of counter offers and pre-emptive retentions was 82% over this eight year period. The number of retention requests has dropped significantly over the last 5 years. Programs in place such as the University Faculty Scholars Program to recognize and retain top faculty were discussed.

The Committee was provided with an overview of the strategic priorities of the University Libraries with an emphasis on student success and affordability initiatives. Two such initiatives, the new Academic Success Center which will open in D.H. Hill Library next year and alternative textbook programs to help reduce the financial burden of expensive textbooks, were discussed.
In closed session, the committee approved head coach employment agreements for Men's and Women's Tennis and recommended a salary action for approval by the Board of Governors.

**BOARD OF VISITORS – CHAIR JUDI GRAINGER**

Mrs. Grainger shared updates from the Board of Visitors meeting on October 11, 2019. The Board of Visitors heard updates on the activities of the Board of Trustees from Chair Tom Cabaniss, events around campus from Chancellor Woodson, growth of the Alumni Association from President Daniel Gunter, and an enrollment update from Jon Westover, Director of Undergraduate Admissions. Jim Perry, an alumnus of NC State and member of the North Carolina State Senate, spoke to the Board of Visitors at their lunch meeting, highlighting the importance of focusing on healthcare, education and supporting veterans across the state of North Carolina.

The Board of Visitors heard an update on the campaign and its progress from Vice Chancellor for University Advancement Brian Sischo. Athletics Director Boo Corrigan also spoke with the Board of Visitors about his vision and goals for NC State Athletics, stressing the importance of giving student athletes opportunities for growth, support in education, and mental health services. Dean David Hinks and Dean Peter Harries also presented highlights from their colleges to the Board of Visitors.

**STUDENT GOVERNMENT REPORT – EMMA CARTER**

Ms. Carter provided an update on Student Government activities and initiatives since the last Board of Trustees meeting. Student Government leadership concluded their work on the Tuition and Fees process and made their recommendations for review by university administrators and the Board of Trustees. Student Government partnered with University Police to host the annual Night Walk, a safety walk around campus. Student Government members are also conducting a review of the Conduct Board and facilitating discussions on replacing the Conduct Board with a Judicial Branch.

Upcoming Student Government initiatives include increasing shared space in Talley Student Union by encouraging students to use table cards to indicate whether they are willing to share tables, adding student resources for wellness to the On Campus App, assembling a syllabi archive so students can make informed decisions about course workload before enrolling, and extending the Respect the Pack event into a series that integrates NC State’s values on diversity and inclusion throughout the academic year.

**FACULTY SENATE REPORT – HANS KELLNER**

Chair Hans Kellner provided an update on the Faculty Senate, in which he gave some background on the group and outlined the main functions. The Faculty Senate exists to hear faculty voices as much as possible and work to support their needs.

Since the beginning of the semester, the Faculty Senate has heard a variety of presentations at their regular meetings. Student Ombuds Mike Giancola spoke to the Senate on his work with students and the Pack Essentials program. Chair Kellner noted that only half of the UNC System institutions have ombuds, and that NC State’s student and faculty ombuds do great work for NC State. Chair Kellner also highlighted presentations from a representative of the Faculty Athletic Council and Director of Athletics Boo Corrigan, who outlined the importance of faculty in supporting our student athletes and their involvement in ensuring their academic success.

Chair Kellner also highlighted the Fall General Faculty meeting and meetings of the Faculty Assembly. The Fall General Faculty meeting took place in October and focused on community engagement. It featured presentations and remarks from the Chancellor, Provost, and select faculty.
CLOSED SESSION
With no further business in open session, Mr. Clark made the motion, seconded by Mr. Harrell, at 10:25 a.m. to go into closed session to preserve the attorney-client privilege and to prevent the premature disclosure of an honorary award. The motion passed.

RECONVENE IN OPEN SESSION
At 10:54 a.m. the board came out of closed session. With no further business in open session, Chair Cabaniss adjourned the meeting at 10:55 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 in the particular matter involved.

Rev. 1-16-07

---

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.
PROPOSED REVISION TO: POL 05.15.01 – Employees Exempt from the State Human Resources Act (EHRA) Policy

Rationale: This proposed revision would update POL 01.05.01 to reflect the Board of Governor’s recent amendment to UNC Regulation 600.1.3[R] providing for additional delegated authority to the Chancellor for approval of leases with an annual value that does not exceed $150,000. Appendix Sections II.c.ii and VII.d.i&ii.

Consultation Process (provide date of review):

11/13/19 General Counsel final review
01/17/20 Executive Officer (PJ Teal) approved revisions
01/17/20 Executive Officer (Allison Newhart) approved revisions
_________ Executive Officer (Charlie Maimone) approved revisions
02/04/20 Chancellor’s Cabinet Meeting review
11/22/19 Board of Trustees (approval/notification), if applicable (PRR Administrator will complete)
03/09/20 University Council Notification

Authority
Board of Trustees
Title
Bylaws
Classification
POL.01.05.01
PRR Subject
Board of Trustees
Contact Info
Vice Chancellor and General Counsel (919-515-3071);
Secretary of the University (919-515-2191)


Related Policies:
UNC Code Section 402B – Meetings
UNC Code Section 607 - Faculty Grievance Committee for Constituent Institutions
UNC Policy 200.1 - Dual Memberships and Conflicts of Interest
UNC Policy 300.1.1 - Senior Academic and Administrative Officers
UNC Policy 300.1.6[R] - Regulations on Administrative Separation and/or Retreat to a Faculty Position
UNC Policy 300.2.14 - Nonsalary and Deferred Compensation
**UNC Policy 400.5(R) - Planning, Establishing, and Reviewing Centers and Institutes in The University of North Carolina**

**UNC Policy 600.2.3 - Distinguished Professors Endowment Trust Fund**

**UNC Policy 600.3.4C(1) - Granting of Management Flexibility to Appoint and Fix Compensation**

**UNC Policy 1100.3 - Head Coaches’ and Athletic Directors’ Contracts**

**NCSU POL05.20.01 - Appointment, Reappointment, Promotion and Permanent Tenure**

**Additional References:**

- Section 103 of the Internal Revenue Code of 1986
- Section 1.150-2 of the Treasury Regulations
- NC General Statute § 143 – State Departments, Institutions, and Commissions
- NC General Statute § 146 – State Lands

**Appendix I**

---

**1. ORGANIZATION**

**1.1 Membership**

1.1.1 North Carolina State University at Raleigh shall have a Board of Trustees composed of thirteen persons chosen as follows:

1.1.1.a Eight elected by the Board of Governors of The University of North Carolina (UNC),

1.1.1.b Four appointed by the General Assembly under N.C.G.S. 120-121, two of whom shall be appointed upon the recommendation of the President Pro Tempore of the Senate and two of whom shall be appointed upon the recommendation of the Speaker of the House of Representatives, and

1.1.1.c The President of the Student Body, ex officio.

1.1.2 In every odd-numbered year, the Board of Governors shall elect four persons to the Board of Trustees and the General Assembly shall appoint one person upon the recommendation of the President Pro Tempore of the Senate and one person upon the recommendation of the Speaker of the House of Representatives to the Board of Trustees; and the term of office of all such elected or appointed trustees (excluding the ex officio trustee) shall be four years or until successors are elected or appointed commencing on July 1 of such odd-numbered year.

1.1.3 Whenever any vacancy shall occur in the membership of the Board of Trustees among those appointed by the General Assembly, it shall be the duty of the Assistant Secretary of the Board of Trustees to inform the General Assembly of the existence of such vacancy, and the vacancy shall be filled as provided in N.C.G.S. 120-122, and whenever any vacancy shall occur among those elected by the Board of Governors, it shall be the duty of the Assistant Secretary of the Board of Trustees to inform the Board of Governors of the existence of the vacancy, and the Board of Governors shall elect a person to fill the expired term. Whenever a member shall fail, for any reason other than ill health or service in the interest of the State or nation, to be present for three successive regular meetings of the Board of Trustees, that member's place shall be deemed vacant.

---

(30813016.3)
1.1.4 Any person who has served two full four-year terms in succession as a member of the Board of Trustees shall, for a period of one year, be ineligible for election or appointment to the Board.

1.1.5 No member of the General Assembly or officer or employee of the State, UNC, or any constituent institution shall be eligible for election or appointment as a member of the Board of Trustees. No spouse of any member of the General Assembly, or of an officer or employee of North Carolina State University shall be eligible for election or appointment as a member of the Board of Trustees. Any trustee who is elected or appointed to the General Assembly or who becomes an officer or employee of the State, UNC, or of any constituent institution or whose spouse is elected or appointed to the General Assembly or becomes an officer or employee of North Carolina State University shall be deemed thereupon to resign from membership on the Board of Trustees.

1.1.6 No person may serve simultaneously as a member of the Board of Trustees and as a member of the Board of Governors. Any trustee who is elected or appointed to the Board of Governors shall be deemed to have resigned as a trustee effective as of the date that the person's term commences as a member of the Board of Governors.

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 for 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.

1.3 Committees

1.3.1 The Board of Trustees shall have the following standing committees: Audit, Risk Management and Finance Committee; Buildings and Property Committee; University Advancement and External Affairs Committee; University Affairs Committee; and Executive Committee. The Board may create such other committees as it deems appropriate. The Chair of the University Advancement Committee shall serve ex officio as a member of the Board of Trustees of the Endowment Fund.

1.3.2 The officers of the Board plus the immediate past Chair shall constitute the Executive Committee, which shall be chaired by the Board Chair. In the event there is no immediate past Chair, the Chair shall nominate for the Board's approval one Trustee to serve at-large on the Executive Committee. The Executive Committee shall be empowered to act for the Board between Trustee meetings with the responsibility to report on its actions at the next Board meeting.
1.3.3 At the first meeting after June 30 of each year, the newly elected Chair shall appoint the members of the standing committees and designate a chair for each committee. The Board Chair will assign each Trustee to serve on two standing committees each year. In making assignments, the Board Chair will balance Trustees’ interests, expertise and experience on the committees. The goal will be for a balance of new and returning Trustees on each committee, with a rotation of committee leadership to provide all Trustees the opportunity to serve on multiple committees during a four year term. The Chair of the Board shall be an ex officio member of all standing committees and shall count for purposes of determining whether a quorum is present at a committee meeting.

1.3.4 The Board of Trustees may delegate to its committees such of its powers as it deems appropriate except for those powers which are expressly delegated to the Board of Trustees by the Board of Governors without the power to sub-delegate. Each committee shall present to the Board for its approval a description of committee responsibilities and such descriptions shall be reviewed and updated as the Board deems appropriate. The delegated authority, responsibilities and assignments of each committee are contained in Appendix 1 to these Bylaws.

1.3.5 A Nominating Committee shall be appointed on or after July 1 of 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 first regular meeting on or after July 1 of each year. The slate of nominees shall contain at least one nominee for each of the officers of Chair, First Vice Chair, Second Vice Chair, and Secretary. The guidelines for the Nominating Committee are contained in Appendix 1 to these Bylaws.

2. MEETINGS

2.1 Regular Meetings

There shall be not fewer than three regular meetings of the Board of Trustees each year. Meetings are usually held the third Thursday and Friday in February, April, September and November. A summer meeting may be held on a mutually agreeable date. A notice specifying the time and place of each regular meeting of the Board shall be posted by the Assistant Secretary on the Board of Trustees’ website. If the date of a regular meeting is changed, the Assistant Secretary shall change the posting and notify each member of the Board at least ten (10) calendar days in advance of the meeting date. Any matter of business may be considered at a regular meeting.

2.2 Special and Emergency Meetings

2.2.1 A special meeting of the Board of Trustees or of a standing committee with delegated authority may be called by the Board Chair or by the Chancellor. A special meeting of the Board of Trustees may also be requested upon the written request of not fewer than six (6) members of the Board, directed to the attention of the Assistant Secretary, who shall notice a special meeting upon receipt of the sixth written request. A notice specifying the time and place of a special meeting shall be communicated by the Assistant Secretary to each member of the Board so that it is received at least forty-eight (48) hours in advance of the meeting date. Any matter of business may be considered at a special meeting.
2.2.2 When deemed necessary by the Board Chair or by the Chancellor, the Board Chair may conduct an emergency meeting of the Board with immediate notice. Only business connected with the emergency may be considered at the meeting.

2.2.3 A special or emergency meeting may be conducted by electronic means provided that the arrangements for such meeting comply with the applicable State laws concerning the conduct of electronic meetings of public bodies.

2.3 Agenda

2.3.1 At least seven (7) days prior to each regular meeting of the Board of Trustees, a copy of the agenda, including (insofar as is practicable) copies of all reports and other written materials to be presented to the meeting, shall be provided to each member of the Board by the Assistant Secretary. Insofar as is practicable, a copy of the agenda of each special meeting of the Board shall be sent to each member of the Board at least seven (7) days in advance of the special meeting; however, if such advance mailing is not practicable, the agenda for a special or an emergency meeting may be presented to the members of the Board as the first order of business at the meeting. No items may be considered at a special meeting except as contained on the agenda.

2.3.2 The agenda for every meeting of the Board shall be prepared by the Chancellor in consultation with the Chair. Every request for inclusion of an item on the meeting agenda shall be in writing and filed, together with any supporting documents, with the Chancellor sufficiently far in advance of the meeting to permit a determination to be made by the Chancellor with respect to the propriety and practicability of including that item on the meeting agenda.

2.3.3 Any member of the Board of Trustees may present to any regular meeting of the Board any item whether or not the item is on the meeting agenda, but no final action shall be taken on an item not on the agenda except by unanimous consent.

2.4 Conduct of Business

2.4.1 A quorum of the Board shall consist of a majority of the members of the Board.

2.4.2 The Chair shall preside over all regular and special meetings of the Board of Trustees. In the absence of the Chair, the First Vice Chair will preside. In the absence of the First Vice Chair, the Second Vice Chair will preside. In the absence of the Chair and both Vice Chairs, a presiding officer shall be elected by and from the membership of the Board of Trustees.

2.4.3 All members of the Board of Trustees may vote on all matters coming before the Board for consideration. No member may vote by proxy.

2.4.4 Except as modified by specific rules and regulations enacted by the Board of Trustees, Robert's Rules of Order Newly Revised (latest edition) shall constitute the rules of the parliamentary procedure applicable to all meetings of the Board of Trustees and its several committees.

2.4.5 Between regular meetings of the Board, routine matters of business within the authority of any committee of the Board may be dealt with by written ballot and without a meeting if such is deemed appropriate by the Chair of the committee. Any action taken by this method must be reported to the Board at its next regular meeting and the written ballots made available for public inspection.

2.5 Minutes

(30833616.3)
2.5.1 The Secretary or Assistant Secretary shall take minutes of all meetings of the Board of Trustees; shall file, index, and preserve all minutes, papers, and documents pertaining to the business and proceedings of the Board; shall be custodian of all records of the Board; when required the Secretary or Assistant Secretary, shall attest the execution of all legal documents and instruments of North Carolina State University at Raleigh.

2.5.2 Within a reasonable period after each meeting of the Board of Trustees, the Secretary or Assistant Secretary shall transcribe the minutes of the meeting and provide a copy to each member of the Board.

2.6 Closed Session

2.6.1 By vote of a majority of the members present at any meeting of the Board of Trustees, the meeting may be closed to the public, subject to applicable State laws concerning when and how closed sessions may be motioned and held.

2.7 Keeping Board of Governors Informed

2.7.1 The Assistant Secretary of the Board of Trustees shall keep the Board of Governors, through the Secretary of The University of North Carolina, fully and promptly informed concerning activities of the Board of Trustees, including notice of any changes in the membership of the Board or in its committee structure or bylaws and notices of meetings.

3. POWERS AND DUTIES

3.1 General Powers and Duties

3.1.1 The Board of Trustees shall promote the sound development of North Carolina State University at Raleigh within the functions prescribed for it, helping it to serve the people of the State in a way that will complement the activities of the other institutions and aiding it to perform at a high level of excellence in every area of endeavor. The Board of Trustees shall serve as advisor to the Board of Governors on matters pertaining to North Carolina State University at Raleigh and shall also serve as advisor to the Chancellor concerning the management and development of the institution. The Chancellor shall be the official medium of communication between the Board of Trustees and all individuals, officials, agencies and organizations, both within and without the institution.

3.2 Other Powers and Duties

3.2.1 The Board of Trustees shall have such other powers and duties, not inconsistent with provisions of The Code of The University of North Carolina or with applicable provisions of State law, as are specified in said Code or as shall be defined and delegated by the Board of Governors.

4. AMENDMENT OF BYLAWS

4.1 Amendment of Bylaws

4.1.1 These bylaws may be amended at any regular or special meeting of the Board of Trustees by an affirmative vote of a majority of the members of the Board if the substance of the amendment has been filed in writing with the Secretary or Assistant Secretary and a copy has been sent to each member of the Board at least seven days prior to the meeting at which the amendment is to be voted upon.

5. SUBORDINATION TO UNIVERSITY CODE
5.1 Subordination to University Code
To the extent that any of these bylaws may be inconsistent with The Code of The University of North Carolina, as the same may be amended from time to time, said Code shall control.

Appendix 1

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

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

a. Audit
   i. Provide oversight of the internal audit function.
   ii. Review and approve the annual internal audit plan at the beginning of the audit cycle.
   iii. Receive quarterly activity reports from the internal auditor.
   iv. Receive direct verbal and/or written reports from the university’s internal auditor regarding out of the ordinary reviews and findings that may involve senior level university employees, trustees or affiliates.
   v. Review a comparison of the annual internal audit plan to the actual internal audits performed.
   vi. Provide oversight of the annual financial statement audit.
   vii. Assure that the university is performing self-assessments of operating risks and evaluations of internal controls on a regular basis.
   viii. Meet with representatives of the State Auditor’s Office to review the annual state auditor’s report and the university’s corrective action, if any.
   ix. Review audit reports of University-associated entities.

b. Finance
   i. Advise the Chancellor with respect to the development of budget estimates for the university, and with respect to the execution and administration of the budget as approved by the General Assembly and the Board of Governors.

c. Risk Management
   i. Provide oversight of the risk management and compliance functions.
   ii. Receive annual reports on risk management, compliance and legal issues.
d. Planning

e. Policy Development

   i. Recommend to the Board of Trustees for approval policies regarding the preservation, maintenance and management of institutional trust funds.

   ii. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies related to the maintenance of campus security.

   iii. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies related to information technology and cybersecurity.

II. Buildings and Property Committee Delegated Authority and Assignments

a. Subject to policies of the Board of Governors and all legal requirements relative to the construction of state-owned buildings, for the following matters concerning campus capital construction projects which have been approved by the Board of Governors and authorized by the State of North Carolina:

   i. Select architects or engineers for buildings and improvements requiring such professional services;

   ii. Select construction managers at risk for buildings and improvements requiring such professional services;

   iii. Select design-build teams for building and improvements requiring such professional services;

   iv. Approve building sites;

   v. Approve plans and specifications; and

   vi. Accept all completed buildings and projects.

b. Prepare and maintain a master plan for the physical development of the institution.

c. Acquisitions and Dispositions of an Interest in Real Property in accordance with additional delegated authority granted by the Board of Governors

   i. Approve any acquisition or disposition of any interest in real property valued at $50,000 or more, other than by leases, provided that if the acquisition or disposition involves an interest in real property valued at $1,000,000 or more, the matter shall be recommended by the committee to the Board of Trustees for its approval and forwarded for further approval to the UNC President or Board of Governors, as required by the policies of the Board of Governors.
ii. Approve any acquisition or disposition of any interest in real property by lease where the lease has an annual rent in excess of $150,000 or a term in excess of 10 years, provided that where the term of the lease exceeds 10 years or has an annual rent in excess of $750,000, the matter shall be recommended by the committee to the Board of Trustees for its approval and forwarded for further approval to the UNC President or Board of Governors, as required by the policies of the Board of Governors.

d. Policy Development

i. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval policies applicable to the control, operation and supervision of buildings and property pursuant to applicable provisions of State law and policies of the Board of Governors.

ii. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval changes to campus parking and traffic policies.

III. Executive Committee Delegated Authority and Assignments

a. Act for the full Board of Trustees between meetings with the responsibility to report on its actions at the next Board meeting.

b. Review and take final action on proposed contracts of $10,000 or more that may constitute a potential conflict of interest under the Dual Memberships and Conflicts of Interest Policy of the Board of Governors, UNC Policy 200.1.

c. Review and make recommended findings to the Board of Trustees regarding allegations of violation of UNC Policy 200.1.

d. If a member of the Executive Committee has a substantial interest in an entity that is intending to contract with the university, as defined in UNC Policy 200.1, the Chair of the Board of Trustees may assign the matter to another standing committee of the Board of Trustees or appoint an ad hoc committee of no less than three members of the Board of Trustees to handle the matter. If the Chair of the Board of Trustees has a substantial interest or is alleged to have violated UNC Policy 200.1, the First Vice Chair of the Board of Trustees will assign or appoint the committee.

e. Approve appointment, initial salary, and appointment changes for Provost and Vice Chancellors.

IV. University Advancement Committee Delegated Authority and Assignments
a. Development and Advancement Activities

   i. Approve all university fundraising campaigns.

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

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

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

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

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

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

b. External Affairs

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

c. Policy Development

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

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

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

   iv. Recommend naming guidelines for endowed funds, and facilities and programs funded in whole or in part by private monies.
v. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies regarding the awarding of the Watauga Medal.

V. University Affairs Committee Delegated Authority and Assignments

a. EHRA Personnel - on the recommendation of the chancellor

i. Approve appointment, initial salary, and appointment changes for Deans and SAAO Tier 1 positions other than the Chancellor, Provost and Vice Chancellors.

iii. Approve non-salary and deferred compensation for EHRA employees, other than Vice Chancellors, in accordance with UNC Policy 300.2.14 and NCSU POL.05.15.03

iv. Establish salary ranges, based on available relevant market data for senior academic and administrative officers that are not established by UNC General Administration.

iv. Recommend any salary increase for an EHRA employee other than for Vice Chancellors that requires approval by the Board of Governors.

v. Review and approve any administrative separation or retreat rights subject to Board of Trustees approval under UNC Policy 300.1.6[R] and NC State POL 05.15.01. “Retreat rights” are those conditions of employment that would apply should the administrator leave his/her administrative position.

vi. Confer permanent tenure consistent with NCSU POL.05.20.01 - Appointment, Reappointment, Promotion and Permanent Tenure

vii. Designate Distinguished Professorships, including Distinguished Scholars, and Distinguished Fellows, which may be time limited pursuant to UNC Policy 600.2.3.

viii. Confer emeritus status to an individual with an SAAO Tier I appointment at retirement.

ix. Appoint or extend the contract of the athletic director and head coaches with employment contracts in accordance with UNC Policy 1100.3. Recommend contracts for Board of Governors’ approval in circumstances where the proposed contract terms require such approval under UNC Policy 1100.3.

x. Review and recommend to the Board of Trustees for approval petitions relating to EHRA employees seeking political candidacy and/or public office holding as required by UNC Policy 300.5.2.

b. Employee Appeals

i. Discharge and Suspensions of Employees.
ii. In a manner consistent with the Board of Trustees’ Policies and Procedures, with applicable policies of the Board of Governors, and with State law, hear appeals of discharged or suspended employees from actions taken by the chancellor when the applicable policies allow such appeals.

iii. Disposition of Employee Grievances.

1. Hear and render a decision on appeals in UNC Code Section 607 grievances, where neither the relevant administrative respondent nor the chancellor made an adjustment recommended by the grievance committee in favor of the grievant.

c. Academic Programs and Research

i. Review academic degree proposals requiring approval by the Board of Governors and, upon the recommendation of the chancellor, recommend such programs and proposals to the Board of Trustees.

ii. Receive notification on behalf of the Board of Trustees of other academic program proposals.

d. Student Affairs

i. Upon the recommendation of the chancellor, review and recommend to the Board of Trustees the approval of campus initiated tuition increases and the approval of student fees (proposed new fees as well as adjustments to existing fees).

e. Honorary Degrees, Awards and Distinctions

i. Receive and review nominations for Honorary Degrees and Holladay Medals and recommend nominees for approval to the Board of Trustees.

ii. Provide advice in the chancellor’s selection of a Commencement speaker.

f. Planning

i. Review and recommend to the Board of Trustees for approval changes in the university’s mission statement.

ii. Advise the chancellor on the development of plans to carry out the university’s mission.

iii. Review and approve the establishment, continuation and discontinuation of Centers and Institutes as required by the BOG and UNC President and in accordance with UNC Policy 400.5[R].

g. Policy Development
i. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval personnel policies not otherwise prescribed by State law, the UNC Code or policies of the Board of Governors, for personnel in all categories of university employment.

ii. Recommend to the Board of Trustees for approval policies regarding the collection of tuition, fees and other monies to be collected from students, as approved by the Board of Governors.

iii. Recommend to the Board of Trustees for approval policies for administration of scholarships and other financial aid to students.

iv. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies related to the provision of student services and activities, including but not limited to student government and intercollegiate athletics, subject to general provisions as may be prescribed by the Board of Governors.

v. Upon recommendation of the Chancellor, recommend to the Board of Trustees for approval policies related to research and centers and institutes.

h. Responsibilities

i. Receive and hear reports at committee meetings from the Chair of the Faculty Senate, the Chair of the Staff Senate, and the Student Body President.

VI. Nominating Committee Guidelines

a. Select one or more nominees for Chair from Board of Trustee members.

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.

VII. Chancellor Delegated Authority

a. EHRA Personnel - which may be further delegated to permanent designees

i. Take final action on all EHRA personnel actions, except those contained in UNC Policy 600.3.4 and UNC Policy 1100.3 which are retained by the Board of Trustees.

ii. Approve EHRA salary increases as authorized by UNC Policy 200.6, section I.A.(4) and as further sub-delegated as follows:
a) A temporary salary stipend or supplement with a specified end date that does not exceed 25% and $25,000 of cumulative salary adjustments fiscal year to-date based on the employee’s June 30 salary, up to 12-months in duration; and

b) A temporary salary stipend or supplement without a specified end date that does not exceed 20% and $15,000 of cumulative salary adjustments fiscal year to-date based on the employee’s June 30 salary; and

c) A permanent base salary adjustment that does not exceed 20% and $15,000 of cumulative salary adjustments fiscal year to-date based on the employee’s June 30 salary

b. Student Matters - which may be further delegated

i. Determine, after consultation with the faculty, whether an individual student shall be entitled to receipt of a particular degree.

ii. Establish admission policies and resolve individual admission questions for all schools and divisions within the university.

iii. Collect from each student, at the beginning of the semester or term, such tuition, fees and other amounts necessary to pay other expenses for the term, as have been approved by the Board of Governors.

iv. Require payment of such advance deposits, as such times and under such conditions, as may be required by State law or by the Board of Governors.

v. Require payment of such nonrefundable application of fees, in connection with each application for admission, as may be required by State law of by the Board of Governors.

vi. Administer scholarships and other forms of financial aid to students which are limited in their application to or are supported by North Carolina State University subject to the terms of any applicable laws and to policies of the Board of Governors.

vii. Regulate student activities including student conduct, the approval of organized, institutionally-recognized student activities and the definition of roles and functions of any institutionally-recognized system of student self-government and student participation in the governance of any aspect of institutional programs and services.

viii. Establish and supervise the institution's program of intercollegiate athletics, subject to such policies as may be prescribed by the Board of Governors and the Board of Trustees.

ix. Maintain campus security, subject to applicable provisions of State law and such policies as may be adopted by the Board of Governors.
x. Control and supervise campus utilities and other facilities subject to applicable provisions of State law and policies of the Board of Governors.

c. Signature Authority for Contracts, Leases and Other Agreements – which may be further delegated.

   i. Sign and execute agreements, contracts, leases, and other official documents (all herein referred to corporately as agreements) with institutions, agencies, corporations, partnerships, individuals and other legal entities, said agreements including all such agreements not required by law or administrative regulation to be otherwise executed.

   ii. Agreements shall comply with (1) the law of North Carolina, especially North Carolina General Statutes, Chapters 143 and 146, when applicable, and (2) with The Code and with policies determined by the Board of Governors or the Board of Trustees.

d. Acquisition and Disposition of Real Property

   i. Acquire or dispose of an interest in real property other than by lease valued at less than $50,000.

   ii. Acquire or dispose of an interest in real property by lease with an annual value of $150,000 or less and a term of not more than 10 years.

e. Authority to Award Emeritus Status

   i. Award emeritus status to Faculty and SAAO Tier II employees in accordance with applicable Board of Trustees policies governing the award of emeritus status.

f. The Use of Firearms on the University's Research Stations, Field Laboratories, Forest and Woodland Properties – which may be further delegated.

   i. Establish operating procedures and to allow the use of weapons on the University's research stations, field laboratories, forest and woodland properties for the purposes of controlling animal depredation of crops and for wildlife management.

VIII. Vice Chancellor for Finance and Administration Delegated Authority

a. Purchase, Sell, Transfer or Sign Trust Fund Assets and Securities

   i. Buy stocks, bonds, or other securities of corporations, firms, or individuals, of the United States Government, or of any state or political subdivision thereof.

   ii. Sell, trade, assign, endorse, and deliver for transfer certificates representing stocks, bonds, or other securities of corporations, firms, or individuals, of the United States Government, or of any state or political subdivision thereof.
iii. Assign for reissue or redemption any registered obligation of any corporation, the United States Government and its instrumentalities, or of any state or political subdivision thereof, now or hereafter registered in the name of North Carolina State University at Raleigh.

b. Trademark registration and licensing program – or designee
   i. Register such marks, symbols and other indicia of the University in the various states and with the U.S. Patent and Trademark Office as he deems appropriate.
   ii. Enter into an agreement with an agent for the licensing of North Carolina State University's marks, symbols, and indicia in a manner deemed consistent with the purposes and needs of the University.

c. Internal Revenue Service Reimbursement Resolutions – or designee
   i. Declare the official intent of NC State within the meaning of Section 1.150-2 of the Treasury Regulations promulgated under Section 103 of the Internal Revenue Code of 1986, as amended, evidencing NC State's intent to reimburse NC State for expenditures incurred and paid by NC State in connection with projects from the proceeds of tax exempt obligations.

d. Business Signatures – or designee
   i. Establish Imprest Checking Accounts.
   ii. Approve Tax Related Documents necessary for the University.
   iii. Approve Trust Fund Authorities and Related Changes.
   iv. Approve University Receipt Centers.
WHEREAS, the UNC System Board of Governors adopted a resolution on the 17th day of January 2020, which strongly encourages our state's elected leaders to pass the proposed budget for the Fiscal Year (FY) 19-21 biennium, details significant impacts to all UNC System institutions that are detrimental to North Carolina’s citizens, and calls on all university boards of trustees to pass a concurring resolution; and

WHEREAS, North Carolina State University serves more than 36,000 students, educates more North Carolinians than any other university in the state, and employs nearly 9,000 citizens of North Carolina; and

WHEREAS, North Carolina State University is experiencing record applications and enrollment, serves as the UNC System’s flagship research institution for science, technology, engineering and mathematics (STEM) graduating one-third of all STEM students in the System, and contributes $6.5 billion to the statewide economy each year; and

WHEREAS, the State of North Carolina does not have a newly enacted budget for the Fiscal Year (FY) 19-21 biennium; and

WHEREAS, the proposed budget outlined in House Bill 966 includes funding for critical and urgent capital and operational investments at North Carolina State University including the following:

- $80 million for a new STEM building on main campus which will provide much-needed teaching and research spaces necessary to continue attracting the best and brightest faculty and students;
- Enrollment growth funding critical to the academic mission of the university utilized for expanding programming, supporting student success, and improving retention and graduation rates in line with the UNC System strategic plan;
- Historic and transformative repair and renovation funding to address facility needs across an aging and vast campus that has experienced long-delayed infrastructure repair and building maintenance;
- Funding for years three and four of a five year grant which accelerates the development of innovative manufacturing processes of biopharmaceutical products;
- Funding for a number of different important agricultural initiatives; and

WHEREAS, Senate Bill 354 provided approximately four percent raises over the next two years for the university's exceptional faculty and staff, who are essential to the delivery of a high-quality educational experience and our continued ability to serve the state as a whole; and

WHEREAS, the absence of the proposed state budget being enacted for FY 19-21 is not only harmful to North Carolina State University's faculty, staff, and students, but to all other UNC System institutions, and threatens the ability of the UNC System to serve the citizens of the state and contribute to the economic vitality of North Carolina;

NOW, THEREFORE, BE IT RESOLVED, the Board of Trustees of North Carolina State University, in concurrence with the resolution passed by the Board of Governors of the UNC System, calls on all elected leaders who support and value the world class public higher education system in North Carolina, to move swiftly to enact House Bill 966 and the salary provisions originally included in Senate Bill 354.

Resolved, this the 28th day of February, 2020

Thomas E. Cabaniss, Chair

Robert F. Andrews III

Jimmy D. Clark

Ann B. Goodnight

James A. Harrell III

Stanhope A. Kelly

Wendell H. Murphy

Ven Poole

Ronald W. Prestage

Edwin J. Stack III

Dewayne N. Washington

Edward I. Weisiger, Jr.

Emma Carter, (Ex officio)
Student Body President
RESOLUTION OF
THE BOARD OF GOVERNORS OF
THE UNIVERSITY OF NORTH CAROLINA
January 17, 2020

WHEREAS, the State of North Carolina does not have an enacted budget for the FY 19-21 biennium; and

WHEREAS, the UNC System is experiencing record enrollment, serves more than 240,000 students across the state, is graduating students at the fastest rate in state history, and employs nearly 47,000 North Carolinians; and

WHEREAS, the current proposed budget, House Bill 966, includes funding for several critical and time-sensitive University investments, including but not limited to:

- $630,000,000 in authorized capital projects, including funding for the new Brody School of Medicine at East Carolina University,
- New health sciences building at UNC Pembroke,
- New steam plant for Western Carolina University,
- New library and crime laboratory at Elizabeth City State University;
- $130,000,000 in much needed repairs and renovations; and

WHEREAS, House Bill 966 also provides funding for several major projects and initiatives across the University System, including but not limited to:

- Operating funds needed to facilitate the opening of the new Morganton campus of the North Carolina School of Science and Math in the Fall of 2021;
- Funding for the N.C. Promise Program, which reduces the cost of tuition to $500 per semester tuition at Elizabeth City State University, UNC Pembroke and Western Carolina University;
- Funding for N.C. A&T State University’s designation as a doctoral program; and

WHEREAS Senate Bill 354 provided approximately four percent raises over the next two years to university faculty and staff, who are critical to our mission to serve the state; and

WHEREAS the absence of an enacted state budget for FY 19-21 hurts UNC System institutions, faculty, students, and the communities we serve, and threatens the ability of the University to serve the citizens of the State and contribute to the economic vitality of North Carolina;
NOW, THEREFORE, BE IT RESOLVED, that the Board of Governors of the University of North Carolina strongly encourages all elected leaders who support and value the world class higher educational systems in North Carolina to move swiftly to enact House Bill 966 and approve with the provisions originally included in Senate Bill 354. Further, we call on all boards of trustees to create and approve a concurring resolution as soon as practical.

Adopted this 17th day of January, 2020.

Randy Ramsey, Chairman

Meredith M. Steadman, Secretary
The Chancellor’s Report  
February 2020

Rankings
The 2020 Princeton Review has recognized NC State University’s dedication and investment to entrepreneurship, ranking the University as 10th in the country for undergraduate entrepreneurship and 21st for graduate programs. The US News & World Report ranked NC State’s Engineering Online program seventh on the list of Best Online Master’s in Engineering Programs in the nation. Additionally, the Engineering Online Program was ranked 15th on the list of Best Master’s in Computer Information Technology Programs and 6th on a list of Best Online Graduate Engineering Programs for Veterans. Our online MBA also ranked 15th in the nation. Overall, we earned 12 rankings of #15 or better out of more than 1,600 online programs ranked this year.

Alumni Success
NC State College of Engineering alumna and NASA astronaut, Christina Koch, has broken another record in our history books. Back in October, Koch participated in NASA’s first ever all-female spacewalk. On December 28, 2019, Koch broke the record for the longest single spaceflight by a woman in history, surpassing former Station Commander Peggy Whitson’s record in 2016-2017. Christina broke the record at 288 days in space, but the number has and will continue to add up until her scheduled return to earth on February 6, 2020. Koch will have spent a total of 328 days, nearly 11 months, on board the International Space Station.

NC State Research and Entrepreneurial Grants
The U.S. Department of Energy (DOE) has awarded NC State with a five year, $9 million grant for the development of new rooftop solar systems and installation procedures, in order to make solar energy more affordable and efficient to install. Dr. Alex Huang, a distinguished Professor of Electrical and Computer Engineering at NC State, is the lead researcher on the project.

The new Plants for Human Health Institute at NC State has received a four year, $6.4 million grant from the U.S. Department of Agriculture in order to improve fruit quality in the blueberry and cranberry industries. This project is expected to help the industry react to changing demands from consumers through genetic advancements and innovation.

National Academy of Inventors
Three NC State faculty members have also been named fellows of the National Academy of Inventors. Rodolphe Barrangou, Kenneth R. Swartzel, and Carlos Pignataro are all being recognized for their inventive contributions to their fields. Dr. Barrangou is a Todd R. Klaenhammer Distinguished Scholar in Probiotics Research and a Professor of Food Science, who is widely known for his groundbreaking work with CRISPR. Dr. Swartzel is a William Neal Reynolds Distinguished Professor Emeritus of Food Science, widely known for developing preservation processes that yield high quality, nutritious, safe and economical foods. Pignataro is an Adjunct Professor with the Department of Electrical and Computer Engineering and a distinguished engineer at Cisco – he has co-invented almost 200 US patents and co-authored three books on computer networking.
AAAS Fellows
NC State University has had two of its faculty members elected as fellows of the American Association for the Advancement of Science (AAAS). AAAS Fellows are members recognized for their extraordinary efforts on the behalf of the advancement of science and its applications across disciplines. The AAAS Council has elected Professor of Chemical and Biomolecular Engineering Carol Hall for her contributions to the field of thermodynamics and Professor of Physics Jaqueline Krim for her contributions to both atomic-scale friction and scientific outreach and diversity.

TED Faculty
Katie Mack, an assistant professor at NC State, was selected as a TED Fellow and will deliver a talk at the TED2020 conference in Canada this April. The TED Fellows program recruits young innovators across varying disciplines from around the globe who demonstrate outstanding achievement and exemplary character. Mack was awarded this honor for her skill as a scientific storyteller and her research on dark matter, black holes, distant cosmic explosions, and the formation of the first galaxies. Her book of theories about how the universe might end, *The End of Everything (Astrophysically Speaking)*, will be published in June.

Student Success
NC State Ph.D. student in industrial and systems engineering Hafizul Islam is developing a mathematical model that will help food banks distribute food more equitably. His model will determine the optimal amount of food that should be issued to each food bank in a specific region based on demand, storage capacity, available refrigeration and freezer space, and the cost of distribution. Islam took first place in the Graduate School’s fifth annual Three Minute Thesis competition presenting on his research aimed at reducing food waste and addressing hunger in the U.S. and worldwide.

Belltower Project Progress
Following months of diligent and extensive labor, workers have finished the removal of the scaffolding around the Memorial Belltower, marking the end of the first phase of its restoration. Throughout the exterior renovations, research helped shed light on a possible time capsule buried in one of the cornerstones of the tower base. In fact, workers were able to identify a Freemason symbol on the northeast corner of the base and uncovered a lead time capsule from 1921, which is believed to contain a newspaper and Mason’s coin. Furthermore, the Belltower project will continue as the interior renovations begin a process that is expected to finish in early 2021. The installation of the 55-bell carillon will mark the completion of the tower, the construction of which began more than a century ago.
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY
AGENDA

Audit, Risk Management and Finance Committee
3:15 p.m. – 4:45 p.m., February 27, 2020
Winslow Hall Conference Room

Members: Ed Weisiger, Chair, Ann B. Goodnight, Stan Kelly, Ed Stack, Wendell Murphy, Dewayne Washington

1. APPROVAL OF MINUTES
   TAB 4.1
   Approval of November 21, 2019 Minutes

2. ACTION ITEMS
   TAB 4.2
   No action items.

3. INFORMATIONAL REPORTS
   TAB 4.3
   A. Internal Audit Update
      Office of Internal Audit
      Cecile Hinson, Chief Audit Officer and Director, Internal Audit

   B. Legislative and Finance/Budget Update
      Office of External Affairs, Partnerships & Economic Development
      Kevin Howell, Vice Chancellor, External Affairs, Partnerships & Economic Development
      Office of Finance and Administration
      Charles Maimone, Vice Chancellor, Finance and Administration
      Barbara Moses, Associate Vice Chancellor, Budget and Resource Management
      Mary Peloquin-Dodd, Associate Vice Chancellor, Finance and University Treasurer

   C. Annual Report on Endowment and Investments
      Office of Finance and Administration
      Mary Peloquin-Dodd, Associate Vice Chancellor, Finance and University Treasurer

   D. Intercollegiate Athletics Finance and Budget Reporting
      Athletics Division
      Boo Corrigan, Director of Athletics
E. Enterprise Risk Management and Compliance Update
Cybersecurity and Technology Risks: A Status Report
Office of Information Technology
Marc Hoit, Vice Chancellor and Chief Information Officer, Office of Information Technology

4. CLOSED SESSION

5. COMMITTEE DISCUSSION

6. ADDITIONAL INFORMATIONAL MATERIALS
   A. NC State Investment Fund Performance Review
   B. NC State Intermediate Term Fund Performance Review

ADJOURN
The Audit, Risk Management and Finance Committee of the Board of Trustees of North Carolina State University met November 21, 2019 in the Winslow Conference Room.

Members Present: Ed Weisiger, Committee Chair
Ann Goodnight
Stan Kelly
Wendell Murphy
Ed Stack
Dewayne Washington
Tom Cabaniss, Board Chair

Chair Weisiger called the meeting to order at 3:15 p.m. The roll was called and a quorum was present.

Chair Weisiger read the State Government Ethics Act to remind all members of their duty to report conflicts of interest or appearances of conflict.

Approval of Minutes
The minutes from the September 12, 2019 meeting were presented for approval, and with no changes, they were approved.

Action Items
No action items.

Informational Reports

Annual State Auditor Report
The Committee was reminded of the University’s financial results for fiscal year 2019. The Audit, Risk Management and Finance committee was sent the link to the State Auditor’s report prior to the meeting. The audit is also available on the University Controller’s website.

State Auditor, Beth Wood was present at the meeting and reported on the University’s financial audit for fiscal year 2019. The State Auditor’s Office opines on basic financial statements and although they do not check internal controls, they will report on them if issues are found. The State Auditor reported no material mis-statements and no issues with internal controls. A management letter has been sent to the Chancellor, and a final report will be sent to the Board of Trustees Chair and Audit, Risk Management and Finance Chair. She complimented the University staff, noting their efficiency and proactive work.

Internal Audit Update
The Committee heard a report from the Internal Audit Division on activities since the September meeting: three (3) audits and one (1) investigation are in field work; four (4) audits are in planning; six (6) consulting/special assignments are in progress as well as four (4) audit follow-ups and four (4) reports. A final audit report and corrective actions related to non-salary year-end transfer of expenses was also discussed.
Legislative and Finance/Budget Update
The committee received an update on the NC General Assembly long-session timeline, UNC System salary actions and other legislative items. The University continues to operate under a continuation of the fiscal year 2019 budget.

The committee heard an update on financial results for the first quarter of the current fiscal year. Expenses and revenues are being monitored.

Enterprise Risk Management and Compliance Update
Campus Securities Update
The committee received an overview on the Clery Act and campus safety. The Clery Report is published yearly, posted to the university website and was available in the Committee’s pre-materials. The campus safety report included information on the demographics involved in managing campus safety, requirements under the Clery Act, the Security Master Plan, the University Police department, violence prevention and threat management. The attached document showing 2017 Crime in the United States and NC State Crime Statistics was distributed and discussed as part of the overview.

The committee also heard an update on the search for the Chief Compliance, Enterprise Risk Management, and Ethics Officer and a new NC State Compliance and Integrity Compliance Program Plan.

Additional Informational Materials
Chair Weisger made reference to additional information in the materials under Tab 4.5

Adjournment
With no further business, Chair Weisiger announced the meeting adjourned at 4:25 p.m.

Submitted by _____________________________

Secretary to the Committee

Approved by _____________________________

Chair of the Committee

Attachment
## 2017 CRIME in the UNITED STATES

<table>
<thead>
<tr>
<th>University/College</th>
<th>Campus</th>
<th>Student enrollment</th>
<th>Violent crime</th>
<th>Murder and nonnegligent manslaughter</th>
<th>Rape</th>
<th>Robbery</th>
<th>Aggravated assault</th>
<th>Property crime</th>
<th>Burglary</th>
<th>Larceny-theft</th>
<th>Motor vehicle theft</th>
<th>Arson</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appalachian State University</td>
<td></td>
<td>18,265</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>77</td>
<td>8</td>
<td>88</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Duke University</td>
<td></td>
<td>15,735</td>
<td>0</td>
<td>1</td>
<td>8</td>
<td>411</td>
<td>38</td>
<td>351</td>
<td>24</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>East Carolina University</td>
<td></td>
<td>28,962</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>133</td>
<td>9</td>
<td>124</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Elizabeth City State University</td>
<td></td>
<td>1,357</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>32</td>
<td>13</td>
<td>19</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Elon University</td>
<td></td>
<td>6,739</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7</td>
<td>0</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Fayetteville State University</td>
<td></td>
<td>6,223</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>49</td>
<td>9</td>
<td>40</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Meredith College</td>
<td></td>
<td>1,981</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>14</td>
<td>1</td>
<td>13</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Methodist University</td>
<td></td>
<td>2,448</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>51</td>
<td>4</td>
<td>46</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>North Carolina Central University</td>
<td></td>
<td>8,094</td>
<td>0</td>
<td>2</td>
<td>6</td>
<td>153</td>
<td>49</td>
<td>101</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>North Carolina State University</td>
<td>Raleigh</td>
<td>33,756</td>
<td>0</td>
<td>3</td>
<td>13</td>
<td>244</td>
<td>25</td>
<td>218</td>
<td>8</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>University of North Carolina:</td>
<td>Asheville</td>
<td>3,821</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>24</td>
<td>4</td>
<td>20</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Chapel Hill</td>
<td>29,468</td>
<td>1</td>
<td>3</td>
<td>1</td>
<td>234</td>
<td>25</td>
<td>204</td>
<td>5</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Charlotte</td>
<td>28,721</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>148</td>
<td>17</td>
<td>128</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Greensboro</td>
<td>18,847</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>142</td>
<td>22</td>
<td>119</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Wilmington</td>
<td>15,740</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>229</td>
<td>3</td>
<td>224</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Winston-Salem State University</td>
<td></td>
<td>5,151</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>70</td>
<td>17</td>
<td>82</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

1. This agency/state submits rape data classified according to the legacy Uniform Crime Reporting definition; therefore the rape offense and violent crime total, which rape is a part of, is not included in this table. See the data declaration for further explanation.

2. The student enrollment figures provided by the United States Department of Education are for the 2016 school year, the most recent available. The enrollment figures include full-time and part-time students.

NOTE: Caution should be exercised in making any intercampus comparisons or ranking schools because university/college crime statistics are affected by a variety of factors. These include demographic characteristics of the surrounding community, ratio of male to female students, number of on-campus residents, accessibility of the campus to outside visitors, size of enrollment, etc.


Provides the methodology used in constructing this table and other pertinent information about this table.
<table>
<thead>
<tr>
<th>OFFENSE</th>
<th>ON CAMPUS</th>
<th>RESIDENTIAL FACILITIES</th>
<th>NON-CAMPUS</th>
<th>PUBLIC PROPERTY</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>MURDER/NEGILGENT MANSLAUGHTER</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>MANSLAUGHTER BY NEGLIGENCE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>RAPE</td>
<td>30*</td>
<td>15</td>
<td>9</td>
<td>28*</td>
<td>12</td>
</tr>
<tr>
<td>FONDLING</td>
<td>4</td>
<td>17</td>
<td>16</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>INCEST</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>STATUTORY RAPE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>ROBBERY</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>AGGRAVATED ASSAULT</td>
<td>6</td>
<td>14</td>
<td>5</td>
<td>2</td>
<td>7</td>
</tr>
<tr>
<td>BURGLARY</td>
<td>30</td>
<td>30</td>
<td>13</td>
<td>4</td>
<td>7</td>
</tr>
<tr>
<td>MOTOR VEHICLE THEFT</td>
<td>6</td>
<td>6</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>ARSON</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>ARRESTS: II LEGAL WEAPONS</td>
<td>4</td>
<td>0</td>
<td>4</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>DISCIPLINARY REFERRALS: II LEGAL WEAPONS</td>
<td>0</td>
<td>0</td>
<td>10</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>ARRESTS: DRUG ABUSE VIOLATIONS</td>
<td>73</td>
<td>32</td>
<td>60</td>
<td>27</td>
<td>23</td>
</tr>
<tr>
<td>DISCIPLINARY REFERRALS: DRUG ABUSE VIOLATIONS</td>
<td>62</td>
<td>73</td>
<td>114</td>
<td>41</td>
<td>50</td>
</tr>
<tr>
<td>ARRESTS: LIQUOR LAW VIOLATIONS</td>
<td>27</td>
<td>22</td>
<td>9</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>DISCIPLINARY REFERRALS: LIQUOR LAW VIOLATIONS</td>
<td>340</td>
<td>274</td>
<td>292</td>
<td>315</td>
<td>225</td>
</tr>
<tr>
<td>STALKING</td>
<td>21</td>
<td>28</td>
<td>32</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>DOMESTIC VIOLENCE</td>
<td>7</td>
<td>7</td>
<td>9</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>DATING VIOLENCE</td>
<td>33*</td>
<td>18</td>
<td>11</td>
<td>28</td>
<td>12</td>
</tr>
<tr>
<td>HATE CRIMES</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

*In 2016, an individual reported to University Police that they had been raped approximately 20 separate times, over a period from 2014 to 2016, by another individual with whom they were involved in a dating relationship. Pursuant to the Clery Act, and its implementing regulations and guidelines, the university must include these reported incidents in the year in which they were reported, not in the year in which they occurred. In addition, while these incidents must be reported in the 2016 rape statistics, they must also be included as separate incidents of dating violence.
<table>
<thead>
<tr>
<th>Engagement</th>
<th>On Original Fiscal Year 2020 Audit Plan?</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Engineering - Materials Science and Engineering - Purchasing Investigation</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>4. Pursue organizational excellence</td>
<td>Complete - In Follow-up</td>
<td>The objective of this audit was to investigate allegations from an internal source regarding alleged personal purchases by an employee on a PCard and in Marketplace. The allegations were substantiated and the unit is working on corrective action for 1 issue related to Inaccurate and Incomplete Conflict of Interest Disclosure and Lack of Management Plan, PI’s Pattern of Misconduct and Non-Compliance, Unallowable Expenditures Paid with National Science Foundation Grant Funds, Unallowable Expenditures Paid with Department of Energy Grant Funds, Insufficient Oversight and Lack of Compliance Assurance by Departmental Research Administration Office, Inappropriate Responsibilities and Access Assigned to Non-University Personnel, Departmental Non-Compliance with Faculty Annual Review Requirements, and Insufficient Oversight of PI’s Sales and Service Account by Departmental Business Office. Report issued 8/2/19. Number of Audit Issues Remaining Open: 1 (corrective action in process) Number of Audit Issues Closed: 0</td>
</tr>
<tr>
<td>Non-Salary Year End Transfer of Expenses</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Internal Audit Universe Risk - Internal Controls</td>
<td>4. Pursue organizational excellence</td>
<td>Complete - In Follow-up</td>
<td>The objective of this university-wide audit was to review fiscal year-end non-salary related journal entries to determine if the transactions were processed accurately, properly, and in compliance with state and university requirements. Poole College of Management (PCOM) is working on corrective actions for 3 issues related to PCOM Business Office Accounting and Business Practices, Journal Entry Compliance and Journal Entry Training, and Journal Entry Supporting Documentation. Report issued 11/13/19 Number of Audit Issues Remaining Open: 3 (corrective actions in process) Number of Audit Issues Closed: 0</td>
</tr>
<tr>
<td>College of Engineering - Materials Science and Engineering - Purchasing Investigation</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>4. Pursue organizational excellence</td>
<td>Complete - In Follow-up</td>
<td>The objective of this audit was to investigate allegations from an internal source of potential conflict of interest and misuse of federal funds. The allegations were substantiated and the unit is working on corrective actions for 8 issues related to Inaccurate and Incomplete Conflict of Interest Disclosure and Lack of Management Plan, PI’s Pattern of Misconduct and Non-Compliance, Unallowable Expenditures Paid with National Science Foundation Grant Funds, Unallowable Expenditures Paid with Department of Energy Grant Funds, Insufficient Oversight and Lack of Compliance Assurance by Departmental Research Administration Office, Inappropriate Responsibilities and Access Assigned to Non-University Personnel, Departmental Non-Compliance with Faculty Annual Review Requirements, and Insufficient Oversight of PI’s Sales and Service Account by Departmental Business Office. Report issued 12/19/19. Number of Audit Issues Remaining Open: 8 (corrective actions in process) Number of Audit Issues Closed: 0</td>
</tr>
<tr>
<td>Audit of Expenditures from Special Academic Program Resources</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Internal Audit Universe Risk - Internal Controls</td>
<td>1. Enhance student success</td>
<td>Report in Process</td>
<td>The objectives of this audit were to assess whether: • Governing processes and procedures were in place to establish requirements and guidance for the collection and appropriate use of these special funds within colleges and departments • Revenues for special academic programs were collected from the appropriate students at the maximum allowable amounts per term and were distributed to programs appropriately • Expenditures were consistent with requirements, guidance, and historical practices governing the use of these special funds • Expenditures were appropriately allocated and classified within the University’s Financials System (Financials System)</td>
</tr>
<tr>
<td>College of Agriculture and Life Sciences (CALS) - NC Cooperative Extension (NCCE) - Business Process Governance</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Internal Audit Universe Risk - Internal Controls</td>
<td>4. Pursue organizational excellence</td>
<td>Report in Process</td>
<td>The objective of this audit is to review the combination of governance processes and structures implemented by CALS NC State Extension leadership in order to inform, direct, manage and monitor NCCE activities toward the achievement of its strategic goals.</td>
</tr>
<tr>
<td>Engagement</td>
<td>On Original Fiscal Year 2020 Audit Plan?</td>
<td>Coverage of University Strategic Risks</td>
<td>Fiscal Year 2020 University Strategic Plan Goals</td>
<td>Status</td>
<td>Auditor Comments</td>
</tr>
<tr>
<td>------------</td>
<td>----------------------------------------</td>
<td>---------------------------------------</td>
<td>-----------------------------------------------</td>
<td>--------</td>
<td>-------------------</td>
</tr>
<tr>
<td>College of Sciences (CCS) - General Information Technology (IT) Controls</td>
<td>No - Carried Forward From Prior Year</td>
<td>3 - Data or Cyber Security Breach</td>
<td>4. Pursue organizational excellence</td>
<td>Report in Process</td>
<td>The objective of this audit is to evaluate governance over and effectiveness of IT controls within COS IT operations. These include the organizational and administrative structure of the IT function, IT strategic decision-making, the existence of policies and procedures, availability of staff and their skills, and the overall controls in the environment. Controls include security management, change management, configuration management, contingency planning, and vulnerability management. The audit will review the adequacy and effectiveness of the controls and how IT functions support the university, college’s, and department’s goals.</td>
</tr>
<tr>
<td>College of Engineering - Materials Science and Engineering - Vendor Management Investigation</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>4. Pursue organizational excellence</td>
<td>Report in Process</td>
<td>The objective of this audit is to investigate allegations from an internal source about a possible conflict of interest and non-compliance with purchasing requirements.</td>
</tr>
<tr>
<td>Review of Corrective Actions for National Science Foundation (NSF) 2018 Performance Audit of Incurred Costs</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Internal Audit Universe Risk - Regulatory Non-Compliance</td>
<td>Fieldwork in Process</td>
<td>The objective of this audit is to perform follow-up of corrected actions for audit issues reported in the May 18, 2018 NSF Office of the Inspector General audit.</td>
<td></td>
</tr>
<tr>
<td>College of Agriculture and Life Sciences (CALS) - Prestige Department of Poultry Science</td>
<td>Yes</td>
<td>Other - Internal Audit Universe Risk - Regulatory Non-Compliance</td>
<td>Fieldwork in Process</td>
<td>The objectives of this audit are to evaluate the efficiency and effectiveness of the department, review internal controls, and assess compliance with federal, state, university and CALS policies and procedures.</td>
<td></td>
</tr>
<tr>
<td>Federal Safeguards Rule - Security Requirements Audit</td>
<td>No - Added</td>
<td>Other - Internal Audit Universe Risk - Identification and Risk Management</td>
<td>Planning In Process</td>
<td>The objective of this audit is to determine if the university is compliant with 2 CFR Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Appendix XI - Compliance Supplement (Federal Safeguards Rule) by implementing core elements of the rule, specifically: • Whether the university designated an individual to coordinate the information security program • Performed a risk assessment that addresses the three areas noted in 16 CFR 314.4 (b) • Documented safeguards for identified risks</td>
<td></td>
</tr>
<tr>
<td>College of Engineering - NC Clean Energy Technology Center Investigation</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>Planning In Process</td>
<td>The objective of this audit is to determine if employee’s involvement with 3rd party consultant is appropriate and in compliance with university policies.</td>
<td></td>
</tr>
<tr>
<td>Title IX Governance Processes</td>
<td>Yes</td>
<td>Other - Internal Audit Universe Risk - Effectiveness and Efficiency of Process</td>
<td>On-Hold - In Planning</td>
<td>The objective of this audit is to assess the effectiveness of the processes governing and ensuring Title IX compliance. This engagement was placed on hold due to temporarily limited resources and higher priority engagements.</td>
<td></td>
</tr>
<tr>
<td>Office of Finance and Administration - Environmental Health and Public Safety - Security Applications and Technologies (SAT) - Physical Access Services</td>
<td>Yes</td>
<td>Other - Internal Audit Universe Risk - Internal Controls</td>
<td>On-Hold - In Planning</td>
<td>The objective of this audit is to assess services for granting, revoking, and managing the physical access to campus locations supported by SAT. This engagement was placed on hold due to temporarily limited resources and higher priority engagements.</td>
<td></td>
</tr>
</tbody>
</table>
## NC State University Internal Audit Division
### Fiscal Year 2020 Audit Plan and Engagement Status
**As of January 31, 2020**

<table>
<thead>
<tr>
<th>Engagement</th>
<th>On Original Fiscal Year 2020 Audit Plan?</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration and Compliance Over Salary Supplements</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to review administration of supplemental salary and university-wide compliance to requirements.</td>
</tr>
<tr>
<td>College of Humanities and Social Sciences - Institute for Nonprofits - Business Processes</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to review the business operations of the institute including governance, internal controls, efficiency and effectiveness of processes, and compliance to federal, state, and university requirements.</td>
</tr>
<tr>
<td>Office of Finance and Administration - Facilities - Informal Construction Contracts Award Process</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to review compliance with the bid rules governing the university's informal construction contract award processes and evaluate for favoritism or bias.</td>
</tr>
<tr>
<td>Poole College of Management - Financial Business Processes</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to comprehensively audit internal controls and governance over the financial business processes, efficiency and effectiveness of processes, and compliance to federal, state, and university requirements. This audit will also serve as follow-up to issues found in fiscal year 2019 audit engagements; Special Academic Resources, Non-Salary Year End Transfer of Expenses.</td>
</tr>
<tr>
<td>Wilson College of Textiles - Nonwovens Institute - Business Processes</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to review the business operations of the institute including governance, internal controls, efficiency and effectiveness of processes, compliance to federal, state, and university requirements.</td>
</tr>
<tr>
<td>Office of Finance and Administration - Facilities - Energy Management Systems - Cyber Security for University Power and Water Systems</td>
<td>Yes</td>
<td></td>
<td></td>
<td>Not Started</td>
<td>The objective of this audit is to review the effectiveness of policies, procedures, and controls securing the university's power and water systems.</td>
</tr>
</tbody>
</table>

### Current Year Audit Follow-Up

<p>| College of Engineering - Materials Science and Engineering - Purchasing Investigation - Follow-up | Yes | Other - Prior Year Strategic Risk - Employee Misconduct | | Follow-up - In Process | The objective of this audit was to investigate allegations from an internal source regarding alleged personal purchases by an employee on a PCard and in Marketplace. The allegations were substantiated and corrective action has been completed, Internal Audit is finalizing follow-up review. Original Report issued 8/2/19. Number of Audit Issues Remaining Open: 1 Number of Audit Issues Closed: 0 |
| Non-Salary Year End Transfer of Expenses - Follow-up | Yes | Other - Internal Audit Universe Risk - Internal Controls | | Corrective Actions in Process | The objective of the audit was to review fiscal year end non-salary related journal entries to determine if the transactions were processed accurately, properly, and in compliance with state and university requirements. Units are working on corrective actions for 3 issues related to Poole College of Management Business Office Accounting and Business Practices, Journal Entry Compliance and Journal Entry Training, and Journal Entry Supporting Documentation. Original Report issued 11/13/19. Number of Audit Issues Remaining Open: 3 Number of Audit Issues Closed: 0 |</p>
<table>
<thead>
<tr>
<th>Engagement</th>
<th>On Original Fiscal Year 2020 Audit Plan?</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Engineering - Materials Science and Engineering Investigation - Follow-up</td>
<td>Yes</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>4. Pursue organizational excellence</td>
<td>Corrective Actions in Process</td>
<td>The objective of this audit was to investigate allegations from an internal source of potential conflict of interest and misuse of federal funds. The allegations were substantiated and units are working on corrective actions for 8 issues related to inaccurate and incomplete Conflict of Interest Disclosure and Lack of Management Plan, PI's Pattern of Misconduct and Non-Compliance, Unallowable Expenditures Paid with National Science Foundation Grant Funds, Unallowable Expenditures Paid with Department of Energy Grant Funds, Insufficient Oversight and Lack of Compliance Assurance by Departmental Research Administration Office, Inappropriate Responsibilities and Access Assigned to Non-University Personnel, Departmental Non-Compliance with Faculty Annual Review Requirements, and Insufficient Oversight of PI's Sales and Service Account by Departmental Business Office. Original Report issued 12/19/19. Number of Audit Issues Remaining Open: 8 Number of Audit Issues Closed: 0</td>
</tr>
<tr>
<td>PRIOR YEARS' AUDIT FOLLOW-UP</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Agriculture and Life Sciences - Prestige Department of Poultry Science - Feed Mill Education Unit Investigation - Follow-up [Phase 2]</td>
<td>Yes</td>
<td>Other - Prior Year Strategic Risk - Employee Misconduct</td>
<td>4. Pursue organizational excellence</td>
<td>Closed</td>
<td>The objective of this audit was to investigate allegations from an internal source to determine if the unit's purchase of a truck owned by the unit's manager was conducted in a manner that was transparent to university administration and in compliance with state and university requirements. 3 issues were noted related to manager deliberately misrepresenting material facts in order to gain approval to sell his personal vehicle to the Feed Mill Education Unit, inadequate review and approval of transactions, and a culture of non-compliance. Original report issued 2/19/19. Follow-up completed, audit closed 1/27/20.</td>
</tr>
<tr>
<td>User Controls Over Ultra-Sensitive Data - Follow-up</td>
<td>Yes</td>
<td>3 - Data or Cyber Security Breach</td>
<td>4. Pursue organizational excellence</td>
<td>Corrective Actions in Process</td>
<td>The objectives of this audit were to: determine whether university users with known access to ultra-sensitive data are adequately protecting the data throughout business process lifecycles; identify - to the extent possible - previously unknown areas where ultra-sensitive data is transmitted and stored; and, assess whether current university users with access to ultra-sensitive data actually have a legitimate business need for the data. 23 issues were reported. Units continue to work on corrective actions for 15 issues related to guidance, training, storage, retention, verification processes, access, and approval processes. Report issued 3/26/18. Number of Audit Issues Remaining Open: 15 Number of Audit Issues Closed: 8</td>
</tr>
<tr>
<td>Campus Enterprises - NC State Dining - Vendor Processes Fraud Risk Assessment - Follow-up</td>
<td>Yes</td>
<td>3 - Data or Cyber Security Breach</td>
<td>4. Pursue organizational excellence</td>
<td>Corrective Actions in Process</td>
<td>The objective of this audit was to assess the effectiveness of NC State's Dining's vendor payment processes and internal controls at reducing the risk of fraud. Internal Audit is finalizing follow-up review on corrective action for issue related to non-compliance with university IT security requirements and unit is working on corrective action related to use of non-university vendor payment and accounting systems creating redundancy, extra work, and unnecessary risk. Report issued 3/12/19. Number of Audit Issues Remaining Open: 2 Number of Audit Issues Closed: 0</td>
</tr>
</tbody>
</table>
### NC State University Internal Audit Division

**Fiscal Year 2020 Audit Plan and Engagement Status**

**As of January 31, 2020**

<table>
<thead>
<tr>
<th>Engagement</th>
<th>On Original Fiscal Year 2020 Audit Plan?</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Campus Enterprises - NC State Stores - Vendor Processes Fraud Risk Assessment - Follow-up</td>
<td>Yes</td>
<td>3 - Data or Cyber Security Breach</td>
<td></td>
<td>Corrective Actions in Process</td>
<td>The objective of this audit was to assess the effectiveness of NC State's Stores' vendor payment processes and internal controls at reducing the risk of fraud. Internal Audit is finalizing follow-up review on corrective action for issue related to non-compliance with university IT security requirements and unit is working on corrective action related to issue on use of non-university vendor payment and accounting systems creating redundancy, extra work, and unnecessary risk. Report issued 3/12/19. Number of Audit Issues Remaining Open: 2 Number of Audit Issues Closed: 0</td>
</tr>
<tr>
<td>Implementation of Accounts Payable Vendor Management System</td>
<td>No - Carried Forward From Prior Year</td>
<td>Other - Internal Audit Universe Risk - Fraud</td>
<td>4. Pursue organizational excellence</td>
<td>Closed</td>
<td>Consulted with the University Controller's Office on their implementation of a vendor management system application. Consultation closed: 07/30/19</td>
</tr>
<tr>
<td>Office of the State Auditor (OSA) - Audit of the 2019 NCSU Financial Statements</td>
<td>No - Carried Forward From Prior Year</td>
<td>3 - Data or Cyber Security Breach</td>
<td></td>
<td>Closed</td>
<td>Consulted with Office of Information Technology - Security and Compliance on the Information Technology controls portion of the annual NCSU Financial Statement Audit by OSA. Consultation closed: 11/21/19</td>
</tr>
<tr>
<td>College of Agriculture and Life Sciences - Applied Ecology Fish Barn</td>
<td>No - Added</td>
<td>Other - Internal Audit Universe Risk - Regulatory Non-Compliance</td>
<td></td>
<td>Closed</td>
<td>Consulted with Institutional Animal Care and Use Committee and the University Veterinarian on an allegation related to the College of Agriculture and Life Sciences - Applied Ecology Fish barns. Consultation closed: 11/21/19</td>
</tr>
<tr>
<td>Enterprise Research Administration (ERA) Project and Research Enterprise Database (RED) Implementation</td>
<td>Yes</td>
<td>3 - Data or Cyber Security Breach</td>
<td>4. Pursue organizational excellence</td>
<td>In Process</td>
<td>Providing advisory and consulting services, and oversight to the Office of Research and Innovation, Office of Finance and Administration, and Office of Information Technology for the replacement of multiple legacy systems used for enterprise research administration activities. NC State has partnered with InfoEd Global to implement a new, state-of-the-art ERA system, the RED system. According to the ERA website, the ERA project mission is &quot;to streamline sponsored programs administration by identifying and implementing a system which integrates the lifecycle of the research administration processes. This includes proposal development and submission, through award management, financial administration, and closeout. We will ensure the System is fully integrated, easy to use, and increase the efficacy of our compliance efforts.&quot;</td>
</tr>
<tr>
<td>Health Insurance Portability and Accountability Act (HIPAA) Security Implementation Project</td>
<td>Yes</td>
<td>3 - Data or Cyber Security Breach</td>
<td>4. Pursue organizational excellence</td>
<td>In Process</td>
<td>Consulting with Office of Information Technology - Security and Compliance on implementation of recommendations from an outside consultant to ensure all HIPAA Security risk areas identified are addressed.</td>
</tr>
</tbody>
</table>

**Consulting Engagements**

<table>
<thead>
<tr>
<th>Engagement</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office of Finance and Administration - Vice Chancellor Search Committee</td>
<td>No - Carried Forward From Prior Year</td>
<td>N/A</td>
<td>N/A</td>
<td>Closed</td>
</tr>
</tbody>
</table>
## NC STATE UNIVERSITY INTERNAL AUDIT DIVISION

### FISCAL YEAR 2020 AUDIT PLAN AND ENGAGEMENT STATUS

**AS OF JANUARY 31, 2020**

<table>
<thead>
<tr>
<th>Engagement</th>
<th>On Original Fiscal Year 2020 Audit Plan?</th>
<th>Coverage of University Strategic Risks</th>
<th>Fiscal Year 2020 University Strategic Plan Goals</th>
<th>Status</th>
<th>Auditor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Compliance, Enterprise Risk Management and Ethics Officer Nominating Committee</td>
<td>No - Added</td>
<td>N/A</td>
<td>N/A</td>
<td>Closed</td>
<td>Chief Audit Officer &amp; Director was on the nominating committee for the Chief Compliance, Enterprise Risk Management and Ethics Officer. Engagement closed 1/15/20.</td>
</tr>
<tr>
<td>University Compliance and Integrity Initiative</td>
<td>No - Added</td>
<td>Other - Internal Audit Universe Risk - Governance, Prior Year Strategic Risk - Employee Misconduct, Internal Audit Universe Risk - Fraud, Internal Audit Universe Risk - Internal Controls, Internal Audit Universe Risk - Regulatory Non-Compliance, Internal Audit Universe Risk - Effectiveness and Efficiency of Process</td>
<td></td>
<td>Closed</td>
<td>Collaborated with Compliance Manager office to enhance university-wide compliance activities by increasing collaboration and expanding reporting opportunities for student, faculty, and staff for ethical or compliance related concerns. The goal was to provide a positive compliance experience, to provide compliance educational opportunities, and create and provide quality resources that will optimize compliance activity. Engagement closed 1/15/20.</td>
</tr>
<tr>
<td>Business Operations Group - 2019 Steering Committee</td>
<td>No - Added</td>
<td>Other - Internal Audit Universe Risk - Effectiveness and Efficiency of Process</td>
<td>4. Pursue organizational excellence</td>
<td>Closed</td>
<td>Chief Audit Officer &amp; Director is on the steering committee for the Business Operations Group. The objectives and responsibilities of this steering committee are to: Advise the Vice Chancellor of Finance and Administration about planning for the Business Operations Group meetings, represent all colleges and units in suggesting potential topics and speakers, evaluate the effectiveness of the Business Operations Group meetings and suggest improvements, and actively participate in Business Operations Group Meetings. Engagement closed 1/15/20.</td>
</tr>
<tr>
<td>University Information Technology (IT) Governance Committees</td>
<td>Yes</td>
<td>Other - Internal Audit Universe Risk - Governance</td>
<td></td>
<td>OnGoing</td>
<td>Internal Audit Division is providing objective, independent input to various university IT committees as they recommend and implement IT policies and technology to ensure the best possible decisions in advancing the use of technology meets the university’s mission, vision, and goals.</td>
</tr>
<tr>
<td>Data Analytics Internal Project</td>
<td>No - Added</td>
<td>N/A</td>
<td></td>
<td>OnGoing</td>
<td>Internal Audit Division is using data analytics software to identify anomalies, trends, and risks within financial business processes such as purchasing and journal entries. The majority of staff have been trained in the use of this software. This supplements current audit activities with more efficient analysis and quicker turnaround of corrective actions.</td>
</tr>
<tr>
<td>College Information Technology (IT) Maturity Assessment</td>
<td>Yes</td>
<td>Other - Internal Audit Universe Risk - Effectiveness and Efficiency of Process</td>
<td></td>
<td>Not Started</td>
<td>To assess College IT operations against the Committee of Sponsoring Organizations of the Treadway Commission (COSO) maturity model to assess risks.</td>
</tr>
<tr>
<td><strong>CONTINUOUS RISK ASSESSMENT AND AUDIT PLANNING</strong></td>
<td></td>
<td></td>
<td></td>
<td>OnGoing</td>
<td>All team members visit faculty and staff across the university throughout the year to discuss their unit’s strategic plans, goals, and risk posture in relation to the University’s Mission. This includes new and on-going activities related to their academic, research, and outreach missions and potential concerns or emerging risks to both strategic and tactical goals at the unit and university level. This process supports the identification of potential audit and consulting engagements and is used as an objective tool in the development of our Annual Audit Plan.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key: Closed</th>
<th>In Process</th>
<th>Not Started</th>
<th>On-Hold</th>
<th>Corrective Actions in Process</th>
<th>Returning to Continuous Risk Assessment</th>
</tr>
</thead>
</table>

* 32 Strategic Conversations as of 1/27/20
### 2019-20 NC State University Budget

**Fiscal Year 2019-20 Budget**

**Estimated Revenue by Source (in $millions)**

<table>
<thead>
<tr>
<th>Source</th>
<th>2019-20</th>
<th>2018-19</th>
<th>2017-18</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracts &amp; Grants, $378, 22%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees, $354, 21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales &amp; Services, $277, 16%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Noncapital Gifts, $84, 5%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Federal Appropriations, $25, 1%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations, $525, 31%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Sources, $71, 4%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL EXPENDED</td>
<td>$302</td>
<td>$311</td>
<td>$328</td>
</tr>
</tbody>
</table>

### Extramural Contracts and Grants Expenditures

**By Sponsor** (in $millions)

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environ. Protection Agency</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Nat'l Aeronaut. &amp; Space Admin.</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Interior</td>
<td>3</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Education</td>
<td>4</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Commerce</td>
<td>6</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Energy</td>
<td>25</td>
<td>22</td>
<td>24</td>
</tr>
<tr>
<td>Office of Finance &amp; Administration</td>
<td>554</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agriculture</td>
<td>27</td>
<td>27</td>
<td>28</td>
</tr>
<tr>
<td>Defense</td>
<td>25</td>
<td>27</td>
<td>28</td>
</tr>
<tr>
<td>National Science Foundation</td>
<td>53</td>
<td>53</td>
<td>53</td>
</tr>
<tr>
<td>TOTAL FEDERAL</td>
<td>$172</td>
<td>$175</td>
<td>$178</td>
</tr>
</tbody>
</table>

### Extramural Contracts and Grants Expenditures

**By Colleges and Units** (in $millions)

<table>
<thead>
<tr>
<th>College/Unit</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture &amp; Life Sciences</td>
<td>$66</td>
<td>$68</td>
<td>$71</td>
</tr>
<tr>
<td>Design</td>
<td>1</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Education</td>
<td>11</td>
<td>14</td>
<td>18</td>
</tr>
<tr>
<td>Engineering</td>
<td>84</td>
<td>89</td>
<td>95</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>10</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>7</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Sciences</td>
<td>39</td>
<td>41</td>
<td>39</td>
</tr>
<tr>
<td>Wilson College of Textiles</td>
<td>5</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>9</td>
<td>10</td>
<td>11</td>
</tr>
<tr>
<td>Poole College of Management</td>
<td>1</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>TOTAL COLLEGES</td>
<td>$233</td>
<td>$247</td>
<td>$260</td>
</tr>
</tbody>
</table>

### Extramural Contracts and Grants Expenditures

**By Colleges and Units** (in $millions)

<table>
<thead>
<tr>
<th>College/Unit</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture</td>
<td>27</td>
<td>27</td>
<td>28</td>
</tr>
<tr>
<td>Defense</td>
<td>25</td>
<td>27</td>
<td>28</td>
</tr>
<tr>
<td>National Science Foundation</td>
<td>53</td>
<td>53</td>
<td>53</td>
</tr>
<tr>
<td>TOTAL FEDERAL</td>
<td>$172</td>
<td>$175</td>
<td>$178</td>
</tr>
</tbody>
</table>

### State Appropriations

- **41**, 31%

### Private / Industry

- **89**, 93%

### Total Expenditures

- **$302**, 2016-17
- **$311**, 2017-18
- **$328**, 2018-19

**Facil. & Admin. included in above**

- **$52**, 2016-17
- **$54**, 2017-18
- **$57**, 2018-19

### Additional Budget and Financial Information

- [Office of Finance & Administration](https://ofa.ncsu.edu/)
- [Division of Budget & Resource Management](https://brm.ofa.ncsu.edu/)
- [Budget Central](https://budget.ncsu.edu/budgetcentral/)

**12/17/2019**
### Revenue Sources

<table>
<thead>
<tr>
<th>Source</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Appropriations</td>
<td>$506</td>
<td>$515</td>
<td>$522</td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>307</td>
<td>330</td>
<td>344</td>
</tr>
<tr>
<td>Federal Appropriations</td>
<td>23</td>
<td>22</td>
<td>28</td>
</tr>
<tr>
<td>Contracts &amp; Grants</td>
<td>334</td>
<td>344</td>
<td>364</td>
</tr>
<tr>
<td>Sales &amp; Services</td>
<td>253</td>
<td>264</td>
<td>270</td>
</tr>
<tr>
<td>Noncapital Gifts</td>
<td>78</td>
<td>76</td>
<td>81</td>
</tr>
<tr>
<td>Other Sources</td>
<td>53</td>
<td>60</td>
<td>62</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td><strong>$1,554</strong></td>
<td><strong>$1,611</strong></td>
<td><strong>$1,671</strong></td>
</tr>
</tbody>
</table>

### Operating Expenditures by Program

<table>
<thead>
<tr>
<th>Program</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>$462</td>
<td>$474</td>
<td>$470</td>
</tr>
<tr>
<td>Organized Research</td>
<td>277</td>
<td>284</td>
<td>298</td>
</tr>
<tr>
<td>Public Service</td>
<td>128</td>
<td>131</td>
<td>136</td>
</tr>
<tr>
<td>Academic/Student Support</td>
<td>120</td>
<td>125</td>
<td>124</td>
</tr>
<tr>
<td>Institutional/Facilities Support</td>
<td>187</td>
<td>184</td>
<td>189</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>177</td>
<td>187</td>
<td>191</td>
</tr>
<tr>
<td>Student Financial Aid</td>
<td>47</td>
<td>48</td>
<td>49</td>
</tr>
<tr>
<td>Depreciation</td>
<td>96</td>
<td>99</td>
<td>100</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Program</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
<td><strong>$1,557</strong></td>
</tr>
</tbody>
</table>

### Operating Expenditures by Account

<table>
<thead>
<tr>
<th>Account</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$932</td>
<td>$950</td>
<td>$946</td>
</tr>
<tr>
<td>Supplies &amp; Materials</td>
<td>125</td>
<td>133</td>
<td>133</td>
</tr>
<tr>
<td>Services</td>
<td>263</td>
<td>272</td>
<td>298</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>44</td>
<td>45</td>
<td>46</td>
</tr>
<tr>
<td>Utilities</td>
<td>34</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>Depreciation</td>
<td>96</td>
<td>99</td>
<td>100</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Account</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
<td><strong>$1,557</strong></td>
</tr>
</tbody>
</table>

### Tuition, Fees, & Other Education Costs

<table>
<thead>
<tr>
<th>Category</th>
<th>2018-19</th>
<th>2019-20</th>
</tr>
</thead>
<tbody>
<tr>
<td>NC Resident: Tuition</td>
<td>$6,535</td>
<td>$6,535</td>
</tr>
<tr>
<td>Non-Resident: Tuition</td>
<td>$25,878</td>
<td>$26,654</td>
</tr>
<tr>
<td>Housing</td>
<td>6,714</td>
<td>6,714</td>
</tr>
<tr>
<td>Meals</td>
<td>4,364</td>
<td>4,645</td>
</tr>
<tr>
<td>Books &amp; Supplies</td>
<td>1,082</td>
<td>1,082</td>
</tr>
<tr>
<td>Personal Expenses</td>
<td>1,567</td>
<td>1,576</td>
</tr>
<tr>
<td>Transportation</td>
<td>1,100</td>
<td>1,100</td>
</tr>
<tr>
<td><strong>Total Colleges &amp; Provost's Units</strong></td>
<td><strong>$1,396</strong></td>
<td><strong>$1,445</strong></td>
</tr>
</tbody>
</table>

### Operating Expenditures by Account

<table>
<thead>
<tr>
<th>Account</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$932</td>
<td>$950</td>
<td>$946</td>
</tr>
<tr>
<td>Supplies &amp; Materials</td>
<td>125</td>
<td>133</td>
<td>133</td>
</tr>
<tr>
<td>Services</td>
<td>263</td>
<td>272</td>
<td>298</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>44</td>
<td>45</td>
<td>46</td>
</tr>
<tr>
<td>Utilities</td>
<td>34</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>Depreciation</td>
<td>96</td>
<td>99</td>
<td>100</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Account</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
<td><strong>$1,557</strong></td>
</tr>
</tbody>
</table>

### Other Estimated Costs

<table>
<thead>
<tr>
<th>Category</th>
<th>2018-19</th>
<th>2019-20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing</td>
<td>8,802</td>
<td>8,802</td>
</tr>
<tr>
<td>Meals</td>
<td>4,364</td>
<td>4,645</td>
</tr>
<tr>
<td>Books &amp; Supplies</td>
<td>854</td>
<td>854</td>
</tr>
<tr>
<td>Personal / Travel Expenses</td>
<td>3,740</td>
<td>3,740</td>
</tr>
<tr>
<td><strong>Doctor of Veterinary Medicine (DVM)</strong></td>
<td><strong>$16,861</strong></td>
<td><strong>$17,039</strong></td>
</tr>
<tr>
<td>Non-Resident: Tuition</td>
<td>$44,064</td>
<td>$45,080</td>
</tr>
<tr>
<td>Non-Resident: Tuition</td>
<td>$25,405</td>
<td>$26,421</td>
</tr>
<tr>
<td>Housing</td>
<td>6,714</td>
<td>6,714</td>
</tr>
<tr>
<td>Meals</td>
<td>4,364</td>
<td>4,645</td>
</tr>
<tr>
<td>Books &amp; Supplies</td>
<td>854</td>
<td>854</td>
</tr>
<tr>
<td>Personal / Travel Expenses</td>
<td>3,740</td>
<td>3,740</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Account</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
</tr>
</tbody>
</table>

### Revenue & Expenditure History

<table>
<thead>
<tr>
<th>Category</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition</td>
<td>$6,535</td>
<td>$6,535</td>
<td></td>
</tr>
<tr>
<td>Fees</td>
<td>2,566</td>
<td>2,566</td>
<td></td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td><strong>$1,554</strong></td>
<td><strong>$1,611</strong></td>
<td><strong>$1,671</strong></td>
</tr>
<tr>
<td><strong>Total Operating Expenditures</strong></td>
<td><strong>$1,974</strong></td>
<td><strong>$2,093</strong></td>
<td><strong>$2,184</strong></td>
</tr>
</tbody>
</table>

### Endowment Assets

<table>
<thead>
<tr>
<th>Category</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment Assets</td>
<td>$1,123</td>
<td>$1,294</td>
<td>$1,401</td>
</tr>
</tbody>
</table>

### Operating Expenditures by Account

<table>
<thead>
<tr>
<th>Account</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$932</td>
<td>$950</td>
<td>$946</td>
</tr>
<tr>
<td>Supplies &amp; Materials</td>
<td>125</td>
<td>133</td>
<td>133</td>
</tr>
<tr>
<td>Services</td>
<td>263</td>
<td>272</td>
<td>298</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>44</td>
<td>45</td>
<td>46</td>
</tr>
<tr>
<td>Utilities</td>
<td>34</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>Depreciation</td>
<td>96</td>
<td>99</td>
<td>100</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Account</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
<td><strong>$1,557</strong></td>
</tr>
</tbody>
</table>

### Student Enrollment

<table>
<thead>
<tr>
<th>Category</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td>645,200</td>
<td>661,679</td>
<td>678,739</td>
</tr>
<tr>
<td>Graduate</td>
<td>146,573</td>
<td>152,338</td>
<td>151,947</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>791,773</td>
<td>814,017</td>
<td>830,686</td>
</tr>
</tbody>
</table>

### Unduplicated Headcount

<table>
<thead>
<tr>
<th>Category</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td>23,827</td>
<td>24,150</td>
<td>25,199</td>
</tr>
<tr>
<td>Graduate</td>
<td>9,928</td>
<td>10,282</td>
<td>10,280</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>33,755</td>
<td>34,432</td>
<td>35,479</td>
</tr>
</tbody>
</table>

### Year-End Financial Report Totals

<table>
<thead>
<tr>
<th>Category</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$932</td>
<td>$950</td>
<td>$946</td>
</tr>
<tr>
<td>Supplies &amp; Materials</td>
<td>125</td>
<td>133</td>
<td>133</td>
</tr>
<tr>
<td>Services</td>
<td>263</td>
<td>272</td>
<td>298</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>44</td>
<td>45</td>
<td>46</td>
</tr>
<tr>
<td>Utilities</td>
<td>34</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>Depreciation</td>
<td>96</td>
<td>99</td>
<td>100</td>
</tr>
<tr>
<td><strong>Total Operating Expenditures by Account</strong></td>
<td><strong>$1,494</strong></td>
<td><strong>$1,532</strong></td>
<td><strong>$1,557</strong></td>
</tr>
</tbody>
</table>

### Effective with the Fall 2016 semester, the State of NC and NC State University implemented the Fixed Tuition Program in which tuition for all resident bachelor’s degree-seeking freshmen will be fixed for eight consecutive semesters (N.C.G.S. § 116-143.9). Some professional, graduate, and certificate programs have an additional "premium tuition" charge.

More information on Tuition & Fees may be found on: [https://studentservices.ncsu.edu/your-money/tuition-and-fees/](https://studentservices.ncsu.edu/your-money/tuition-and-fees/)
MEMORANDUM

TO: Audit, Risk Management and Finance Committee

FROM: Mary Peloquin-Dodd
Associate Vice Chancellor, Finance and University Treasurer

SUBJECT: Annual Financial Reports

DATE: January 31, 2020

The Audit, Risk Management and Finance Committee is charged with receiving reports regarding the financials of the university. For your reference, we are providing you with the links to State Auditor’s Report and the University’s Financial Report for fiscal year 2019. Before the November 2019 meeting, as members of this committee, you received the link to the State Auditors report.


The University Annual Financial Report, compiled and published by the Controller’s Office can be found on the University’s website at: [https://controller.ofa.ncsu.edu/files/2020/01/2019-NCSU-FIN-STATEMENT-Final-Optimized.pdf](https://controller.ofa.ncsu.edu/files/2020/01/2019-NCSU-FIN-STATEMENT-Final-Optimized.pdf)
The Endowment Fund of North Carolina State University
2019 Annual Report

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

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

REPORT
The Endowment Fund’s net assets were $501.2 million at June 30, 2019 as compared to $468.2 million at June 30, 2018, an increase of 7%. The increase is primarily attributable to net investment gains and appreciation in fiscal year 2019. The net $33 million increase includes $27 million in net investment gains and appreciation, $18.5 million in gifts and matching, less endowment spending and transfers to other university funds of $12.5 million.

Net assets are made up of cash ($30 million), directly owned programmatic assets ($95.9 million), pooled real estate ($2.8 million), and pooled long-term investments ($372.5 million). There are 258 endowments, consisting of 80 scholarships, 9 fellowships, 116 professorships and 53 endowments with a variety of other purposes. A ten-year historical chart of net asset values is provided below:

The Endowment Fund’s investable assets of $372.5 million are held with the NC State Investment Fund, Inc. (NCSIF).

During the fiscal year, the NCSIF continued its investment with UNC Management Company (UNCMC). UNCMC provides investment management services to the constituent institutions of the UNC System through a pooled investment vehicle called the UNC Investment Fund (System Fund). The NCSIF began investing its non-committed assets with the System Fund effective July 2008 with completion of the transition occurring December 2009, and has a 14% membership interest in the System Fund as of June 30, 2019.

In addition to the allocation with the System Fund of $919.03 million as of June 30, 2019, the NCSIF had $23.16 million with other managers in private equity funds, $105.92 million in a BlackRock Liquid Policy Portfolio (LPP), and $25.37 million in the State Treasurer’s Short-Term Investment Fund (STIF).
For the long term, the primary investment objective for the NCSIF is to earn a total return (net of investment and custodial fees) within prudent levels of risk, sufficient to maintain in real terms the purchasing power of the NCSIF and to meet the spending needs of the participants. To help meet this investment objective, the NCSIF invests in various asset classes to offer diversification. The purpose of diversification is to provide reasonable assurance that no single security or class of securities will have a disproportionate impact on the performance of the total fund.

NCSIF’s allocation to managers as of June 30, 2019 is as follows:

![NCSIF Allocation Chart]

NCSIF’s actual asset allocation as of June 30, 2019 is as follows:

![NCSIF Asset Allocation Chart]

For the fiscal year ended June 30, 2019, the NCSIF experienced a net investment return of 7.3% compared to the policy benchmark of 6.0%. The NCSIF’s annualized 5-year return as of June 30, 2019 was 7.6% as compared with the System Fund of 7.7% and to the policy benchmark of 5.6%.

Respectfully submitted,

Board of Trustees of the Endowment Fund of North Carolina State University
MEMORANDUM

TO: Executive Officers and Deans  
Office of Finance and Administration Leadership Team  
Development Officers

FROM: Mary Peloquin-Dodd, Interim Vice Chancellor, Finance and Administration

SUBJECT: University Endowment Market Value and Investment Performance for Fiscal 2019

DATE: August 21, 2019

I am pleased to report that as we closed fiscal year 2019, the Total Endowment achieved top-quartile performance relative to other endowments, returning 7.3 percent for the fiscal year ending June 30, 2019. This exceptional return in a challenging year, coupled with gift receipts, helped to raise the University's Total Endowment to a historical high of $1.401 billion (compared with $1.297 billion on June 30, 2018), or an increase of $104 million.

NC State will report a June 30, 2019 market value of $1.4 billion in total endowment and 7.3% combined performance for the University and its associated entities to NACUBO and other national endowment surveys.

While recent investment market performance generates media headlines, we are more concerned about long term performance. The NC State Investment Fund (Fund), our centrally managed pooled investment fund, achieved top-quartile performance relative to other endowments, returning 7.3% for fiscal 2019. The Fund’s three, and five year average annual returns of 10.3%, and 7.6% as of June 30, 2019 place it in the top-quartile relative to other university endowments. The 9.4% percent average annual return over the 10 years ended June 30, 2019 was generated with 64% percent less volatility than the S&P 500 Index and 66% less volatility than the MSCI All Country World Index (MSCI ACWI).

The 2019 fiscal year was one characterized by volatility and the end stage of a long economic recovery; however, we also recognize that trying to predict “when” and the “where” for a market correction is a recipe for failure and beyond our abilities. Instead, we maintain a long-term focus, investing with best-in-class managers across a diversified mix of strategies. The purpose of diversification is to help ensure that no single class of securities has a disproportionate impact on aggregate performance results. In addition, we have sufficient liquidity since over 30% of the endowment could be liquidated within a month.

Within this context, philanthropy will always be important. As the University continues its “Think and Do the Extraordinary” Campaign, we are grateful for the tremendous support of our donors.

For more information on the Fund, please use this link: https://foundationsaccounting.ofa.ncsu.edu/investment-fund/
NC STATE UNIVERSITY
FINANCIAL REPORTING FOR INTERCOLLEGIATE ATHLETICS

NC State University Board of Trustees
Audit, Risk Management, & Finance Committee
February 27, 2020

A. EXECUTIVE SUMMARY

This document provides financial and related statistical information within the framework of the University of North Carolina System of Higher Education’s commitment to ensuring integrity and transparency as it relates to Intercollegiate Athletics. Reported to the Chancellor and Board of Trustees of NC State University, as well as the President and Board of Governors of the University of North Carolina System, this document provides information helpful to understanding the operations of NC State Intercollegiate Athletics and its relationship with the University.

In compliance with UNC Policy on Academic Activities of Student-Athletes (1100.1), Financial indicators of Campus Athletics Departments (1100.1.1[R]), and Academic Integrity (700.6.1.[R]), the following information has been included in this report: NCAA Dashboard reports for Fiscal Year 2017-18 (Attachment A); Fiscal Year 2019-20 Athletics Operating Budget (Attachment B); Athletics Related Student Fee Data for Fiscal Year 2019-20 (Attachment C); NC State Student Aid Association Audited Financial Statements (Attachment D); and “Booster” Club Operating Procedures (Attachment E).

NC State began holding intercollegiate athletic contests in 1892. We are a charter member (1953) of the Atlantic Coast Conference and are included in the Division I Football Bowl Subdivision. NCAA rules compliance, academic integrity, sound financial planning, student-athlete welfare, as well as appropriate University oversight are required.

NC State Athletics is not a separately incorporated entity. Rather, we operate as a self-supporting auxiliary unit within the established University structure.

B. NCAA PRESIDENTIAL DASHBOARD INDICATORS for 2017-2018:

The NCAA Presidential Dashboard provides seven key financial indicators (Attachment A). These indicators use percentage rankings to compare NC State with the Atlantic Coast Conference (ACC), Football Bowl Subdivision (FBS), Power 5 and other public universities, as well as those programs with budgets greater than $50 million. In addition to comparative percentile rankings, each of the seven key financial indicators is reported showing data points over a six year period as reported for Fiscal Year 2013 through Fiscal Year 2018.
1. Athletics Generated Revenues as a Percentage of Total Athletics Revenue

- In 2017-18, 89% of NC State Athletic Revenues were generated through, Conference Distributions, Ticket and Parking Sales, Scholarship Funds, Media Rights and Apparel Agreements (Uniforms and Equipment). This ratio has remained relatively consistent over the six years ended June 30, 2018. NC State is in the 70th percentile as compared to all other ACC Insitutions and in the 36th percentile compared to the Power Five. (Attachment: A-1)

- NC State Athletics derives approximately 7% of revenue from Student Fees. Athletics does not charge students for tickets for athletic events. The remaining 4% consists of various income including concessions and trademark licensing.

- Actual revenue for major categories for fiscal years 2018 and 2019 and projected revenues for the current year are shown below. ACC Conference distributions consist of television and ACC network revenue which makes up approximately 67% of the ACC Conference distribution. The remaining 33% consist of football bowl revenue and NCAA distribution. Ticket and parking prices have remained relatively flat with the first increase in football tickets in Fiscal Year 2020 for the first time since Fiscal Year 2010. Scholarship contributions have consistently increased due to changes in NCAA Legislation and mandatory University increases resulting in an increased need for scholarship funding. Media Rights and Apparel are revenue per negotiated contracts.

<table>
<thead>
<tr>
<th>Generated Revenues</th>
<th>Projected FY20</th>
<th>Actual FY19</th>
<th>Actual FY18</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference Distributions</td>
<td>$31,500,400</td>
<td>$30,640,160</td>
<td>$29,203,065</td>
</tr>
<tr>
<td>Ticket &amp; Parking Sales</td>
<td>$24,869,726</td>
<td>$24,129,406</td>
<td>$21,373,463</td>
</tr>
<tr>
<td>Scholarship Contributions</td>
<td>$15,723,596</td>
<td>$14,232,251</td>
<td>$13,767,164</td>
</tr>
<tr>
<td>Media Rights &amp; Apparel Contracts</td>
<td>$7,138,000</td>
<td>$8,189,906</td>
<td>$9,805,500</td>
</tr>
</tbody>
</table>

2. Net Revenues

- The “peak” in Fiscal Year 2014 Net Revenues (Attachment A-2) is caused by a material difference in expenditure recognition between the NCAA and NC State Athletics. We record both principal payments on debt and capital costs as expenditures, and in Fiscal Year 2014, the NCAA did not. As a result, the Fiscal Year 2014 Net Revenue “surplus” of $6.5M is higher by $5.3M in the NCAA Graph than in NC State reports.

- The steep decline in Net Revenues after Fiscal Year 2014 (Attachment A-2) results in part from a change in NCAA reporting requirements beginning in Fiscal Year 2015 – i.e., to reclassify debt principal payments as expenditures. The effects of this reporting change – along with other cash-basis practices in our internal reporting – contributed to
the appearance of a $3.2M Net Revenue deficit in Fiscal Year 2017. The remainder of the deficit resulted from a planned $1.8M expenditure of Athletic Department reserves to fund a transition in the Men's Basketball coaching staff along with coaching changes in four other sports. Fiscal Year 2018 NCAA revenue is $1.2 million excluding $812k in capital costs.

3. Total Expenditures


- $86.8 million ranks in the 17th percentile of the ACC and is below the conference median by approximately $15.6 million. We rank in the 8th percentile of the Power Five, $28.6 million below the median.

4. Salaries and Benefits as a Percentage of Total Athletic Expenditures

- NC State Athletics provides 100% of all compensation paid to coaches and staff through the Athletic Operating Fund to best ensure transparency. (Attachment: A-4). Major fluctuations in salary expenses occur during coaching staff transitions including an increase in Fiscal Year 2013 due to the Football staffing change, and Fiscal Year 2018 after the Men's Basketball staff change to include relocation expenses and contract buyouts of new staff, as well as contractual payments for former staff.

- The NC State ratio of salaries and benefits to total athletic expenditures is 42.2% and ranks in the 90th percentile of the ACC and the 91st percentile of the Power Five.

5. Athletics Expenses per Student-Athlete

- Expenditures of $160,363 per student-athlete at NC State is in the 30th percentile of the ACC. Spending per student-athlete has increased by $32,035, or 25%, over the past six years. (Attachment: A-5)

- NC State supports 23 sports and approximately 530 student-athletes (unduplicated number), a number of which participate on more than one team. In Fiscal Year 2019, 19 teams advanced to NCAA Championships, with 13 ranked in the top 25.

6. Athletics Expenditures as a Percentage of Institutional Expenditures

- Athletic Expenditures were 6% of Total Institutional Expense in Fiscal Year 2018. In 2017-18, one percent of Total Institutional Expense was approximately $15.3 million. (Attachment: A-6). The 6% rate puts NC State at the 43rd percentile of the ACC.
7. Spending Increase Gap

- This category compares the athletics expenditures rate of change with the university expenditures rate of change. A positive value means the athletics expenditures rate of change outpaced the university expenditures rate of change. A negative value means the university expenditures rate of change outpaced the athletics expenditures rate of change.

- NC State Athletics rate of change was (-2.7%) lower than that of the University in 2017-18. It may be worth noting that, except for the ACC in 2013, none of the indices fall below zero. (Attachment: A-7)

C. FISCAL YEAR 2019-2020 OPERATING BUDGETS

1. Revenue Budget

- NC State Athletics Operations Revenue Budget for Fiscal Year 2020 is approximately $89.8 million; an increase of 2.8% over the prior year. The increase is due primarily to ACC Conference Media Rights, Ticket/Suite Sales, Parking, and projected scholarship contributions. (Attachment: B-1)

2. Expense Budget

- NC State Athletics Operations Expense Budget for Fiscal Year 2020 is approximately $89.8 million; an increase of 3.5% over the prior year actuals. (Attachment: B-1; B-2)

- Salaries and Benefits are projected to increase by 8.4% over prior year budget due to staff transitions and retention increases.

- We project scholarship needs to increase by approximately 4.7% from Fiscal Year 2019 budget to Fiscal Year 2020, primarily due to increases in Out-of-State Tuition, and Room and Board.

- Overall, other categories of expense are expected to remain relatively flat.

- Facilities Repair and Enhancement budget includes expenses to complete the Broadcast Studio, Murphy Center Sports Medicine renovation, and various facility repair projects. (Attachment B-3).
D. STUDENT FEES

1. Student Fee Rate
   - Our Intercollegiate Athletics Student Fee for Fiscal Year 2020 is $232 or 9.8% of all University fees with $222 funding Athletic Operations and $10 funding multiple facilities requests. (Attachment: C-1)
   - This fee is the lowest in the UNC System. (Attachment: C-2). NC State Athletics last fee increase was requested and approved for Fiscal Year 2014.

2. Revenue Generated from Student Fees
   - In Fiscal Year 2020, the $232 fee for Intercollegiate Athletics will generate approximately 7% of the Operating Revenue Budget, $6.8 million for operations and an additional $300,000 for the Facilities Repair and Enhancement Fund. (Attachment: C-1)

E. OTHER ATHLETICS RELATED REPORTING REQUIREMENTS

Booster Club Organization

- Audited Financial Statements of the NC State Student Aid Association (Wolfpack Club) as of June 30, 2019 are attached (Attachment D). This report includes a signed audit report and Management Letter from the independent auditors. “Booster” Club Operating Procedures are attached. (Attachment E)

- The NC State Student Aid Association, Inc. (Wolfpack Club) is a private, non-profit corporation organized under the laws of North Carolina and is separate from the University. Reporting requirements are provided by the Executive Director of the Wolfpack Club, Mr. Bobby Purcell.
NCAA Graphs and Charts

Fiscal Year 2017-18
Generated Revenue as a % of Revenues

- 2013 - 2018

- NC State
- All Division I
- FBS
- ACC
- 50M and Up
- Power 5
- Public (FBS Only)

PERCENTILE RANK IN PEER GROUP:

88% 68% 70% 51% 36% 65%

ALL DIVISION I FBS ACC 50M AND UP POWER 5 PUBLIC (FBS ONLY)
The "peak" in FY 2014 Net Revenue is caused by a material difference in expenditure recognition between the NCAA and NC State Athletics. We record both principal payments on debt and capital costs as expenditures, and in FY 2014, the NCAA did not. As a result, the FY 2014 Net Revenue "surplus" of $6.5M is higher by $5.3M in this Graph than in NC State reports. The appearance of a steep decline in FY 2015, 2016, and 2017 is caused by a change in NCAA reporting to include debt principal payments in expenses, the effects of other cash-basis practices in our internal reporting, and a planned $1.8M expenditure of Athletic Department reserves to fund a transition in the Men's Basketball coaching staff along with coaching changes in four other sports.
Total Expenses

- NC State
- All Division I
- FBS
- ACC
- $50M and Up
- Power 5
- Public (FBS Only)

PERCENTILE RANK IN PEER GROUP

- All Division I: 83%
- FBS: 54%
- ACC: 17%
- $50M and Up: 29%
- Power 5: 8%
- Public (FBS Only): 55%
Salaries, Benefits and Severance as a % of Expenses

The peak in the above graph during FY13 is largely due to the transition of our Football coaching staff, which included contract buyouts for the incoming staff, and severance payments for the outgoing staff. The peak in FY18 includes Men’s Basketball transitions in coaching staff.
Athletics Expenses per Student-Athlete

[Graph showing expenses for different categories: NC State, All Division I, FBS, ACC, 50M and Up, Power 5, Public (FBS Only).]

[Box plot showing expenses distribution for All Division I, FBS, ACC, 50M and Up, Power 5, Public (FBS Only).]

PERCENTILE_RANK_IN_PEER_GROUP
83% 54% 30% 29% 11% 57%
ALL DIVISION I FBS ACC 50M AND UP POWER 5 PUBLIC (FBS ONLY)
Athletics as a % of Institutional Expenditures
Spending Increase Gap

- NC State
- All Division I
- FBS
- ACC
- 50M and Up
- Power 5
- Public (FBS Only)

PERCENTILE RANK IN PEER GROUP

All Division I: 19%
FBS: 17%
ACC: 10%
50M and Up: 14%
Power 5: 16%
Public (FBS Only): 17%
Athletic Budget

Fiscal Year 2019-20
NC State University  
Department of Athletics  
UNC-GA Financial Reporting for Intercollegiate Athletics  
Report to Board of Trustees  

<table>
<thead>
<tr>
<th>Intercollegiate Athletics Annual Budget</th>
<th>2019-20 Athletic Operations Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beginning Cash Reserve</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$ 4,020,085</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
</tr>
<tr>
<td>ACC Conference Distribution</td>
<td>31,500,400</td>
</tr>
<tr>
<td>Ticket, Suite &amp; Parking Sales</td>
<td>24,869,726</td>
</tr>
<tr>
<td>Scholarship Contributions</td>
<td>15,723,596</td>
</tr>
<tr>
<td>Media Rights &amp; Apparel Contracts</td>
<td>7,138,000</td>
</tr>
<tr>
<td>Student Fees</td>
<td>6,501,280</td>
</tr>
<tr>
<td>Other</td>
<td>4,067,167</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td>89,800,169</td>
</tr>
<tr>
<td><strong>Expenditures</strong></td>
<td></td>
</tr>
<tr>
<td>Salaries &amp; Benefits</td>
<td>41,351,916</td>
</tr>
<tr>
<td>Scholarships</td>
<td>15,723,596</td>
</tr>
<tr>
<td>Travel</td>
<td>8,239,523</td>
</tr>
<tr>
<td>* Other Expenses</td>
<td>6,396,723</td>
</tr>
<tr>
<td>Facility Expenses</td>
<td>5,841,641</td>
</tr>
<tr>
<td>Game Operations</td>
<td>5,280,393</td>
</tr>
<tr>
<td>Student Athlete Support</td>
<td>4,437,943</td>
</tr>
<tr>
<td>ACC Conference Membership</td>
<td>2,515,118</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td>89,786,853</td>
</tr>
<tr>
<td><strong>Net Operating Income</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>13,316</td>
</tr>
<tr>
<td>Transfer to Facilities Repair &amp; Enhancements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>-</td>
</tr>
<tr>
<td><strong>Ending Operating Cash Reserve</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$ 4,033,401</td>
</tr>
</tbody>
</table>

* Printing, postage, communications, other memberships & transfers, contracted services, insurance, rentals, sports equipment, supplies, & other current services
NC State University
Department of Athletics
UNC-GA Financial Reporting for Intercollegiate Athletics
Report to Board of Trustees

<table>
<thead>
<tr>
<th>2019-20 Facilities Repair &amp; Enhancement Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Cash Reserve</td>
</tr>
<tr>
<td>$ 1,237,564</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Revenue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Loans: Broadcast Studio &amp; Renovations 3,000,000</td>
</tr>
<tr>
<td>Transfers: North End Zone 765,638</td>
</tr>
<tr>
<td>Transfers: Ticket Surcharge for Facilities 415,000</td>
</tr>
<tr>
<td>Naming Rights - Murphy Center Sports Medicine Renovation 335,000</td>
</tr>
<tr>
<td>Student Fees 307,000</td>
</tr>
<tr>
<td>Master Plan Facilities Study Donation 300,000</td>
</tr>
<tr>
<td>Naming Rights - Dail Soccer 150,000</td>
</tr>
<tr>
<td>Other (DAS &amp; PNC Naming Rights) 229,501</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
</tr>
<tr>
<td><strong>$ 5,502,139</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Broadcast Studio &amp; Renovations 3,942,051</td>
</tr>
<tr>
<td>Capital Expenditures (PNC) 450,000</td>
</tr>
<tr>
<td>Debt Payment - Murphy Center Sports Medicine Renovation 335,000</td>
</tr>
<tr>
<td>Master Plan Facilities Study 300,000</td>
</tr>
<tr>
<td>Soccer Facility Projects 370,000</td>
</tr>
<tr>
<td>Facility Support (Carter Finley &amp; Other Building Repairs) 785,213</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
</tr>
<tr>
<td><strong>$ 6,182,264</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenditures in Excess of Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>(680,125)</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ending Cash Reserve</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 557,439</td>
</tr>
</tbody>
</table>
Student Fees

Fiscal Year 2019-20
NC State University  
Department of Athletics  
UNC-GA Financial Reporting for Intercollegiate Athletics  
Report to Board of Trustees  

Intercollegiate Athletics Annual Budget  
Fiscal Year 2019-20  

<table>
<thead>
<tr>
<th>Intercollegiate Athletics Student Fee per FTE</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations</td>
<td>$222</td>
</tr>
<tr>
<td>Facilities Repair and Enhancement Fund</td>
<td>10</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$232</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Student Fee Revenue</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations</td>
<td>$6,501,280</td>
</tr>
<tr>
<td>Facilities Repair and Enhancement Fund</td>
<td>307,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$6,808,280</strong></td>
</tr>
</tbody>
</table>

Student Fee Revenue as a Percentage of Total Revenue 7%
## The University of North Carolina

### Tuition and Fees Applicable to All Regular Full-Time Undergraduate Students

**2019-20**

<table>
<thead>
<tr>
<th>Institution</th>
<th>Tuition</th>
<th>General Fees</th>
<th>Debt Service Fee</th>
<th>Total Fees*</th>
<th>Total Resident Fees</th>
<th>Total Nonresident Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Resident</td>
<td>Nonresident</td>
<td>Athletics</td>
<td>Health Services</td>
<td>Student Activities</td>
<td>Educational and Tech.</td>
</tr>
<tr>
<td>NC State University</td>
<td>6,535.00</td>
<td>26,654.00</td>
<td>232.00</td>
<td>407.00</td>
<td>679.32</td>
<td>439.28</td>
</tr>
<tr>
<td>UNC-Chapel Hill</td>
<td>7,019.00</td>
<td>34,198.00</td>
<td>279.00</td>
<td>400.15</td>
<td>394.16</td>
<td>442.30</td>
</tr>
<tr>
<td>East Carolina University</td>
<td>4,452.00</td>
<td>20,729.00</td>
<td>773.00</td>
<td>263.00</td>
<td>702.00</td>
<td>403.00</td>
</tr>
<tr>
<td>NC A &amp; T State University</td>
<td>3,540.00</td>
<td>17,050.00</td>
<td>870.00</td>
<td>338.50</td>
<td>714.25</td>
<td>469.06</td>
</tr>
<tr>
<td>UNC Charlotte</td>
<td>3,812.00</td>
<td>17,246.00</td>
<td>824.00</td>
<td>247.00</td>
<td>650.00</td>
<td>622.00</td>
</tr>
<tr>
<td>UNC Greensboro</td>
<td>4,422.00</td>
<td>19,581.00</td>
<td>780.00</td>
<td>310.00</td>
<td>577.00</td>
<td>461.00</td>
</tr>
<tr>
<td>UNC Wilmington</td>
<td>4,443.00</td>
<td>18,508.00</td>
<td>774.55</td>
<td>219.00</td>
<td>698.95</td>
<td>534.94</td>
</tr>
<tr>
<td>Appalachian State University</td>
<td>4,242.00</td>
<td>19,049.00</td>
<td>783.00</td>
<td>325.00</td>
<td>659.00</td>
<td>576.00</td>
</tr>
<tr>
<td>Fayetteville State University</td>
<td>2,982.00</td>
<td>14,590.00</td>
<td>768.00</td>
<td>247.00</td>
<td>565.00</td>
<td>382.00</td>
</tr>
<tr>
<td>NC Central University</td>
<td>3,728.00</td>
<td>16,435.00</td>
<td>847.00</td>
<td>312.66</td>
<td>501.40</td>
<td>428.15</td>
</tr>
<tr>
<td>UNC Pembroke</td>
<td>1,000.00</td>
<td>5,000.00</td>
<td>771.52</td>
<td>205.49</td>
<td>697.84</td>
<td>543.91</td>
</tr>
<tr>
<td>Western Carolina University</td>
<td>1,000.00</td>
<td>5,000.00</td>
<td>782.00</td>
<td>314.00</td>
<td>632.00</td>
<td>544.00</td>
</tr>
<tr>
<td>Winston-Salem State University</td>
<td>3,401.00</td>
<td>13,684.00</td>
<td>780.00</td>
<td>267.00</td>
<td>545.70</td>
<td>416.46</td>
</tr>
<tr>
<td>UNC Asheville</td>
<td>4,122.00</td>
<td>21,470.00</td>
<td>855.00</td>
<td>368.00</td>
<td>791.50</td>
<td>527.00</td>
</tr>
<tr>
<td>Elizabeth City State University</td>
<td>1,000.00</td>
<td>5,000.00</td>
<td>899.31</td>
<td>265.23</td>
<td>738.15</td>
<td>326.00</td>
</tr>
<tr>
<td>UNC School of the Arts (1)</td>
<td>6,497.00</td>
<td>23,040.00</td>
<td>N/A</td>
<td>882.00</td>
<td>748.00</td>
<td>754.00</td>
</tr>
</tbody>
</table>

(1) Does not include High School

* In addition to the fees above, the Board also authorized a $1 ASG fee which is not included in the total fees amount.

3/22/19
NC State Student Aid Association, Inc.

Report on Financial Statements

For the years ended June 30, 2019 and 2018
NC State Student Aid Association, Inc.

Contents

Independent Auditor's Report ................................................................. 1-2

Financial Statements

  Statements of Financial Position.......................................................... 3
  Statement of Activities and Changes in Net Assets for the year ended June 30, 2019 ......................... 4
  Statement of Activities and Changes in Net Assets for the year ended June 30, 2018 ......................... 5
  Statement of Functional Expenses for the year ended June 30, 2019 ............................................ 6
  Statement of Functional Expenses for the year ended June 30, 2018 ............................................ 7
  Statements of Cash Flows.......................................................................... 8
  Notes to Financial Statements................................................................. 9-26
Independent Auditor’s Report

The Board of Directors
NC State Student Aid Association, Inc.
Raleigh, North Carolina

Report on the Financial Statements

We have audited the accompanying financial statements of NC State Student Aid Association, Inc. (a not-for-profit organization), which comprise the statements of financial position as of June 30, 2019 and 2018, and the related statements of activities, functional expenses, and cash flows for the years then ended and the related notes to the financial statements.

Management’s Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.
Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of NC State Student Aid Association, Inc., as of June 30, 2019 and 2018, and the change in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Adoption of a New Accounting Standard

As discussed in Note 1, the Financial Accounting Standards Board ("FASB") issued Accounting Standards Update ("ASU") No. 2016-14, Not for Profit Entities: Presentation of Financial Statements of Not-for-Profit Entities. The update addresses presentation of net asset classifications for consistency and understandability, provides information about liquidity and availability of resources, and allows consistency in information provided about expenses and investment return. NC State Student Aid Association, Inc. adopted ASU 2016-14 during the year ended June 30, 2019, and it was applied retrospectively. The adoption of this standard did not have any impact on NC State Student Aid Association Inc.'s net assets or changes in net assets. Our opinion is not modified with respect to this matter.

Elliott Davis, PLLC

Raleigh, North Carolina
October 15, 2019
## NC State Student Aid Association, Inc.

### Statements of Financial Position

**As of June 30, 2019 and 2018**

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Current assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash and cash equivalents</td>
<td>$12,590,134</td>
<td>$9,741,375</td>
</tr>
<tr>
<td>Investments</td>
<td>2,897,508</td>
<td>5,422,408</td>
</tr>
<tr>
<td>Pledges receivable, current, net</td>
<td>4,868,184</td>
<td>3,003,874</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>-</td>
<td>28,740</td>
</tr>
<tr>
<td>Accrued interest receivable</td>
<td>7,263</td>
<td>34,817</td>
</tr>
<tr>
<td>Prepaid expenses</td>
<td>22,427</td>
<td>25,975</td>
</tr>
<tr>
<td><strong>Total current assets</strong></td>
<td>20,385,516</td>
<td>18,257,189</td>
</tr>
<tr>
<td><strong>Property and equipment, net</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vaughn Towers</td>
<td>41,102,979</td>
<td>41,102,980</td>
</tr>
<tr>
<td>Furniture, fixtures and office equipment</td>
<td>558,176</td>
<td>525,329</td>
</tr>
<tr>
<td>Leasehold improvements</td>
<td>79,677</td>
<td>79,677</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>41,740,832</td>
<td>41,707,986</td>
</tr>
<tr>
<td>Less: accumulated depreciation</td>
<td>15,008,368</td>
<td>13,931,405</td>
</tr>
<tr>
<td><strong>Total property and equipment, net</strong></td>
<td>26,732,464</td>
<td>27,776,581</td>
</tr>
<tr>
<td><strong>Other assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments</td>
<td>29,500,340</td>
<td>29,533,984</td>
</tr>
<tr>
<td>Pledges receivable, non-current, net</td>
<td>14,340,974</td>
<td>11,664,238</td>
</tr>
<tr>
<td>Investments held under gift annuities and charitable remainder trusts</td>
<td>1,183,734</td>
<td>1,236,842</td>
</tr>
<tr>
<td>Land held for investment</td>
<td>710,750</td>
<td>710,750</td>
</tr>
<tr>
<td>Funded status of pension plan</td>
<td>212,292</td>
<td>-</td>
</tr>
<tr>
<td>Cash restricted for long-term purposes</td>
<td>8,290,612</td>
<td>9,991,209</td>
</tr>
<tr>
<td>Cash surrender value of life insurance</td>
<td>134,885</td>
<td>134,885</td>
</tr>
<tr>
<td><strong>Total other assets</strong></td>
<td>54,373,587</td>
<td>53,273,908</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>$101,491,567</td>
<td>$99,305,678</td>
</tr>
</tbody>
</table>

|                         |            |            |
| **Liabilities and Net Assets** |        |            |
| **Current liabilities**  |            |            |
| Accounts payable        | $130,872   | $48,936    |
| Long-term debt, current portion | 830,947 | 830,947 |
| Accrued interest expense | 32,716     | 35,052     |
| Accrued expense - NCSU  | 705,950    | 675,000    |
| Accrued vacation and benefits | 431,413   | 400,055    |
| Deferred lease liability | 100,726    | 121,551    |
| Deferred revenue        | 3,107,704  | 3,410,247  |
| **Total current liabilities** | 5,340,328 | 5,521,788 |
| **Long-term liabilities** |         |            |
| Long-term debt, net     | 10,808,350 | 11,639,297 |
| Due to donors of charitable remainder trusts and gift annuities | 1,425,198 | 1,419,114 |
| **Total long-term liabilities** | 12,233,548 | 13,058,411 |
| **Net Assets**          |            |            |
| Without donor restrictions | $19,393,032 | 22,236,364 |
| With donor restrictions  | 64,524,659 | 58,489,115 |
| **Total net assets**    | 83,917,691 | 80,725,479 |
| **Total liabilities and net assets** | $101,491,567 | $99,305,678 |

*See Notes to Financial Statements*
NC State Student Aid Association, Inc.
Statement of Activities and Changes in Net Assets
For the Year Ended June 30, 2019

<table>
<thead>
<tr>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Changes in Net Assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Support and revenues</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General contributions</td>
<td>$ 13,783,191</td>
<td>$ 8,053,748</td>
</tr>
<tr>
<td>Noncash contributions</td>
<td>442,473</td>
<td>5,100</td>
</tr>
<tr>
<td>Clubs income</td>
<td>193,788</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total support</strong></td>
<td>14,419,452</td>
<td>8,058,848</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income, net</td>
<td>1,408,881</td>
<td>99,341</td>
</tr>
<tr>
<td>Vaughn Towers</td>
<td>-</td>
<td>4,198,888</td>
</tr>
<tr>
<td>Advertising income</td>
<td>694,395</td>
<td>-</td>
</tr>
<tr>
<td>Special events</td>
<td>199,499</td>
<td>-</td>
</tr>
<tr>
<td>Change of value in split interest agreements</td>
<td>-</td>
<td>(59,192)</td>
</tr>
<tr>
<td>Other income</td>
<td>21,504</td>
<td>-</td>
</tr>
<tr>
<td><strong>Net assets released from restrictions</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility improvements</td>
<td>6,262,341</td>
<td>(6,262,341)</td>
</tr>
<tr>
<td><strong>Total revenue</strong></td>
<td>8,586,620</td>
<td>(2,023,304)</td>
</tr>
<tr>
<td><strong>Total support and revenues</strong></td>
<td>23,006,072</td>
<td>6,035,544</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University support</td>
<td>13,994,569</td>
<td>-</td>
</tr>
<tr>
<td>University facilities support</td>
<td>8,305,439</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total program services</strong></td>
<td>22,300,008</td>
<td>-</td>
</tr>
<tr>
<td>Supporting services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management and general</td>
<td>885,267</td>
<td>-</td>
</tr>
<tr>
<td>Fundraising - member services</td>
<td>2,664,129</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total supporting services</strong></td>
<td>3,549,396</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total expenses</strong></td>
<td>25,849,404</td>
<td>-</td>
</tr>
<tr>
<td><strong>Change in net assets</strong></td>
<td>(2,843,332)</td>
<td>6,035,544</td>
</tr>
</tbody>
</table>

**Net assets at beginning of year**

<table>
<thead>
<tr>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 22,236,364</td>
<td>$ 58,489,115</td>
<td>$ 80,725,479</td>
</tr>
</tbody>
</table>

**Net assets at end of year**

<table>
<thead>
<tr>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 19,393,032</td>
<td>$ 64,524,659</td>
<td>$ 83,917,691</td>
</tr>
</tbody>
</table>

See Notes to Financial Statements
NC State Student Aid Association, Inc.
Statement of Activities and Changes in Net Assets
For the Year Ended June 30, 2018

<table>
<thead>
<tr>
<th></th>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Changes in Net Assets</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Support and revenues</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General contributions</td>
<td>$12,811,673</td>
<td>$3,958,923</td>
<td>$16,770,596</td>
</tr>
<tr>
<td>Noncash contributions</td>
<td>380,379</td>
<td>5,100</td>
<td>385,479</td>
</tr>
<tr>
<td>Clubs income</td>
<td>188,331</td>
<td></td>
<td>188,331</td>
</tr>
<tr>
<td><strong>Total support</strong></td>
<td>13,380,383</td>
<td>3,964,023</td>
<td>17,344,406</td>
</tr>
<tr>
<td>Revenue</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income, net</td>
<td>2,114,300</td>
<td>31,542</td>
<td>2,145,842</td>
</tr>
<tr>
<td>Vaughn Towers</td>
<td>-</td>
<td>3,529,730</td>
<td>3,529,730</td>
</tr>
<tr>
<td>Advertising income</td>
<td>762,944</td>
<td>-</td>
<td>762,944</td>
</tr>
<tr>
<td>Special events</td>
<td>246,793</td>
<td>-</td>
<td>246,793</td>
</tr>
<tr>
<td>Change of value in split interest agreements</td>
<td>-</td>
<td>61,280</td>
<td>61,280</td>
</tr>
<tr>
<td>Other income</td>
<td>112,871</td>
<td>-</td>
<td>112,871</td>
</tr>
<tr>
<td>Gain on sale of assets</td>
<td>500</td>
<td>347,821</td>
<td>348,321</td>
</tr>
<tr>
<td><strong>Net assets released from restrictions</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility improvements</td>
<td>5,704,976</td>
<td>(5,704,976)</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total revenue</strong></td>
<td>8,942,384</td>
<td>(1,734,603)</td>
<td>7,207,781</td>
</tr>
<tr>
<td><strong>Total support and revenues</strong></td>
<td>22,322,767</td>
<td>2,229,420</td>
<td>24,552,187</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University support</td>
<td>13,570,300</td>
<td>-</td>
<td>13,570,300</td>
</tr>
<tr>
<td>University facilities support</td>
<td>7,658,982</td>
<td>-</td>
<td>7,658,982</td>
</tr>
<tr>
<td><strong>Total program services</strong></td>
<td>21,229,282</td>
<td>-</td>
<td>21,229,282</td>
</tr>
<tr>
<td>Supporting services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management and general</td>
<td>881,705</td>
<td>-</td>
<td>881,705</td>
</tr>
<tr>
<td>Fundraising - member services</td>
<td>2,851,835</td>
<td>-</td>
<td>2,851,835</td>
</tr>
<tr>
<td><strong>Total supporting services</strong></td>
<td>3,733,540</td>
<td>-</td>
<td>3,733,540</td>
</tr>
<tr>
<td><strong>Total expenses</strong></td>
<td>24,962,822</td>
<td>-</td>
<td>24,962,822</td>
</tr>
<tr>
<td><strong>Change in net assets</strong></td>
<td>(2,640,055)</td>
<td>2,229,420</td>
<td>(410,635)</td>
</tr>
<tr>
<td><strong>Net assets at beginning of year</strong></td>
<td>24,876,419</td>
<td>56,259,695</td>
<td>81,136,114</td>
</tr>
<tr>
<td><strong>Net assets at end of year</strong></td>
<td>$22,236,364</td>
<td>$58,489,115</td>
<td>$80,725,479</td>
</tr>
</tbody>
</table>

See Notes to Financial Statements
### NC State Student Aid Association, Inc.

**Statement of Functional Expenses**

*For the Year Ended June 30, 2019*

<table>
<thead>
<tr>
<th>Program Services</th>
<th>Supporting Services</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>University Support</strong></td>
<td><strong>Management and General</strong></td>
</tr>
<tr>
<td>Scholarships</td>
<td>$13,634,655</td>
</tr>
<tr>
<td>Facility improvements and support</td>
<td>- 5,190,567</td>
</tr>
<tr>
<td>Salaries and wages</td>
<td>- 1,014,972</td>
</tr>
<tr>
<td>Depreciation and amortization</td>
<td>- 1,053,923</td>
</tr>
<tr>
<td>Retirement, insurance, and other employee benefits</td>
<td>- 331,962</td>
</tr>
<tr>
<td>Promotion</td>
<td>-</td>
</tr>
<tr>
<td>Professional fees</td>
<td>- 81,896</td>
</tr>
<tr>
<td>Office rent</td>
<td>- 226,605</td>
</tr>
<tr>
<td>Publications</td>
<td>-</td>
</tr>
<tr>
<td>Bank charges</td>
<td>- 72,406</td>
</tr>
<tr>
<td>Special events</td>
<td>-</td>
</tr>
<tr>
<td>Auto expense</td>
<td>- 78,296</td>
</tr>
<tr>
<td>Non-scholarship expense</td>
<td>- 120,591</td>
</tr>
<tr>
<td>Computer expense</td>
<td>- 65,364</td>
</tr>
<tr>
<td>Athletic department staff benefits</td>
<td>- 239,323</td>
</tr>
<tr>
<td>Payroll taxes</td>
<td>- 74,410</td>
</tr>
<tr>
<td>Club expenses</td>
<td>- 29,293</td>
</tr>
<tr>
<td>Postage and mailing expenses</td>
<td>- 20,796</td>
</tr>
<tr>
<td>Insurance</td>
<td>- 6,805</td>
</tr>
<tr>
<td>Office supplies</td>
<td>- 5,808</td>
</tr>
<tr>
<td>Printing</td>
<td>- 15,308</td>
</tr>
<tr>
<td>Travel</td>
<td>- 18,827</td>
</tr>
<tr>
<td>Meetings</td>
<td>- 14,932</td>
</tr>
<tr>
<td>Telephone</td>
<td>- 3,269</td>
</tr>
<tr>
<td>Dues and subscriptions</td>
<td>-</td>
</tr>
<tr>
<td>Property taxes and fees</td>
<td>-</td>
</tr>
<tr>
<td>Maintenance</td>
<td>-</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$13,994,569</strong></td>
</tr>
</tbody>
</table>

*See Notes to Financial Statements*
# NC State Student Aid Association, Inc.

## Statement of Functional Expenses

For the Year Ended June 30, 2018

<table>
<thead>
<tr>
<th></th>
<th>Program Services</th>
<th>Supporting Services</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>University</td>
<td>University</td>
</tr>
<tr>
<td></td>
<td>Support</td>
<td>Facilities</td>
</tr>
<tr>
<td>Scholarships</td>
<td>$13,281,758</td>
<td>$ -</td>
</tr>
<tr>
<td>Facility improvements and support</td>
<td>-</td>
<td>4,637,762</td>
</tr>
<tr>
<td>Salaries and wages</td>
<td>-</td>
<td>997,510</td>
</tr>
<tr>
<td>Depreciation and amortization</td>
<td>-</td>
<td>1,074,309</td>
</tr>
<tr>
<td>Retirement, insurance, and other employee benefit</td>
<td>-</td>
<td>403,992</td>
</tr>
<tr>
<td>Promotion</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Professional fees</td>
<td>-</td>
<td>42,019</td>
</tr>
<tr>
<td>Office rent</td>
<td>-</td>
<td>162,418</td>
</tr>
<tr>
<td>Publications</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Bank charges</td>
<td>-</td>
<td>1,211</td>
</tr>
<tr>
<td>Special events</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Auto expense</td>
<td>-</td>
<td>70,963</td>
</tr>
<tr>
<td>Non-scholarship expense</td>
<td>167,792</td>
<td>-</td>
</tr>
<tr>
<td>Computer expense</td>
<td>-</td>
<td>65,568</td>
</tr>
<tr>
<td>Athletic department staff benefits</td>
<td>-</td>
<td>120,750</td>
</tr>
<tr>
<td>Payroll taxes</td>
<td>-</td>
<td>75,681</td>
</tr>
<tr>
<td>Club expenses</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Postage and mailing expenses</td>
<td>-</td>
<td>27,748</td>
</tr>
<tr>
<td>Insurance</td>
<td>-</td>
<td>19,514</td>
</tr>
<tr>
<td>Office supplies</td>
<td>-</td>
<td>26,128</td>
</tr>
<tr>
<td>Printing</td>
<td>-</td>
<td>7,211</td>
</tr>
<tr>
<td>Travel</td>
<td>-</td>
<td>7,586</td>
</tr>
<tr>
<td>Meetings</td>
<td>-</td>
<td>20,631</td>
</tr>
<tr>
<td>Telephone</td>
<td>-</td>
<td>11,158</td>
</tr>
<tr>
<td>Dues and subscriptions</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Property taxes and fees</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Maintenance</td>
<td>-</td>
<td>7,573</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$13,570,300</td>
<td>$7,658,982</td>
</tr>
</tbody>
</table>

See Notes to Financial Statements
NC State Student Aid Association, Inc.

Statements of Cash Flows

For the years ended June 30, 2019 and 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in net assets</td>
<td>3,192,212</td>
<td>(410,635)</td>
</tr>
<tr>
<td>Adjustments to reconcile change in net assets to net cash provided by operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation and amortization</td>
<td>1,085,016</td>
<td>1,089,746</td>
</tr>
<tr>
<td>Realized (gain)/Loss on sale of investments</td>
<td>665,531</td>
<td>(1,444,675)</td>
</tr>
<tr>
<td>Unrealized (gain)/loss on investments</td>
<td>(1,225,799)</td>
<td>342,372</td>
</tr>
<tr>
<td>Contributions restricted for permanent endowment</td>
<td>(601,278)</td>
<td>(638,824)</td>
</tr>
<tr>
<td>Change in value of split-interest agreements</td>
<td>53,108</td>
<td>43,883</td>
</tr>
<tr>
<td>(Gain)/loss on sale of assets</td>
<td>-</td>
<td>(348,321)</td>
</tr>
<tr>
<td>Change in pension funded status</td>
<td>(212,292)</td>
<td>-</td>
</tr>
<tr>
<td>Changes in operating assets and liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pledges receivable</td>
<td>(4,541,046)</td>
<td>5,621,821</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>28,740</td>
<td>3,904</td>
</tr>
<tr>
<td>Accrued interest receivable</td>
<td>27,554</td>
<td>21,384</td>
</tr>
<tr>
<td>Prepaid expenses</td>
<td>3,548</td>
<td>27,601</td>
</tr>
<tr>
<td>Accounts payable</td>
<td>81,936</td>
<td>(624,333)</td>
</tr>
<tr>
<td>Accrued liabilities</td>
<td>59,972</td>
<td>726,414</td>
</tr>
<tr>
<td>Deferred revenue and lease liability</td>
<td>(323,368)</td>
<td>816,898</td>
</tr>
<tr>
<td>Net cash provided by/(used in) operating activities</td>
<td>(1,706,166)</td>
<td>5,227,235</td>
</tr>
</tbody>
</table>

Investing activities

Proceeds from sale of investments | 15,055,632 | 24,525,633 |
Purchase of investments | (11,936,820) | (24,313,659) |
Net proceeds from sale of land | - | 6,986,000 |
Purchase of property and equipment | (32,846) | (3,227) |
Net cash provided by investing activities | 3,085,966 | 7,194,747 |

Financing activities

Contributions restricted for permanent endowment | 601,278 | 638,824 |
Payments on obligations under split-interest agreements | 6,084 | (105,163) |
Payments on long-term debt | (839,000) | (7,000,796) |
Net cash used in financing activities | (231,638) | (6,467,135) |
Net increase in cash | 1,148,162 | 5,954,847 |

Cash, beginning of year | 19,732,584 | 13,777,737 |
Cash, end of year | $20,880,746 | $19,732,584 |

Summary of cash and cash equivalents

Cash and cash equivalents | $12,590,134 | $9,741,375 |
Cash restricted for long-term purposes | 8,290,612 | 9,991,209 |
Total cash and cash equivalents | $20,880,746 | $19,732,584 |

Supplemental disclosure of cash flow information

Cash payments for interest | $481,026 | $334,162 |

See Notes to Financial Statements
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 1. Summary of Significant Accounting Policies

Organizations:

The NC State Student Aid Association, Inc. (the “Association”), located in Raleigh, North Carolina, was organized to support the athletic program at North Carolina State University (“NCSU” or “University”).

Basis of accounting:

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (“GAAP”). The financial statement presentation follows the recommendations of the Financial Accounting Standards Board Accounting Standards Codification.

Net assets:

The Foundation’s net assets are classified as follows:

Net assets without donor restrictions: Net assets that are not subject to donor-imposed restrictions and may be expended for any purpose in performing the primary objectives of the organization. These net assets may be used at the discretion of the Association’s management and the board of directors.

Net assets with donor restrictions: Net assets that are subject to stipulations imposed by donors and grantors. Some donor restrictions are temporary in nature; those restrictions will be met by actions of the Association or by the passage of time (that is, when a stipulated time restriction ends or purpose restriction is accomplished). Other donor restrictions are perpetual in nature, whereby the donor has stipulated the funds be maintained in perpetuity.

Donor restricted contributions are reported as increases in net assets with donor restrictions. When a restriction expires, net assets are reclassified from net assets with donor restrictions to net assets without donor restrictions in the statements of activities.

Accounting estimates:

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Cash and cash equivalents:

For the purposes of the Statements of Cash Flows, the Association considers all demand, money market, and time deposits to be cash and cash equivalents.
Note 1. Summary of Significant Accounting Policies, Continued

**Availability of funds for general expenditures:**

The Association has certain net assets that are available for general expenditures within one year of June 30, 2019 based on conducting the normal activities of its programs in the coming year. Accordingly, the related resources have been included in the quantitative information detailing the financial assets available to meet general expenditures within one year (see Note 2).

**Investments:**

Investments are measured at fair value on the Statements of Financial Position. Fair value is based on quoted market prices when available. Gains and losses are determined using the specific identification method.

**Contributions:**

The Association recognizes as revenues, contributions received including unconditional, legally enforceable promises to give, in the period in which the Association is notified that a donor has made a promise to give. Contributions received are recorded as support without donor restrictions or support with donor restrictions, depending on the existence and/or nature of any donor restrictions. When a restriction expires (that is, when a stipulated time restriction ends or purpose restriction is accomplished), net assets with donor restrictions are reclassified to net assets without donor restrictions and reported in the Statements of Activities as net assets released from restrictions.

**Vaughn Tower revenue:**

The Association recognized revenue of suite and club seat rentals in Vaughn Towers at Carter-Finley Stadium at the time the service, suite and club seats are provided to members.

**Pledges receivable:**

Unconditional promises to give that are expected to be collected within one year are recorded at net realizable value. Unconditional promises to give that are expected to be collected in future years are recorded at the present value of their estimated future cash flows if deemed material to the financial statements. The discount on those amounts are computed using risk-adjusted interest rates applicable to the years in which the promises are received. Amortization of the discounts is included in campaign pledge revenue. The discount for the years ended June 30, 2019 and 2018 amounted to $5,384,171 and $4,040,864, respectively. In addition to the discount, the Association recorded an estimated 5% allowance for uncollectible pledges totaling $1,294,385 and $984,683 for June 30, 2019 and 2018.
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 1. Summary of Significant Accounting Policies, Continued

Property and equipment:

Property and equipment are recorded at original cost, or denoted value, to the Association. Depreciation is provided using the straight-line method over the estimated useful lives of the assets, which range from 5 to 39 years. A capitalization threshold of $1,000 is utilized.

Deferred revenue:

Suite and club seat rentals in Vaughn Towers at Carter-Finley Stadium and advertising revenue received in advance of providing the related service have been included in deferred revenue in the accompanying Statements of Financial Position.

In-kind donations:

The Association received donated services, benefits and items of $447,573 and $385,479 for the years ended June 30, 2019 and 2018, respectively. Such amounts, which are based upon information provided by third-party service providers, are recorded at their estimated fair value determined on the date of contribution and are reported as contributions in-kind and supporting services on the accompanying statements of activities and statements of functional expenses.

Tax-exempt status:

The Association is exempt from federal and state income taxes under Section 501(a) of the Internal Revenue Code and is classified under Section 501(c)(3) as a public charity. However, income from certain activities not directly related to the Association’s tax-exempt purpose is subject to taxation as unrelated business income. The Association has also been classified as an entity that is not a private foundation within the meaning of Section 509(a) and qualifies for deductible contributions provided in Section 170(b)(1)(A)(vi).

The Association adopted the provisions of FASB guidance on income taxes related to the accounting for uncertainty in income taxes. This guidance clarifies accounting for uncertainty in a tax position taken or expected to be taken by an entity and hence in the income taxes recognized in the financial statements.

Essentially, the Association would record a liability if it took a position about taxes due that was likely to be disputed and had a reasonable chance of being overruled by a taxing authority. Management believes that there are no such positions as of June 30, 2019 or 2018 and accordingly, no liability has been accrued. Tax years ended June 30, 2016 or later remain open to examination by federal and state taxing authorities.
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 1. Summary of Significant Accounting Policies, Continued

Functional allocation of expenses:

The costs of providing various programs and activities have been summarized on a functional basis in the Statements of Activities and Functional Expenses. Accordingly, certain costs have been allocated among the programs and supporting services benefited.

Expenses of the Association include:

Program expenses

University support:
The Association helps support the athletic program at NCSU by funding scholarships for student athletes and other Athletic Department expenses.

University facilities support:
The Association helps support the athletic program at NCSU by funding improvements, renovations, and additions to athletic facilities of the University.

Management and general expenses - Management and general expenses include the general, administrative, and operating costs of the Association.

Fundraising and development expenses - These expenses include direct and indirect activities undertaken to solicit contributions from donors.

The financial statements report certain categories of expenses that are attributable to more than one program or supporting function. Therefore, these expenses require allocation on a reasonable basis that is consistently applied. The expenses that are allocated and the method of allocation include:

<table>
<thead>
<tr>
<th>Expense Type</th>
<th>Method of Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scholarships</td>
<td>Direct costs to programs</td>
</tr>
<tr>
<td>Facility improvement and support</td>
<td>Direct costs to programs</td>
</tr>
<tr>
<td>Salaries and wages</td>
<td>Time and effort</td>
</tr>
<tr>
<td>Depreciation and amortization</td>
<td>Square footage</td>
</tr>
<tr>
<td>Retirement, insurance and other benefits</td>
<td>Based on payroll allocation</td>
</tr>
<tr>
<td>Promotion</td>
<td>Direct cost to fundraising</td>
</tr>
<tr>
<td>Professional fees</td>
<td>Direct costs to programs; remaining to management/general</td>
</tr>
<tr>
<td>Office rent</td>
<td>Square footage</td>
</tr>
<tr>
<td>Publications</td>
<td>Direct cost to fundraising</td>
</tr>
<tr>
<td>Bank charges</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Special events</td>
<td>Direct cost to fundraising</td>
</tr>
<tr>
<td>Auto expense</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Non-scholarship expense</td>
<td>Direct costs to programs</td>
</tr>
</tbody>
</table>
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 1. Summary of Significant Accounting Policies, Continued

Functional allocation of expenses, (continued):

<table>
<thead>
<tr>
<th>Expense</th>
<th>Allocation Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computer expense</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Athletic department staff benefits</td>
<td>Based on direct costs</td>
</tr>
<tr>
<td>Payroll taxes</td>
<td>Based on payroll allocation</td>
</tr>
<tr>
<td>Club expenses</td>
<td>Direct cost to fundraising</td>
</tr>
<tr>
<td>Postage and mailing expenses</td>
<td>Direct costs to programs; remainder to fundraising</td>
</tr>
<tr>
<td>Insurance</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Office supplies</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Printing</td>
<td>Direct costs to programs; remainder to fundraising</td>
</tr>
<tr>
<td>Travel</td>
<td>Direct costs to programs; remainder to fundraising</td>
</tr>
<tr>
<td>Meetings</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Dues and subscriptions</td>
<td>Direct cost to fundraising</td>
</tr>
<tr>
<td>Property taxes and fees</td>
<td>Direct cost to management/general</td>
</tr>
<tr>
<td>Maintenance</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>Direct costs to programs; remaining to management/general and fundraising based on payroll allocation</td>
</tr>
</tbody>
</table>

New accounting pronouncements:

On August 18, 2016, FASB issued ASU 2016-14, Not-for-Profit Entities (Topic 958) – Presentation of Financial Statements of Not-for-Profit Entities. The update addresses the complexity and understandability of net asset classification, deficiencies in information about liquidity and availability of resources, and the lack of consistency in the type of information provided about expenses and investment return. The Association has adjusted the presentation of these statements accordingly. The ASU has been applied retrospectively to all periods presented.

In June 2018, the FASB issued ASU 2018-08, Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made, an update to clarify and improve the scope and the accounting guidance for contributions received and contributions made. The clarifying guidance will be effective for annual periods beginning after December 15, 2019. Early adoption is permitted. The Association is currently in the process of evaluating the impact of adoption of this guidance on the financial statements.

In August 2018, FASB issued ASU 2018-13, Fair Value Measurement (Topic 820): Disclosure Framework - Changes to the Disclosure Requirements for Fair Value Measurement, which will update the current guidance in Topic 820. ASU 2018-13 modifies the disclosure requirements on fair value measurements and promotes the exercise of discretion by entities when considering fair value measurement disclosures. The amendments in ASU 2018-13 will be effective for the Association for annual periods beginning after December 15, 2019. Early adoption is permitted. The Association has not yet determined the potential effects of ASU 2018-13 on the financial statements.
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 1. Summary of Significant Accounting Policies, Continued

New accounting pronouncements, (continued):

In February 2016, the FASB amended the Leases topic of the Accounting Standards Codification to revise certain aspects of recognition, measurement, presentation, and disclosure of leasing transactions. The amendments will be effective for fiscal years beginning after December 15, 2019, and interim periods within fiscal years beginning after December 15, 2020. The Organization is currently evaluating the effect that implementation of the new standard will have on its financial position, results of operations, and cash flows.

Other accounting standards that have been issued or proposed by the FASB or other standards-setting bodies are not expected to have a material impact on the Foundation’s net assets or changes in net assets.

Note 2. Availability and Liquidity

Financial assets available for general expenditures, that are without donor or other restrictions limiting their use within one year of the Statement of Financial Position date of June 30, 2019, are comprised of the following at June 30, 2019:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total assets at year end</td>
<td>$101,491,567</td>
</tr>
<tr>
<td>Less amounts not available to be used within one year due to illiquidity:</td>
<td></td>
</tr>
<tr>
<td>Prepaid assets</td>
<td>(22,427)</td>
</tr>
<tr>
<td>Life insurance, cash surrender value</td>
<td>(134,885)</td>
</tr>
<tr>
<td>Pension funded status</td>
<td>(212,292)</td>
</tr>
<tr>
<td>Property and equipment, net</td>
<td>(26,732,464)</td>
</tr>
<tr>
<td>Land held for investment</td>
<td>(710,750)</td>
</tr>
<tr>
<td></td>
<td>(27,812,818)</td>
</tr>
<tr>
<td>Less amounts not available to be used within one year due to:</td>
<td></td>
</tr>
<tr>
<td>Contractual or donor imposed restrictions:</td>
<td></td>
</tr>
<tr>
<td>Pledges receivable, long-term portion</td>
<td>(14,340,974)</td>
</tr>
<tr>
<td>Cash restricted for long-term purposes</td>
<td>(8,290,612)</td>
</tr>
<tr>
<td>Board/donor designations:</td>
<td></td>
</tr>
<tr>
<td>Investments held under gift annuities and charitable remainder trusts</td>
<td>(1,183,734)</td>
</tr>
<tr>
<td>Endowed funds, net of spendable amounts and administrative fees</td>
<td>(29,365,424)</td>
</tr>
<tr>
<td>Financial assets available to meet cash needs for general expenditures within one year</td>
<td>$20,498,005</td>
</tr>
</tbody>
</table>

As part of its liquidity plan, the Association has a policy to structure its financial assets to be available as its general expenditures, liabilities and other obligations become due. The Association invests excess cash in short-term investments, including money market accounts, and has the ability to redeem certain investments as necessary to meet its obligations.
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 3. Concentrations of Credit Risk

The Association maintains cash balances at several financial institutions located in Raleigh, North Carolina, and in several brokerage accounts located in North Carolina. The balances in the financial institutions are insured by the Federal Deposit Insurance Corporation up to $250,000 at June 30, 2019 and 2018. From time to time, the Association’s cash balances may exceed the FDIC limits.

Note 4. Pledges Receivable, Net

Pledges receivable are as follows at June 30:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pledges receivable</td>
<td>$ 25,887,715</td>
<td>$ 19,693,659</td>
</tr>
<tr>
<td>Less allowance for uncollectible pledges</td>
<td>1,294,386</td>
<td>984,683</td>
</tr>
<tr>
<td>Less discount on pledges</td>
<td>5,384,171</td>
<td>4,040,864</td>
</tr>
<tr>
<td></td>
<td>19,209,158</td>
<td>14,668,112</td>
</tr>
<tr>
<td>Less current portion</td>
<td>4,868,184</td>
<td>3,003,874</td>
</tr>
<tr>
<td>Pledges due after one year</td>
<td>$ 14,340,974</td>
<td>$ 11,664,238</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receivable in less than one year</td>
<td>$ 5,124,404</td>
<td>$ 3,161,972</td>
</tr>
<tr>
<td>Receivable in one to five years</td>
<td>10,002,886</td>
<td>6,648,702</td>
</tr>
<tr>
<td>Receivable in more than five years</td>
<td>10,760,425</td>
<td>9,882,985</td>
</tr>
<tr>
<td></td>
<td>25,887,715</td>
<td>19,693,659</td>
</tr>
<tr>
<td>Less allowance for uncollectible pledges</td>
<td>1,294,386</td>
<td>984,683</td>
</tr>
<tr>
<td>Less discount on pledges</td>
<td>5,384,171</td>
<td>4,040,864</td>
</tr>
<tr>
<td>Net pledges receivable</td>
<td>$ 19,209,158</td>
<td>$ 14,668,112</td>
</tr>
</tbody>
</table>

Pledges receivable due in more than one year are reflected at the present value of estimated future cash flows using a discount rate of 6%.

Note 5. Investments

The Association held the following investments at June 30:

<table>
<thead>
<tr>
<th></th>
<th>2019 Cost</th>
<th>2019 Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marketable equity securities</td>
<td>$ 17,186,700</td>
<td>$ 18,705,463</td>
</tr>
<tr>
<td>Other marketable debt securities</td>
<td>2,962,159</td>
<td>2,968,648</td>
</tr>
<tr>
<td>U.S. Government obligations</td>
<td>524,132</td>
<td>541,093</td>
</tr>
<tr>
<td>Alternative investments</td>
<td>5,236,192</td>
<td>6,456,160</td>
</tr>
<tr>
<td>Mutual funds</td>
<td>3,504,186</td>
<td>3,726,484</td>
</tr>
<tr>
<td></td>
<td>$ 29,413,369</td>
<td>$ 32,397,848</td>
</tr>
</tbody>
</table>
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 5. Investments, Continued

<table>
<thead>
<tr>
<th></th>
<th>2018 Cost</th>
<th>2018 Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marketable equity securities</td>
<td>16,390,753</td>
<td>17,181,635</td>
</tr>
<tr>
<td>Other marketable debt securities</td>
<td>4,318,716</td>
<td>4,249,643</td>
</tr>
<tr>
<td>U.S. Government obligations</td>
<td>1,883,713</td>
<td>1,864,571</td>
</tr>
<tr>
<td>Unit Investment Trusts</td>
<td>552,487</td>
<td>538,040</td>
</tr>
<tr>
<td>Alternative investments</td>
<td>5,589,619</td>
<td>6,459,954</td>
</tr>
<tr>
<td>Mutual funds</td>
<td>4,462,424</td>
<td>4,662,549</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$33,197,712</strong></td>
<td><strong>$34,956,392</strong></td>
</tr>
</tbody>
</table>

Investment income net, consists of the following for the years ended June 30:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest</td>
<td>$ 239,867</td>
<td>$ 448,216</td>
</tr>
<tr>
<td>Dividends</td>
<td>1,001,468</td>
<td>877,373</td>
</tr>
<tr>
<td>Realized gain/(loss) on sale of investments</td>
<td>(665,531)</td>
<td>1,444,675</td>
</tr>
<tr>
<td>Unrealized gain/(loss) on investments</td>
<td>1,225,799</td>
<td>(342,372)</td>
</tr>
<tr>
<td>Investment expenses</td>
<td>(293,381)</td>
<td>(282,050)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$1,508,222</td>
<td>$2,145,842</td>
</tr>
</tbody>
</table>

Note 6. Investments Held Under Net Income Split-Interest Agreements

The Association has been named as a beneficiary in gift annuities and charitable remainder trusts in which the Association is the trustee. When the Association receives assets in connection with an annuity or charitable remainder trust, the assets are recorded at fair value, generally invested in stocks and fixed income securities, while a liability is recorded at the present value of the expected future payments to be made to the beneficiary. The discount rate and actuarial assumptions used in determining the present value of the expected future payments are based on applicable Internal Revenue Service discount rates and life expectancy assumptions.

The change in value of split-interest agreements on the Statements of Activities includes the change in market value of the investments, the change in present value of future payments to donors, actual payments made to donors, and contributions of split-interest agreements received. During the years ended June 30, 2019 and 2018, contributions received totaled $6,084 and $0, payments to beneficiaries totaled $0 and $105,163, respectively.

Investments held under split-interest agreements consist of the following at June 30:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash equivalents</td>
<td>$29,317</td>
<td>$23,670</td>
</tr>
<tr>
<td>Fixed income securities</td>
<td>414,443</td>
<td>442,669</td>
</tr>
<tr>
<td>Equities</td>
<td>567,738</td>
<td>604,993</td>
</tr>
<tr>
<td>Real estate</td>
<td>172,236</td>
<td>165,510</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$1,183,734</td>
<td>$1,236,842</td>
</tr>
</tbody>
</table>
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 7. Cash Surrender Value of Life Insurance Policies

The Association was the owner and beneficiary on whole life insurance policies covering twelve individuals having a total cash surrender value of $134,885 at June 30, 2019 and 2018.

Note 8. Long-Term Debt, Net

Bond Payable - Refunding Bond:

In October 2017, the Association entered into a bond agreement with a financial institution. The total financing available through the bond was $12,585,000. Annual principal payments of $839,000 are payable until the note matures in 2032. Interest is payable monthly at the greater of prime rate plus 2% or 6%. The interest rate at June 30, 2019 was 3.34%. The outstanding bond balance was $11,746,000 at June 30, 2019.

Long-term debt consists of the following at June 30, 2019 and 2018:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bond payable - (Refunding Bond)</td>
<td>$11,639,297</td>
<td>$12,470,244</td>
</tr>
<tr>
<td>Less amount classified as current liability</td>
<td>830,947</td>
<td>830,947</td>
</tr>
<tr>
<td>Amount due after one year</td>
<td><strong>$10,808,350</strong></td>
<td><strong>$11,639,297</strong></td>
</tr>
</tbody>
</table>

Deferred bond issuance cost consists of the following as of June 30, 2019 and 2018:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deferred bond issuance cost</td>
<td>$120,796</td>
<td>$120,796</td>
</tr>
<tr>
<td>Less: accumulated amortization</td>
<td>14,093</td>
<td>6,040</td>
</tr>
<tr>
<td>Net deferred bond issuance cost</td>
<td><strong>$106,703</strong></td>
<td><strong>$114,756</strong></td>
</tr>
</tbody>
</table>

Maturities of long-term debt are as follows:

<table>
<thead>
<tr>
<th></th>
<th>Principal Payments</th>
<th>Minus Amortized</th>
<th>Long-term debt, net</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Deferred Bond Issue Cost</td>
<td></td>
</tr>
<tr>
<td>2020</td>
<td>$839,000</td>
<td>$8,053</td>
<td>$830,947</td>
</tr>
<tr>
<td>2021</td>
<td>839,000</td>
<td>8,053</td>
<td>830,947</td>
</tr>
<tr>
<td>2022</td>
<td>839,000</td>
<td>8,053</td>
<td>830,947</td>
</tr>
<tr>
<td>2023</td>
<td>839,000</td>
<td>8,053</td>
<td>830,947</td>
</tr>
<tr>
<td>2024</td>
<td>839,000</td>
<td>8,053</td>
<td>830,947</td>
</tr>
<tr>
<td>Thereafter</td>
<td>7,551,000</td>
<td>66,438</td>
<td>7,484,562</td>
</tr>
<tr>
<td></td>
<td><strong>$11,746,000</strong></td>
<td><strong>$106,703</strong></td>
<td><strong>$11,639,297</strong></td>
</tr>
</tbody>
</table>
Note 9. Fair Value Measurements

The Association follows Accounting Standards Codification (ASC) 820, *Fair Value Measurements and Disclosures*, as amended, with respect to fair value measurements of its financial assets. This standard defines fair value as the exit price, or the amount that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants as of the measurement date. The standard also establishes a hierarchy for inputs used in measuring fair value that maximizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that the most observable inputs be used when available.

The hierarchy is broken down into three levels. Level 1 inputs are quoted market prices (unadjusted) in active markets for identical assets or liabilities. Level 2 inputs include quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets or liabilities in markets that are not active, and inputs (other than quoted prices) that are observable for the asset or liability, either directly or indirectly. Level 3 inputs are unobservable inputs for the asset or liability. Categorization within the valuation hierarchy is based upon the lowest level of input that is significant to the fair value measurement.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at June 30, 2019 and 2018. There were no transfers or reclassifications between Level 2 or Level 3 during the years ended June 30, 2019 or 2018.

Common and preferred stocks, and mutual funds are held in brokerage accounts and valued at readily available, quoted prices in principal active markets that are considered to be representative of fair value. The Association classifies these investments within Level 1 of the valuation hierarchy. Government and corporate bonds and notes, are classified as level 2. Level 2 valuation methodology include significant other observable inputs, other than Level 1 inputs, such as quoted prices for similar assets or liabilities in active markets; quoted prices for identical or similar assets or liabilities in markets that are not active; inputs other than quoted prices that are observable for the asset or liability; inputs that are derived principally from or corroborated by observable market data by correlation or other means. If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

The preceding methods may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Association believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

In accordance with ASC 820, the table below includes the major categorization of significant assets and liabilities measured at fair value on a recurring basis, segregated by the level of valuation inputs within the fair value hierarchy at June 30:
## Note 9. Fair Value Measurements, Continued

<table>
<thead>
<tr>
<th>2019</th>
<th>Fair Value Measurements Using</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Quoted Prices In Active Markets for Identical Assets (Level 1)</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>

### Assets:

**Investments:**
- Marketable equity securities: $18,705,463
- Other marketable debt securities: $2,968,648
- U.S. Government obligations: $541,093
- Mutual funds: $3,726,484
- Investments held under gift annuities and charitable remainder trusts: $1,183,734
- Total assets in fair value hierarchy: $27,125,422
- Investments measured at NAV (a): $6,456,160

**Liabilities:**
- Due to donors of split-interest agreements trusts and annuities: $1,425,198

### 2018

<table>
<thead>
<tr>
<th>2018</th>
<th>Fair Value Measurements Using</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Quoted Prices In Active Markets for Identical Assets (Level 1)</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>

### Assets:

**Investments:**
- Marketable equity securities: $17,181,635
- Other marketable debt securities: $4,249,643
- U.S. Government obligations: $1,864,571
- Mutual funds: $4,662,549
- Investments held under gift annuities and charitable remainder trusts: $1,236,842
- Total assets in fair value hierarchy: $29,195,240
- Investments measured at NAV (a): $6,997,994

### Liabilities:
- Due to donors of split-interest agreements trusts and annuities: $1,419,114
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 9.  Fair Value Measurements, Continued

(a) In accordance with FASB ASU 2015-07, certain investments that are measured at fair value using the net asset value per share (or its equivalent) practical expedient have not been classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the amounts presented in the Statements of Financial Position.

The following tables for set forth a summary of the Association’s investments reported at NAV as a practical expedient to estimate fair value at June 30:

<table>
<thead>
<tr>
<th>Investment</th>
<th>Fair value</th>
<th>Unfunded commitment</th>
<th>Redemption frequency</th>
<th>Redemption notice period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alternative investments - Hedge funds</td>
<td>$2,550,602</td>
<td>$</td>
<td>Quarterly</td>
<td>None</td>
</tr>
<tr>
<td>Alternative investments - Private equity</td>
<td>3,405,783</td>
<td>1,665,809</td>
<td>Quarterly</td>
<td>None</td>
</tr>
<tr>
<td>Alternative investments - Real estate</td>
<td>499,775</td>
<td>97,278</td>
<td>Quarterly</td>
<td>10 days</td>
</tr>
<tr>
<td>Total</td>
<td>$6,456,160</td>
<td>$1,763,087</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Investment</th>
<th>Fair value</th>
<th>Unfunded commitment</th>
<th>Redemption frequency</th>
<th>Redemption notice period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alternative investments - Hedge funds</td>
<td>$2,607,177</td>
<td>$</td>
<td>Quarterly</td>
<td>None</td>
</tr>
<tr>
<td>Alternative investments - Private equity</td>
<td>3,325,628</td>
<td>1,937,053</td>
<td>Quarterly</td>
<td>None</td>
</tr>
<tr>
<td>Alternative investments - Real estate</td>
<td>527,149</td>
<td>98,788</td>
<td>Quarterly</td>
<td>10 days</td>
</tr>
<tr>
<td>Total</td>
<td>$6,997,994</td>
<td>$2,035,841</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note 10.  Deferred Revenue

Deferred revenue of $3,107,704 at June 30, 2019 represents $2,977,704 of suite and club seat rentals in Vaughn Towers for the upcoming seasons and $130,000 of unearned capital donations.

Deferred revenue of $3,410,247 at June 30, 2018 represents $3,252,270 of suite and club seat rentals in Vaughn Towers for the upcoming seasons and $157,977 of unearned advertising revenue.

Note 11.  Scholarship Expenses

Direct payments for scholarship expenses for the years ended June 30, 2019 and 2018 were made to North Carolina State University, (“University”) scholarship fund. Indirect payments for funds held at the University and matching gifts are applied as a reduction against the Association’s scholarship liability and amounted to $423,896 and $488,265 for the years June 30, 2019 and 2018, respectively.
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 12. Retirement Plans

The Association has a non-contributory defined benefit pension plan covering full-time employees after 12 months of service with 1,000 or more hours of service. The expense of the plan for the years ended June 30, 2019 and 2018 amounted to $275,065 and $437,678, respectively. The plan was fully funded at June 30, 2019 and 2018, respectively.

A comparison of accumulated plan benefits and plan net assets for the defined benefit plan is presented below.

<table>
<thead>
<tr>
<th></th>
<th>December 31, 2018</th>
<th>December 31, 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actuarial present value of accumulated plan benefits</td>
<td>$ 4,530,014</td>
<td>$ 4,461,545</td>
</tr>
<tr>
<td>Net assets available for plan benefits - insured</td>
<td>$ 4,742,036</td>
<td>$ 4,962,079</td>
</tr>
</tbody>
</table>

The assumed rate of return used in determining the actuarial present value of accumulated plan benefits was seven percent. Rate of compensation increase was assumed to be four percent. Normal retirement age is 65.

The Association also has a tax deferred 403(b) plan to benefit all employees. Under the terms of the plan, the Association matches 100% of the first five percent of employee contributions. Expenses related to this plan totaled $94,535 and $93,286 for employer contributions made for the years ended 2019 and 2018, respectively.

The Association has established a supplemental retirement plan for the executive director. The plan became fully vested on January 1, 2013 due to certain employment conditions being met at that date. The liability for this plan is included in accrued vacation and benefits on the Statements of Financial Position and totaled $270,955 and $270,955 at June 30, 2019 and 2018, respectively. A portion of the plan assets were distributed to the executive director after vesting under the trust agreement.

Administrative expenses for all retirement plans total $3,161 and $47,825 for the years ended June 30, 2019 and 2018, respectively.

Note 13. Lease Commitments

The Association renewed a non-cancellable operating lease for office space in June 2014. The lease expires in October 2020. The annual rental expense was $478,467 and $449,569 for the years ended June 30, 2019 and 2018, respectively. During the years ended June 30, 2019 and 2018, the Association donated use of a portion of the office space to the NCSU Athletic Department valued at $124,823 and $112,392, respectively.

Future minimum rental commitments for non-cancellable operating leases at June 30, 2019 are as follows:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>$ 514,357</td>
</tr>
<tr>
<td>2021</td>
<td>173,142</td>
</tr>
<tr>
<td></td>
<td>$ 687,499</td>
</tr>
</tbody>
</table>
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 14. Related Party Transactions

In the course of providing support to the athletic program at NCSU, the Athletic Department of the University becomes a related party. The Association provided the following forms of support to the Athletic Department during the years ended June 30, 2019 and 2018:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding of scholarships for student athletes</td>
<td>$13,634,655</td>
<td>$13,281,758</td>
</tr>
<tr>
<td>Salaries, benefits, and administrative overhead</td>
<td>2,890,934</td>
<td>3,015,180</td>
</tr>
<tr>
<td>Athletic department staff benefits</td>
<td>114,500</td>
<td>120,750</td>
</tr>
<tr>
<td>Non-scholarship contributions</td>
<td>120,591</td>
<td>167,792</td>
</tr>
<tr>
<td>Subtotal</td>
<td>16,760,680</td>
<td>16,585,480</td>
</tr>
</tbody>
</table>

Facility improvements:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility debt obligations</td>
<td>1,808,770</td>
<td>1,779,134</td>
</tr>
<tr>
<td>Courtside Club Expenses</td>
<td>176,053</td>
<td>143,926</td>
</tr>
<tr>
<td>Vaughn towers expenses</td>
<td>2,113,605</td>
<td>2,206,947</td>
</tr>
<tr>
<td>North End Zone remittance of pledges</td>
<td>186,435</td>
<td>209,311</td>
</tr>
<tr>
<td>Indoor practice facility</td>
<td></td>
<td>78,553</td>
</tr>
<tr>
<td>Gymnastics</td>
<td>7</td>
<td>9,850</td>
</tr>
<tr>
<td>Sports Medical</td>
<td>130,000</td>
<td></td>
</tr>
<tr>
<td>Soccer expenses</td>
<td>150,000</td>
<td>150,000</td>
</tr>
<tr>
<td>Volleyball</td>
<td>249,900</td>
<td>25,000</td>
</tr>
<tr>
<td>Swimming</td>
<td>127,325</td>
<td></td>
</tr>
<tr>
<td>Softball</td>
<td>16,260</td>
<td></td>
</tr>
<tr>
<td>Wolf Tracks</td>
<td>386</td>
<td></td>
</tr>
<tr>
<td>Track Sport</td>
<td>5,002</td>
<td></td>
</tr>
<tr>
<td>Building futures</td>
<td>1,801</td>
<td>4,462</td>
</tr>
<tr>
<td>Baseball stadium</td>
<td>171,190</td>
<td>42,659</td>
</tr>
<tr>
<td>Total facility improvements</td>
<td>5,136,734</td>
<td>4,649,842</td>
</tr>
<tr>
<td>Total</td>
<td>$21,897,414</td>
<td>$21,235,322</td>
</tr>
</tbody>
</table>

The Association owed $705,950 and $675,000 to the Athletic Department of the University at June 30, 2019 and 2018, respectively.

Reynolds Coliseum Renovation

The Association remits semi-annual payments to the University (payments) to service debt incurred by the University for the Reynolds Coliseum Renovation (the Renovation). In any given fiscal year, payments remitted typically exceed the Association’s collection of pledges made to its Renovation capital campaign (pledges collected). While the Association considers a portion of the payments to be the remittance of pledges collected during the year, the amount in excess of pledges collected is considered to be discretionary general support to the University. The University and the Association have mutually agreed that any liability to the University should be limited to pledges collected but unremitted. During fiscal years 2019 and 2018, payments continued to exceed pledges collected. As a result, the Association has determined that no liability to the University should be recorded for Renovation debt service as of June 30, 2019 and 2018.
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 15. Net Assets

Net assets with donor restrictions are as follows at June 30:

<table>
<thead>
<tr>
<th>Specific Purpose</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Improvements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Championship Commitment, Wolfpack Pride, Goal Line</td>
<td>$2,242,041</td>
<td>$(148,515)</td>
</tr>
<tr>
<td>Drive, Vaughn Towers, and North End Zone</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Baseball, Tennis, Softball, Golf, Swimming, Soccer,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gymnastics, and Basketball</td>
<td>(290,330)</td>
<td>157,495</td>
</tr>
<tr>
<td>Case Commons</td>
<td>4,125,064</td>
<td>4,148,758</td>
</tr>
<tr>
<td>Pack Passion Campaign</td>
<td>5,997,903</td>
<td>4,007,853</td>
</tr>
<tr>
<td>Building Futures Campaign</td>
<td>12,410,243</td>
<td>12,918,698</td>
</tr>
<tr>
<td>Sports Medicine</td>
<td>2,092,826</td>
<td></td>
</tr>
<tr>
<td>Endowment Fund - Scholarships</td>
<td>37,946,912</td>
<td>37,404,826</td>
</tr>
<tr>
<td></td>
<td>$64,524,659</td>
<td>$58,489,115</td>
</tr>
</tbody>
</table>

Net assets released from net assets with donor restrictions are as follows at June 30:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities</td>
<td>5,128,681</td>
<td>4,643,802</td>
</tr>
<tr>
<td>Depreciation</td>
<td>1,053,923</td>
<td>1,053,923</td>
</tr>
<tr>
<td>Amortization</td>
<td>8,053</td>
<td>6,040</td>
</tr>
<tr>
<td>Bank charges and fees</td>
<td>71,684</td>
<td>1,211</td>
</tr>
<tr>
<td></td>
<td>$6,262,341</td>
<td>$5,704,976</td>
</tr>
</tbody>
</table>

Note 16. Endowment Fund

The Association's endowment fund provides long-term scholarship support through annual earnings. As required by U.S. generally accepted accounting principles, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

The State of North Carolina enacted the North Carolina (“NC”) Uniform Prudent Management of Institutional Funds Act (UPMIFA), the provisions of which apply to endowment funds existing on or established after that date. Absent donor stipulations to the contrary, the provisions of this state law do not impose either a permanent or temporary restriction on the income or capital appreciation derived from the original gifts.

For the years ended June 30, 2019 and 2018, the Association has classified as permanently restricted net assets the original value of gifts donated to the permanent endowment.
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 16. Endowment Fund, Continued

Changes in endowment assets for the year ended June 30, 2019 are as follows:

<table>
<thead>
<tr>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment net assets - beginning of year</td>
<td>$ (5,648,462)</td>
<td>$ 37,404,826</td>
</tr>
<tr>
<td>Investment return:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income, net</td>
<td>1,021,325</td>
<td>-</td>
</tr>
<tr>
<td>Realized gain on sale of investments</td>
<td>(729,407)</td>
<td>-</td>
</tr>
<tr>
<td>Net depreciation on investments</td>
<td>1,267,411</td>
<td>-</td>
</tr>
<tr>
<td>Total investment return, net</td>
<td>1,559,329</td>
<td>-</td>
</tr>
<tr>
<td>Contributions</td>
<td>-</td>
<td>601,278</td>
</tr>
<tr>
<td>Change in value of split-interest agreements</td>
<td>-</td>
<td>(59,192)</td>
</tr>
<tr>
<td>Appropriation of endowment assets for expenditure</td>
<td>(1,513,975)</td>
<td>-</td>
</tr>
<tr>
<td>Endowment net assets - end of year</td>
<td>$ (5,603,108)</td>
<td>$ 37,946,912</td>
</tr>
</tbody>
</table>

Changes in endowment assets for the year ended June 30, 2018 are as follows:

<table>
<thead>
<tr>
<th>Without Donor Restrictions</th>
<th>With Donor Restrictions</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment net assets - beginning of year</td>
<td>$ (6,032,366)</td>
<td>$ 36,704,722</td>
</tr>
<tr>
<td>Investment return:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income, net</td>
<td>922,671</td>
<td>-</td>
</tr>
<tr>
<td>Realized gain on sale of investments</td>
<td>1,530,839</td>
<td>-</td>
</tr>
<tr>
<td>Net depreciation on investments</td>
<td>(347,443)</td>
<td>-</td>
</tr>
<tr>
<td>Total investment return, net</td>
<td>2,106,067</td>
<td>-</td>
</tr>
<tr>
<td>Contributions</td>
<td>-</td>
<td>638,824</td>
</tr>
<tr>
<td>Change in value of split-interest agreements</td>
<td>-</td>
<td>61,280</td>
</tr>
<tr>
<td>Appropriation of endowment assets for expenditure</td>
<td>(1,722,566)</td>
<td>-</td>
</tr>
<tr>
<td>Endowment net assets - end of year</td>
<td>$ (5,648,865)</td>
<td>$ 37,404,826</td>
</tr>
</tbody>
</table>

Funds with deficiencies:

From time to time, the fair value of assets associated with donor-restricted endowment funds may fall below the level that the donor or UPMIFA requires the Association to retain as a fund of perpetual duration. In accordance with GAAP, deficiencies of this nature are reported in unrestricted net assets were $5,603,108 and $5,648,865 as of June 30, 2019 and 2018, respectively. These deficiencies resulted from unfavorable market fluctuations.
NC State Student Aid Association, Inc.
Notes to Financial Statements
June 30, 2019 and 2018

Note 16. Endowment Fund, Continued

*Investment return objectives and strategies:*

The Association's investment policies include several investment objectives relative to its long-term investments, including permanent endowment funds. These objectives include (1) preservation of capital, (2) prudent investment of capital, (3) production of reasonable earnings, and (4) low-risk growth in principal of invested capital. To achieve these objectives, the Association has employed the investment strategy of diversifying amongst various fund managers. The investment composition at any given time is dependent upon a number of factors, including the amount available for investment and current market conditions. Expected average rate of return is 5%.

*Spending policy and how the investment objectives relate to spending policy:*

The Association's policy allows for distribution of funds not to exceed 4.75% of the three year rolling average for the fund's assets as of December 30th for each year. A 3% floor can be implemented in the event that the market drops by more than 40% in a 12-month period.

Note 17. Supplemental Disclosure of Noncash Investing Activities

The Association received noncash donations with the following estimated market values during the years ended June 30:

<table>
<thead>
<tr>
<th>Item</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auto expenses</td>
<td>$142,400</td>
<td>$124,970</td>
</tr>
<tr>
<td>Athletic department staff benefits</td>
<td>114,500</td>
<td>120,750</td>
</tr>
<tr>
<td>Non-scholarship contributions</td>
<td>120,591</td>
<td>55,400</td>
</tr>
<tr>
<td>Computer expenses</td>
<td>43,515</td>
<td>38,159</td>
</tr>
<tr>
<td>Doctors/treatment for athletes</td>
<td>-</td>
<td>30,000</td>
</tr>
<tr>
<td>Promotional items</td>
<td>5,426</td>
<td>6,500</td>
</tr>
<tr>
<td>Repairs and maintenance</td>
<td>5,000</td>
<td>-</td>
</tr>
<tr>
<td>Travel and meetings</td>
<td>13,472</td>
<td>2,700</td>
</tr>
<tr>
<td>Professional fees</td>
<td>2,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Special events and clubs</td>
<td>669</td>
<td>6,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$447,573</strong></td>
<td><strong>$385,479</strong></td>
</tr>
</tbody>
</table>
NC State Student Aid Association, Inc.

Notes to Financial Statements
June 30, 2019 and 2018

Note 18. Subsequent Events

The Association has evaluated its June 30, 2018 financial statements for subsequent events through October 15, 2019, the date the financial statements were issued, and is not aware of any subsequent events that would require recognition or disclosure in the financial statements.

Note 19. Reclassifications

Certain amounts for 2018 have been reclassified to conform with the 2019 financial statement presentation. Such reclassifications have no effect on changes in net assets or cash flows as previously reported.
October 15, 2019

To Board of Directors and Management of
NC State Student Aid Association, Inc.
Raleigh, NC

Our audit was performed in accordance with auditing standards generally accepted in the United States of America. In planning and performing our audit of the financial statements of NC State Student Aid Association, Inc. (the Association) as of and for the year ended June 30, 2019, we considered the Association’s internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Association’s internal control. Accordingly, we do not express an opinion on the effectiveness of the Plan’s internal control.

Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be weaknesses or significant deficiencies. Therefore material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control that we consider to be significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A deficiency in design exists when (a) a control necessary to meet the control objective is missing, or (b) an existing control is not properly designed so that, even if the control operates as designed, the control objective would not be met. A deficiency in operation exists when a properly designed control does not operate as designed or when the person performing the control does not possess the necessary authority or competence to perform the control effectively.

A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity’s financial statements will not be prevented, or detected and corrected, on a timely basis.

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

We consider the following deficiencies in internal control to be a significant deficiencies:

1) Aging of Pledges Receivable
   Criteria: A subsidiary of pledges receivable, to include annual scholarship gifts and capital pledges, should be reconciled to the general ledger on a monthly basis. Documentation of write-off history to support the general reserve should be maintained. Evaluation of specific capital pledges for collectability should be documented and performed at least annually.
**Conditions:** Pledges receivable are not reconciled or recorded to the general ledger until fiscal year-end. A general five percent reserve is established for all pledges receivables to include annual scholarship gifts, capital pledges and endowment pledges. Documentation of methodology used to establish reserve was not maintained. Evaluation of a specific reserve was not documented for capital or endowment pledges receivable.

**Effect:** Lack of recording pledge receivables within the accounting system timely impairs management’s ability to monitor collections and write-offs of uncollectible accounts. The Association’s estimate of the allowance for doubtful pledges may be over or under stated.

**Recommendation:** We recommend pledges receivable per the donor system be reconciled to the general ledger on a monthly basis. The Association should establish a written policy related to how the general reserve for pledge receivables is established and monitored. In addition, the policy should address how a specific reserve is established for capital and endowment pledges. Last, the policy should establish guidelines for when an account should be written off.

**Management’s Response:** NC State Student Aid Association (the WPC) does not adjust or record pledges until fiscal year end. The budget approved by the board of directors is a cash basis budget. Management does however monitor annual scholarship gifts and capital pledges that are tied to tickets three key times during the year with deadlines associated with football, basketball and baseball. Applicable tickets are held for each sport if a donor is delinquent in annual scholarship gifts or capital payments. If a donor is unable to fulfill either obligation, the pledge will be deemed uncollectible and written off. In addition, with the preparation of invoices each month, the Director of Gift Processing provides the CFO with a list of potential pledges to be written off. While no formal policy is in place, management agrees a policy should be implemented.

Management will develop a policy to review pledges quarterly for pledges that are not related to a ticket for a specific sport (i.e. endowments). Management will also monitor write-offs to determine if the reserve is adequate.

2) **Donor System Reconciliation**

**Criteria:** The donor system ("sub-ledger") used to track contributions should be reconciled to the general ledger on a monthly basis.

**Conditions:** The donor system is not being reconciled to the general ledger.

**Effect:** Without reconciling the two systems there is increased risk that posting errors are not identified and that improper revenue adjustments may go undetected.

**Recommendation:** The general ledger should be reconciled to the donor system monthly. Such a reconciliation is a primary means of preventing or detecting an error or fraud in revenue. We recommend that a reconciliation of the general ledger to the donor system be made at the end of each month and that any reconciling items be investigated and/or cleared and explained. Lastly, review of the reconciliation should be documented.
Management's Response: The PWC started the reconciliation process of the donor system to the general ledger prior to the issuance of this letter starting with July 2019. The CFO identifies discrepancies and discusses them with the Business Manager and Director of Gift Processing monthly as a part of month end close. Discrepancies are accounted for via journal entries or noted.

3) Accounting Resources
Criteria: The CFO and finance team should have sufficient support and resources to facilitate timely performance of key accounting functions both during the annual closing of the general ledger, and throughout the fiscal year. Such functions to include, reconciling subsidiary ledgers and bank accounts, posting journal entries and preparing supporting schedules and analyses.

Condition: For the 2018 audit, the Association contracted with an accounting firm to provide extensive assistance in closing the general ledger and preparing schedules and reconciliations required for the audit process. The accounting firm was not contracted to provide this level of assistance for the 2019 audit. As a result, the CFO was required to devote significant time and effort to performing these tasks, as opposed to overseeing and reviewing the work generated from the closing process.

Effect: There is an increased probability of errors and misstatements if the CFO is required to perform substantially all detail-level preparation of accounting records and schedules. This condition also extends the time required to accurately close the general ledger and complete the audit process.

Recommendation: Absent contracting with an accounting firm to provide the assistance described above, the Association should consider adding to the finance team an individual who has sufficient accounting knowledge and training to perform key accounting functions. This will allow the CFO to perform the appropriate oversight and review role.

Management’s Response: As the new CFO hired in FY1819, I wanted to bring all audit preparation work in house. In prior years, an external accounting firm was hired for fiscal year end entries, reconciliations and all other audit related work papers. In the future, an analysis will be done for additional segregation of duties for the year end close process and audit preparation. On a normal day to day operating basis there is a segregation of duties for the accounting functions.

We have previously discussed our observations and suggestions with management and would be pleased to discuss them in further detail at your convenience, to perform any additional study of the matter, or to assist you in implementing the recommendations to the extent our independence is not impaired.

This communication is intended solely for the information and use of the Board of Directors and management, and is not intended to be, and should not be, used by anyone other than these specified parties.

ELLIOTT DAVIS, PLLC

Raleigh, North Carolina
14.3 Booster Club Operating Procedures

NC State Student Aid Association, Inc.
Payment Handling Procedures

The association accepts payment by several forms to include, but not limited to, cash, check, credit card, bank draft, matching gift, and stock gift. Donors may make payment by mail, telephone, online using the association’s website, by electronic funds transfer (EFT), by wire transfer, or in-person by visiting the association’s office. The business office, led by the organization’s chief financial officer (CFO), is responsible for establishing best business practices as it relates to the handling of payments made by donors to the NC State Student Aid Association.

1. Mail payments
   a. The association maintains a post office box to receive most mailed payments. In addition, payments sent to the association’s street address are delivered by the USPS to the association’s lock box located on the ground floor of the building.
   b. Mail is picked up daily by one of the association’s interns and delivered to a member of the Membership Services staff who sorts and delivers payment envelopes to the appropriate membership staff members assigned to receive mail for that day.
   c. The assigned staff member opens payment envelopes and sorts payments designated for future processing based on method of payment (check or credit card).
   d. Processing responsibilities rotate among membership staff with one member responsible for cash/check payments and another member responsible for credit card payments.
   e. Payments are processed as indicated on payment slip and filed in daily folders for future reconciliation. Physical cash and checks are processed and transferred to the business manager for deposit into one of the association’s bank accounts.

2. Online payments
   Donors may log into their Wolfpack Club membership account online and choose to make a payment using a credit card or via a personal URL processed by a third party vendor.
   a. Payments received online are imported into the donor database several times during each business day. Card numbers are automatically truncated and membership staff can only view the last 4 digits of the card along with the card’s expiration date. Gifts made via third party are reported on, imported through a special import tool, reconciled daily.
   b. A list of online transactions is generated with each import and filed in a daily folder for future reconciliation.
   c. Donors may also opt to establish a payment plan using a credit card or bank draft by logging into their Wolfpack Club membership account online. Payment plans are imported into the donor database on a daily basis and a list of online transactions is generated with each import.

3. Electronic Funds Transfer or Wire Transfer payments
   Donors may make a gift to the Wolfpack Club via an electronic funds transfer (EFT) or a wire transfer. Funds are directed into the association’s primary bank account and the association receives an electronic notification from the bank when funds arrive.
   a. The business manager shall forward a copy of the bank notification to one of the membership staff members to process the donor’s gift as directed by the transfer.

4. In-person or telephone payments
A member of the association’s staff meeting or speaking with the donor will receive the payment information and record the payment information on a payment slip.

a. Payments are delivered to the appropriate membership staff member depending on the form of payment (cash/check/credit card).
b. Payments are processed as indicated on payment slip and filed in daily folders for future reconciliation.
c. Physical cash and checks are processed and transferred to the business manager for deposit into one of the association’s bank accounts.

5. General Processing and Reconciliation

Payments entered into the donor database are assigned to a daily batch with a unique number. Membership staff produce a batch report that includes the donor’s name, account number, allocation designation, and payment amount. A report is also generated from the association’s credit card processor of all credit card payments entered online by donors.

a. Membership staff utilize the batch reports and credit card processing report to reconcile the daily transactions to the payment information contained in the daily folders.
b. Once reconciled, membership forwards a summary report of payment transactions to the business manager who is responsible for transferring funds designated for capital projects to the appropriate bank account.
c. Original batch reports and credit card processing reports are filed in a secure location for future reconciliation by the association’s auditors.

Revised 1.16.19
NC State Student Aid Association, Inc.
Disbursement Procedures

All disbursements in excess of $500.00 require a purchase order approved by the chief financial officer (CFO) prior to purchase. For smaller purchase, association credit card, or employee reimbursement may be utilized, subject to the review and prior approval of the CFO. Association credit cards are maintained by the business manager in a secured locked location, with access limited to the business manager and CFO.

1. Purchase orders are initiated by staff and submitted electronically to the CFO for review and approval within five (5) business days. Once approved, the CFO shall provide a signed copy of the purchase order to both the staff member and the business manager.
2. Upon receipt of goods or services, the staff member initiating the purchase shall approve the invoice from supplier and submit to the business office for payment processing.
3. Invoices are matched to approved POs and entered into the financial system by the business manager for payment at a future date.
4. Once a week the business manager issues checks for invoices that are due for payment. All checks written by the business manager are then reviewed and approved by the CFO, and each check requires signatures from both the CFO and business manager.
5. Travel and expense reports are completed by staff and submitted to the CFO for review and approval. Upon approval by the CFO, the business manager enters the reports into the financial system for payment. Checks cut for reimbursement of staff for travel expenses are handled in the same manner as all other accounts payable checks.
6. The CFO reviews and approves all contracts for the association, with consultation from the executive director as needed. Any contract in excess of $25,000 in value requires signed approval by the executive director after review by the CFO. Contracts less than $25,000 in value may be signed by the executive director or CFO.
7. The association provides fuel credit cards to employees driving courtesy cars. Credit card receipts shall be included as part of the employee’s expense report. The association is billed monthly for fuel and the business manager reconciles the statement with receipts turned in by employees.
8. A fidelity bond is maintained covering the actions of all staff member who have check signing authority or who handle cash or other negotiable instruments.
IT Security Update

Annual Report to Audit, Risk Management and Finance Committee
NC State Board of Trustees
Marc Hoit
February 2020
IT risks are more than just cyber risks.

- The potential loss of data, data center unavailability, and attracting and retaining talent all create significant risk for the university’s mission.

- Providing IT operations and support for the university goes beyond maintaining physical infrastructure into knowing what is connected to our network, how third party providers secure and handle our data, and how non-central systems manage, review and protect assets.

- While protecting the university and its resources is a major part of our mission, we are stretching our resources to the point of not being able to implement some key security best practices.
The news is full of cyberattacks—breaches, ransomware and attacks from state and non-state actors.

- As an R1 university, NC State has proven to be a popular target for hackers and we experience continual attempts to circumvent existing security measures.
- We routinely deal with security incidents such as compromised users and websites, attacks on unpatched servers and stolen credentials.
- We have worked hard to protect our assets and have been fortunate to not have had any major incidents in recent years.

Most recent phishing and spam metrics:

- Spam filtering over last 30 days (Dec 17-Jan 15)
  - 229K emails classified by Google as phishing were sent directly to users' spam folders
  - Additional 1.2K emails classified by OIT systems as phishing and moved to users’ spam folders
  - 5.1M emails classified by Google as spam were sent directly to users’ spam folders
  - Additional 218K emails classified by OIT systems as spam and moved to users’ spam folders

- NC State continues to see a drop in accounts needing to be disabled each month, from 60 per month in 2018 to about 57 per month in 2019. This is due primarily to raising user awareness and encouraging two-factor authentication (2FA) for university students. A significant drop occurred from 2017 to 2018 due to requiring all university employees to use 2FA as of October 2017. We anticipate continued declines in compromised accounts once 2FA is implemented for all student accounts and graduated student accounts are moved to a separate alumni domain (@alumni.ncsu.edu).
People are both our greatest asset and vulnerability!

- Human interaction and the social engineering used to “trick” people are still the most critical concerns, and the hardest to protect against.

Types of security incidents we see at NC State:

- Use of default passwords on websites
- Accidental exposures of sensitive data, such as attaching it to the wrong email
- Compromised servers due to lack of patching
- Viruses due to lack of patching

The challenges we face:

- Insufficient Resources: slow response, lack of tools and automation
- Changing landscape: keeping up with new and emerging threats, complying with new requirements and best practices.
Cyber Threats Seen at NC State

- **447 external notifications in 2019**
  - The security team members participate in several national entities that track external security threats/vulnerabilities and share them for appropriate mitigation by their members. These notifications are evaluated and acted upon by the security team in coordination with campus IT staff and security liaisons as appropriate. Resulting actions range from patching systems to disabling accounts or blocking IP addresses, consuming about 3 FTE of staff time.
  - 138 vulnerable web page notifications from DorkBot
  - ~30 hosts with critical Intel vulnerability
  - 118 MCNC DDoS (distributed denial-of-service) automatic mitigations
  - 103 REN-ISAC Notifications (Research Education Network — Information Sharing Analysis Center)
  - 88 MS-ISAC Notifications (MultiState — Information Sharing Analysis Center)

Who is attacking us and what they’re targeting:

- **Financial, Student / Employee Information**
  - **Common Hackers**: general hacker either working for self or in an organized group as a business
  - **Insiders**: Anyone with access or knowledge through a relationship with the organization (employees, students, alumni, contractors, volunteers, interns, etc.)
  - **Hacktivists**: Individuals or groups that hack for ideological reasons (WikiLeaks, anonymous, the Jester who attacks WikiLeaks, Islamist sites, homophobic sites, etc.)
  - **Organized Crime**: transnational, national, or local groupings of highly centralized enterprises run by criminals who intend to engage in illegal activity, most commonly for profit

- **Research / Intellectual Property**
  - **Nation States**: (i.e., United States, Russia, China, Iran, North Korea, France)
  - **Corporate Espionage**: covert and sometimes illegal practice of investigating competitors to gain a business advantage, often involves theft of intellectual property and trade secrets
Types of Attacks we see at NC State

- **Ransomware:**
  - Ransomware is seen in many sectors; so far NC State has escaped major incidents, but have worked on measures to prevent and respond.

- **Unprotected Assets:**
  - Approximately 4,500 assets, such as printers, are open to attack from the internet.

- **Social Engineering and Phishing:**
  - NC State is continually hit with phishing attacks and new scams requiring user vigilance. Hackers are customizing attacks to make NC State users more likely to click or send personal information.
Cybersecurity permeates the IT Strategic Plan
- The IT strategic plan is a campus wide effort to support the mission of the university.
- Providing robust, reliable and secure IT for teaching, scholarship and outreach requires strong cybersecurity.
- Optimization of resources and having a collaborative culture allow for consistent systems, practices, policy enforcement and shared training.

Cybersecurity, like your health, is a long term activity. We plan for the future without knowing what new challenges, opportunities and technologies will exist.

Implementing university-wide changes, systems or consolidations are time-intensive due to our large, diverse and extended activities, such as Cooperative Extension in all counties, retired faculty, and >6,000 new students each year.

We have an evolving four-year plan that allows us to continually improve while leveraging our limited resources to best mitigate risk. However, unreliable state funding makes this difficult to implement.

Our Cyber Security Roadmap is the implementation of the Cyber Security Strategic Plan:

- **Vision**: An agile, secure and resilient cyber environment that empowers the NC State community to innovate and achieve the university's mission: teaching, research, and engagement.
- **Mission**: Employment of risk-based measures to defend NC State's digital assets from internal and external threats.
- **Goal 1**: Be a leader in higher education cybersecurity awareness
- **Goal 2**: Embrace a risk-based approach to protect digital assets
- **Goal 3**: Enable proactive advanced cybersecurity defenses
- **Goal 4**: Create a comprehensive data-driven monitoring and reporting system (dashboard) that generates near real-time actionable intelligence
Multiple Overlapping Laws, Rules and Requirements

- There is an alphabet soup of compliance regulations and standards that we follow — HIPAA, FERPA, NIST, PCI DSS, ISO 27002 — to name a few.
- The good news is many of them require similar activities, support and monitoring.
- Our fastest growing need is research support: offering improved ways to cost effectively share information, store data and keep it all secure.

We are subject to many compliance requirements, some overlapping, so we find common solutions:

- Federal, State and International Laws
  - HIPAA - medical records
  - GLBA - banking info
  - FERPA - student privacy
  - NC Identity Theft Act - Personally Identifiable Information
  - US Export Controls - certain research data
  - EU’s GDPR
  - California CCPA (GDPR-like law)

- Contractual Agreements
  - PCI DSS - credit card data
  - Research agreements (NIST 800-171)
  - Nondisclosure agreements

- Dept of Ed is pushing for student records to meet NIST 800-171
- UNC SO Adopted Security Standard (ISO 27002) - overall security framework
- UNC SO Policy 1400.1 and 1400.2 - new policies on responsibility for IT security
Our four biggest accomplishments in 2019 include:

- Achieving 100% compliance with PCI DSS
- Rolling out mandatory Data Security Awareness training to all university employees
- Completing phase one of the Endpoint Protection Standard which required all university-owned endpoints with IT support to be in a configuration management system
- Updating Data Management Regulation with an overhaul of the Data Management Framework in progress.

Our IT Purchase Compliance process that requires vendor security assessments for certain criteria is a good example of cross-departmental partnership. The process continues to protect our sensitive data in vendor environments, including the cloud.
Major activities for the coming year include:
• Completion of the data management framework revisions
• Continuing the rollout of 2FA for students
• Completion of the data center move to the State of North Carolina’s Eastern Data Center
• Further development of a web application scanning service
  ◦ Will assist developers with identifying vulnerabilities on their websites and applications before going live
  ◦ Website compromises should decrease as a result

Significant work in progress:
• New UNC Policies (1400.1, 1400.2, 1400.3) — IT Governance, Information Security, and User Identity & Access Control
• Secure University Research Environment (SURE)
  ◦ Solution is in place to meet immediate NIST requirements
  ◦ Longer term and lower cost solutions in progress
• Secure Google Environment for meeting long term research security requirements
• 2FA required for VPN usage
• Attestation process for the Endpoint Protection Standard and implementation of phase 2 for requiring all university owned endpoints without IT support to be in a configuration management system
We always need to balance the effort, cost and value with the risk (probability AND impact)

- Security is everyone’s responsibility. Security is not just our security team’s responsibility but requires efforts across campus that can make for competing priorities.
- New initiatives and technologies add new risks that we must mitigate.
- We partner with Internal Audit to ensure everyone is meeting goals and policies. State Audit will return this year to restart the IT audit.

Cybersecurity’s focus is to support the university’s strategic plan and simultaneously reduce risk.

- We often make difficult choices on risk tolerance when assigning resources.
- 40% of NC State IT positions are in OIT, the rest distributed throughout campus. This hybrid model requires strong governance and policies but works well overall. For example, our data center needs physical and cyber protection, campus servers need to be patched, websites and web applications need to be less vulnerable, users need to be wary of phishing, etc.

- A cybersecurity breach is a University Strategic Risk
  - FBI calls universities “soft targets”
  - Greatest risk is across three areas:
    - Business of the university
    - Student and employee records
    - Research data and Intellectual Property (IP)

- Conflicting goals in a university setting
  - Providing open access vs. securing intellectual property and sensitive data
  - Threats and concerns (what we face — NSA, international visitors and students, open campus, sharing our research and results, etc.)
Training, outreach and communication build the necessary trust to underpin changing the university’s security culture.

• Ultimately, we all need to integrate cybersecurity best practices into everyday life:
  ◦ Using awareness and caution
  ◦ Remembering that no one will EVER ask for your SSN, password or other secure information
  ◦ Being mindful that staying secure is a constant and ever-changing activity
  ◦ Keeping in mind that security is everyone’s responsibility

Huge culture shift!

• Continual need for ongoing training for university community
• Increased focus on security for all campus IT staff
• Additional staff, software and hardware required to meet needs

Our training, communications and outreach efforts:

• New IT Governance restructure
  ◦ Separating operational roles and services from overall strategy and policy
  ◦ IT Security representation on ALL committees
  ◦ Service teams and advisory groups
• Data Governance Committee (with Working Group)
  ◦ Makes decisions and investments in university data sharing, reporting projects and advancing the use of data
• Complex cross functional projects have increased Project Management support

• OIT project teams charged to include more non-OIT representatives
• Cybersecurity Awareness and Training group (CSAT) is comprised of members from OIT and other campus units. The CSAT:
  ◦ Develops and maintains the mandatory Data Security Awareness Training
  ◦ Provides ongoing cybersecurity training and outreach to campus units
  ◦ Leads cybersecurity events and campaigns on campus
Global markets cautiously plodded along in Q3 2019, balancing increased concerns around trade policy with evermore accommodative monetary policy from central banks. The Federal Reserve cut its target rate twice during the quarter while the European Central Bank announced additional measures aimed at stimulating its economy, including their willingness to reinstate quantitative easing. In the United Kingdom, Boris Johnson assumed the role of Prime Minister in July, which has continued to drive uncertainty around an amicable Brexit resolution. From a broad economic perspective, the United States continues to provide slivers of positivity, with the unemployment rate recently reaching another multi-decade low at 3.5%. However, the economy’s momentum seems to be waning, with consumer confidence and manufacturing data coming in below expectations in recent periods.

Domestic equities, as measured by the S&P 500 Index, posted a modest gain for the quarter, returning 1.7%. Small-cap stocks, in stark contrast to their larger counterparts, suffered during the period, with the Russell 2000 Index losing -2.4%. Mid-cap stocks, as measured by the Russell Mid Cap Index, split the difference, with a gain of 0.48% for the period. Over the last year, the divergence between large cap and small cap stocks has been significant, with the S&P 500 returning 4.3% compared to -9.9% for the Russell 2000 Index.

International equities, as measured by the MSCI EAFE Index, returned -1% for the quarter. Over the last year, the index was also slightly negative, with a return of -0.82%. Trade policy and tariffs (potential and realized) continue to weigh on international markets. Major economies that have driven growth through the expansion have begun to show accelerating tendencies of slowing, including the contraction of the German economy year over year.

Emerging markets, as measured by the MSCI Emerging Markets Index, were also negative for the quarter, losing -4.11% and -1.63% for the year. Emerging markets have been hindered by a strengthening US dollar and, once again, concerns over trade policies. Within the emerging market universe, Argentina was the weakest performer following a surprising primary election that triggered significant sell-offs in both equities and the Argentine peso. Additionally, the trade war between the U.S. and China doesn’t appear to be slowing, with additional tariffs set to kick in prior to year-end, baring any significant break-through in talks between the world’s largest economies.

The third quarter of 2019 saw intermediate and long-term Treasury yields fall precipitously, with the 10-year beginning the quarter at 2% before closing below 1.7%, as investors sought safe haven assets given increased uncertainty in equity markets. The often scrutinized spread between the 2-year and 10-year Treasuries briefly turned negative during the quarter. An inverted curve between these maturities has precipitously, with the 10-year beginning the quarter at 2% before closing below 1.7%, bringing its one-year return to 25.2%. The more broadly diversified Bloomberg Barclays US Aggregate Bond Index produced a respectable 2.3% for the quarter, resulting in a one-year return of 10.3%.

Looking ahead, as has been the case for the last year, trade and central bank policies should be the main drivers of markets. However, as more economies begin to deal with the realities of negative interest rates and the limitations of monetary policy, countries may turn to fiscal stimulus to fill the void. Additionally, increased geopolitical risks, including North Korea and the Turkey/Syria conflict, are difficult to discount and could increase left tail risks for markets broadly.

### MARKET COMMENTARY PERFORMANCE

<table>
<thead>
<tr>
<th>September 30, 2019</th>
<th>Market Value</th>
<th>Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$1,093,603,118</td>
<td>9</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance</th>
<th>QTD</th>
<th>CYTD</th>
<th>1 Year</th>
<th>5 Year</th>
<th>10 Year</th>
<th>10 Year − Dat</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCSIF</td>
<td>1.3%</td>
<td>10.2%</td>
<td>3.5%</td>
<td>9.4%</td>
<td>7.6%</td>
<td>8.9%</td>
</tr>
<tr>
<td>Policy Index (1)</td>
<td>0.6%</td>
<td>13.0%</td>
<td>3.4%</td>
<td>7.2%</td>
<td>5.5%</td>
<td>7.9%</td>
</tr>
<tr>
<td>Global Index (2)</td>
<td>0.7%</td>
<td>14.1%</td>
<td>4.3%</td>
<td>7.8%</td>
<td>5.8%</td>
<td>7.2%</td>
</tr>
<tr>
<td>BNY S&amp;P Univ (3)</td>
<td>0.0%</td>
<td>10.9%</td>
<td>3.7%</td>
<td>8.0%</td>
<td>6.1%</td>
<td>6.1%</td>
</tr>
<tr>
<td>UNCF</td>
<td>1.4%</td>
<td>10.2%</td>
<td>6.4%</td>
<td>9.6%</td>
<td>7.7%</td>
<td>8.6%</td>
</tr>
<tr>
<td>NCSIF Private Assets</td>
<td>1.9%</td>
<td>6.0%</td>
<td>9.9%</td>
<td>11.3%</td>
<td>10.1%</td>
<td>12.8%</td>
</tr>
<tr>
<td>BlackRock LPP</td>
<td>1.1%</td>
<td>14.5%</td>
<td>3.3%</td>
<td>8.1%</td>
<td>0.6%</td>
<td></td>
</tr>
</tbody>
</table>

Note 1: Policy Index= NCSIF’s Strategic Investment Policy Portfolio Index (SIPP)
Note 2: Global Index= 70% ACWI; 30% Barclays’s Aggregate
Note 3: BNY Mellon Endowment & Foundation Universe Median Return—142 portfolios are represented for the one-year period ended September 30, 2019

### FUND PERFORMANCE

The NCSIF (Fund) is a large, diversified investment pool with a long-term perspective. At September 30, 2019 the Fund had $1.09 Billion invested with several managers in a wide variety of asset classes. The largest manager for the Fund, UNCMC, managed 85.6% of the Fund’s assets. The UNC Investment Fund (UNCF) produced a three-month return of 1.4%, and a 12-month return of 6.4% for the period ended September 30, 2019. The NCSIF employs ten additional private equity managers, who oversee 2.2% of the portfolio. This portion of the Fund produced a three-month and 12-month return of 1.9% and 6.9%, respectively, for the period ended September 30, 2019. The Fund’s Liquid Policy Portfolio (LPP), managed by Blackrock, was another 10.2% of the portfolio. This investment returned 1.1% for the three months and 3.3% for the 12 months ended September 30, 2019. The remaining 2.0% of the portfolio is invested in cash with the State Treasurer’s Short-Term Investment Fund (STIF).

### RISK METRICS

<table>
<thead>
<tr>
<th>3 Year Period</th>
<th>Fund</th>
<th>UNCF</th>
<th>Policy Index</th>
<th>MSCI ACWI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annualized Return</td>
<td>9.4%</td>
<td>9.6%</td>
<td>7.2%</td>
<td>9.7%</td>
</tr>
<tr>
<td>Annualized Volatility</td>
<td>4.1%</td>
<td>3.9%</td>
<td>7.2%</td>
<td>11.3%</td>
</tr>
<tr>
<td>Annual Sharpe Ratio (1)</td>
<td>2.26</td>
<td>2.44</td>
<td>0.99</td>
<td>0.86</td>
</tr>
<tr>
<td>Correlation to Global Index</td>
<td>0.90</td>
<td>0.86</td>
<td>0.98</td>
<td>0.99</td>
</tr>
<tr>
<td>Max Drawdown</td>
<td>-4.1%</td>
<td>-3.7%</td>
<td>-8.5%</td>
<td>-14.2%</td>
</tr>
</tbody>
</table>

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

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.

First Quarter Fiscal Year 2020
NC State Investment Fund, Inc.

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

Inception Date: April 1, 1999

September 30, 2019

INVESTMENT STRATEGY

The Fund is managed as a broadly diversified portfolio with exposure to seven primary asset classes and many sub-strategies within each asset class. The Fund seeks to diversify exposure to the sub-strategies through the use of multiple investment managers that utilize a variety of investment approaches. The purpose of diversification is to provide reasonable assurance that no single security, class of securities, or investment manager has a disproportionate impact on the Fund’s aggregate results. At times, the Fund invests in passive strategies. In working toward the Fund's investment strategy, through UNCMC, the Fund invests in a number of niche managers that can employ different types of hedging strategies such as short-selling and derivative investing to help reduce the volatility of the Fund. The focus on controlling volatility preserves capital and benefits Fund participants through the power of compounding.

ASSET ALLOCATION

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Biased Equity</td>
<td>30.5%</td>
</tr>
<tr>
<td>Long/Short Equity</td>
<td>5.2%</td>
</tr>
<tr>
<td>Diversifying</td>
<td>3.3%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>5.8%</td>
</tr>
<tr>
<td>Cash</td>
<td>23.2%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>12.8%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>9.1%</td>
</tr>
<tr>
<td>Private Credit</td>
<td>8.0%</td>
</tr>
<tr>
<td>Energy &amp; Natural Resources</td>
<td>2.1%</td>
</tr>
</tbody>
</table>

UNC MANAGEMENT CO.

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 over 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 the UNCIF’s Executive Committee. The Operations Team performs all administrative, legal, compliance, accounting, and performance reporting duties.

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 three private equity managers which includes an allocation for cash to fund capital calls. The transition of assets to UNCMC was completed December 2009.

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.

First Quarter Fiscal Year 2020
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 current 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 FY 2015 and FY 2017, bringing the total invested to $193.83 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. 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.

BlackRock’s SIO was liquidated from the fund on June 30, 2016. Proceeds were invested in Vanguard’s Short Term Fund and DoubleLine’s Total Return Fund on July 1, 2016. Additionally, a small position with PIMCO Income was initiated on November 2, 2016. The ITF’s position in JP Morgan was liquidated on September 27, 2017 and PIMCO Low Duration was liquidated on October 2, 2017. The proceeds from these liquidations were reinvested into Vanguard’s Short Term Fund and PIMCO Income, bringing the total cost basis to $190.4 million.

PERFORMANCE

<table>
<thead>
<tr>
<th>Market Value</th>
<th>$188,318,550</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Performance</th>
<th>QTD</th>
<th>CYTD</th>
<th>1 Year</th>
<th>3 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITF Fund</td>
<td>0.8%</td>
<td>5.4%</td>
<td>6.2%</td>
<td>2.7%</td>
</tr>
<tr>
<td>Barclays 1-3 yr Treasury</td>
<td>0.6%</td>
<td>3.1%</td>
<td>4.4%</td>
<td>1.5%</td>
</tr>
<tr>
<td>Barclays Universal 1-5 yr</td>
<td>0.8%</td>
<td>4.8%</td>
<td>6.0%</td>
<td>2.3%</td>
</tr>
<tr>
<td>PIMCO Income</td>
<td>-0.1%</td>
<td>5.4%</td>
<td>6.2%</td>
<td>3.2%</td>
</tr>
<tr>
<td>Vanguard Short Term</td>
<td>1.0%</td>
<td>5.2%</td>
<td>5.9%</td>
<td>2.5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STATISTICS</th>
<th>Fund</th>
<th>Index (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Volatility</td>
<td>1.2%</td>
<td>1.4%</td>
</tr>
<tr>
<td>Sharpe Ratio</td>
<td>0.3</td>
<td>0.2</td>
</tr>
<tr>
<td>SEC Yield</td>
<td>2.8%</td>
<td>3.0%</td>
</tr>
<tr>
<td>Effective Duration</td>
<td>2.1</td>
<td>2.6</td>
</tr>
<tr>
<td>FYTD Net Interest &amp; Dividends**</td>
<td>$1,653,372</td>
<td>N/A</td>
</tr>
<tr>
<td>Net Interest &amp; Dividends Since Inception**</td>
<td>$25,976,962</td>
<td>N/A</td>
</tr>
</tbody>
</table>

*Net of Fund expenses  Note 1: The iShares Core 1-5 Year Bond ETF is used as a proxy for the benchmark for Statistics information

MANAGERS

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 Income Fund is a portfolio of a broad range of intermediate-duration bonds that is actively managed to maximize current income while maintaining a relatively low risk profile.

DoubleLine’s Total Return Fund seeks to maximize total return by exploiting inefficiencies within the subsectors of the mortgage market while maintaining active risk management constraints.

SECTOR ALLOCATION

MANAGER ALLOCATION

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.

First Quarter Fiscal Year 2020
CALL TO ORDER
Jimmy Clark, Committee Chair

ROLL CALL
Jimmy Clark, Committee Chair

READING OF PUBLIC MEETING NOTICE AND STATE GOVERNMENT ETHICS ACT
Jimmy Clark, Committee Chair

1. MINUTES  
   Approval of November 21, 2019 meeting minutes  
   TAB 5.1

2. ACTION ITEMS  
   TAB 5.2
   A. Property Matters

   Charles Maimone, Vice Chancellor, Finance and Administration and Development

   ✔ Acquisition by Lease. North Carolina State University requests permission to acquire strategically located space by lease on behalf of the Poole College of Management, Jenkins MBA Program – Research Triangle Park Satellite location. Securing a new office space and classroom space in RTP, NC will accommodate the program’s growth as well as continue to provide easy access for students attending from various locations across North Carolina.  
   ✔ Acquisition by Lease. North Carolina State University requests permission to acquire by lease three (3) floors in the University Towers residence hall for the 2020-2021 academic year. The leased space will provide overflow housing for 384 students and six resident advisors.  

   B. PROPERTY MATTERS (Received after Full Board Mailing)  
   TAB 5.3

---

✔ Requires full board approval

¹ Materials will be distributed to committee members at the meeting
C. DESIGNER SELECTIONS

Doug Morton, Associate Vice Chancellor, Facilities

- Athletics Development Plan
- Greek Village Phase IV – Construction Manager at Risk
- McKimmon Center Restroom Renovations
- Approval of Designer Selections $1 million or less

D. ACCEPTANCE OF COMPLETED BUILDINGS AND PROJECTS

Doug Morton, Associate Vice Chancellor, Facilities

- The University and Office of State Construction have accepted the attached list of completed buildings and projects with dollar values greater than $2,000,000. The University has accepted the attached list of completed buildings and projects with dollar values less than $2,000,000. All are recommended to the Buildings and Property Committee for formal acceptance. This listing represents buildings and projects received since the November 21, 2019 meeting.

E. NON-APPROPRIATED CAPITAL PROJECTS UPDATE

Doug Morton, Associate Vice Chancellor, Facilities

- Approval Non- Appropriated Capital Improvement Projects less than $750,000

F. SITE AND PLAN REVIEW/ APPROVAL

Lisa Johnson, University Architect

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

3. INFORMATIONAL REPORTS

A. Capital Projects Update

Doug Morton

B. Physical Master Plan

Lisa Johnson

C. Status of Projects in Planning

Doug Morton

ADJOURN

✓ Requires full board approval

1 Materials will be distributed to committee members at the meeting
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Buildings and Property Committee

Meeting Date: November 21, 2019

Minutes

Meeting No. 18-19:6

Location: Winslow Hall Conference Room

Time: 10:13 – 11:31 a.m.

Committee Members Present:
Mr. Jimmy D. Clark, Chair
Mr. Robert “Chip” Andrews, III
Mr. Ven Poole
Mr. James A. “Jim” Harrell, III
Dr. Ronald W. Prestage
Ms. Emma Carter

Other Board of Trustees Members Present
Mr. Thomas E. Cabaniss
Mrs. Ann B. Goodnight
Mr. Stanhope A. Kelly
Mr. Wendell H. Murphy
Mr. Edwin J. “Ed” Stack, III
Mr. Dewayne N. Washington
Mr. Edward I. “Ed” Weisiger, Jr.

Present from the University:
Mr. W. Randolph “Randy” Woodson, Chancellor
Mr. Marc Hoit, Vice Chancellor for IT & CIO, Office of Information Technology
Mr. Kevin Howell, Vice Chancellor, External Affairs, Partnerships & Economic Development
Mr. Charles A. Maimone, Vice Chancellor, Office of Finance & Administration
Ms. Allison Beth Newhart, Vice Chancellor & General Counsel, Office of General Counsel
Mr. Doug Morton, Associate Vice Chancellor, Facilities Division
Ms. Mary Peloquin-Dodd, Associate Vice Chancellor, Finance & University Treasurer

Buildings and Property Committee November Minutes
Page 1
Mr. Michael S. Fausnight, Associate General Counsel, Office of General Counsel
Mr. Harlan Stafford, Interim Associate Vice Chancellor, University Real Estate & Development
Ms. Lisa K. Johnson, University Architect, Office of the University Architect
Ms. Catherine Phillips, Director of Operations, Analysis & Planning, Finance & Administration
Dr. Janice D. Sitzes, Associate Director, Marketing Services, Office of Professional Development
Ms. Pat Gaddy, Chair-Elect, NC State Staff Senate
Dr. Catherine Horn, ACE Fellowship
Ms. P. J. Teal, Secretary of the University & Assistant to the Chancellor
Ms. Melissa Young, Assistant to University Architect, University Architect’s Office
Ms. Sarah Kwon, Executive Assistant to the Associate Vice Chancellor, Facilities Division

CALL TO ORDER
Chair Clark called the meeting to order at 10:13 a.m.

ROLL CALL
Chair Clark called roll and certified that a quorum was present.

STATE GOVERNMENT ETHICS ACT
Chair Clark reminded all members of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics Act. He inquired as to whether there were any known conflicts of interest with respect to any matters coming before the Building and Property Committee at this meeting.

INTRODUCTION
Chair Clark asked Chancellor Woodson to introduce Mr. Charles A. “Charlie” Maimone, Vice Chancellor, Office of Finance and Administration. Chancellor Woodson welcomed Mr. Maimone and thanked Ms. Peloquin-Dodd for serving as the Interim Vice Chancellor, Office of Finance and Administration.

Chair Clark reminded all members and guests that although Buildings and Property Committee meetings are open to the public to attend, only those on the agenda are given the opportunity to speak.

MINUTES
Chair Clark asked whether there were any corrections to the September 12, 2019 meeting minutes. There being none, Chair Clark declared the minutes approved as drafted.
FULL BOARD APPROVAL PROPERTY MATTERS
Chair Clark asked Mr. Harlan Stafford to present the five property matters that require full board approval.

✔ Acquisition by Lease. Combine, restructure, and extend two existing strategic space leases for the entirety of 407 Gorman Street into a single long-term strategic space lease. Securing this two-story commercial office building space lease will allow for continued use of the building and associated parking by the NCSU TRIO Programs and will provide conveniently located office space for near- and longer-term strategic space needs.

✔ Acquisition by License. North Carolina State University, on behalf of the student Entrepreneurship Garage (“the Garage”) program, requests to execute a license agreement with HQ Raleigh, LLC to occupy office and classroom space to house its program within the HQ @ Centennial Co-working space in Partners I on Centennial Campus. Acquisition is recommended to enhance student experience and success within the program by collocating with business owners and entrepreneurs.

✔ Disposition by Easement. Duke Energy Progress has requested the conveyance of an easement to support the installation of three new electric vehicle charging stations. This easement would allow for installation of a new junction box and underground electric service from an existing underground line on Carter Finley property to shared property line with PNC Arena.

✔ Disposition by Easement. Duke Energy Progress has requested the conveyance of an easement to support the installation of three new electric vehicle charging stations. This easement would allow for installation of underground electric service from the shared property line with Carter Finley property to the three new electric vehicle-charging stations on PNC Arena property.

✔ Disposition by Demolition. The North Carolina State University Office of Real Estate and Development has requested the demolition of a residential structure located on Hope Street. Demolition is requested due to the vacancy and poor condition of the structure, which has created a public safety concern for the university.

Dr. Prestage made the motion, seconded by Mr. Harrell to approve the five property matters. The motion passed.

DESIGNER AND DESIGN-BUILD SELECTIONS
Chair Clark asked Mr. Morton to discuss the Designer and Design-Build Selections. Mr. Morton recommended approval of three designers, and approval of nine designer selections less than $1 million.

Dr. Prestage made the motion, seconded by Mr. Andrews to approve the nine designer selections less than $1 million. The motion passed.
ACCEPTANCE OF COMPLETED BUILDINGS AND PROJECTS

Chair Clark asked Mr. Morton to present the completed buildings and projects for acceptance. Mr. Morton requested acceptance of sixteen completed projects listed with a combined value of $10.9 million. The list included acceptance of the Murphy Center Entry Graphics Update, Fountain Dining Hall Serving Area, and the Oberlin & Ferndell Gravel Parking Lot.

Dr. Prestage made the motion, seconded by Mr. Harrell to approve the acceptance of completed buildings and projects. The motion passed.

NON-APPROPRIATED CAPITAL IMPROVEMENT PROJECTS

Chair Clark asked Mr. Morton to present the Non-Appropriated Capital Improvement Projects procedure and projects. Mr. Morton stated the UNC Board of Governor’s delegated authority to approve and administer non-appropriated capital improvement projects funded entirely with non-general fund money that are projected to be less than $750,000. Mr. Morton requested acceptance of two projects as listed in tab 5.6.A. Repairs to Coliseum Parking Deck and Chiller Replacement – Lee Hall.

Dr. Prestage made the motion, seconded by Mr. Andrews to approve the acceptance of two non-appropriated capital improvement projects. The motion passed.

SITE AND PLAN REVIEW/APPROVAL

Chair Clark asked Ms. Johnson to present the Site and Plan for review and approval. Ms. Johnson presented and requested for approval of the programmatic use change of the area south of McKimmon Center from a recreational field to Varsity Drive Parking Lot after the University Wellness and Recreation re-evaluated their needs. Ms. Johnson also requested for approval for re-design of the area near to the Partners Way building entrance to better blend with the existing campus context, to provide more flexible outdoor spaces with seating opportunities, and to provide better access to the building entrance. Ms. Johnson requested approval of elevator additions to both Tucker and Owen Residence Halls to provide barrier-free accessibility to each floor.

Mr. Poole made the motion, seconded by Mr. Andrews to approve the site and plan. The motion passed.
APPROVAL OF PLANS AND SPECS OF FORMAL PROJECTS LESS THAN $2 MILLION
Chair Clark recognized Ms. Johnson to present the Plans and Specifications of Formal Projects less than $2 million. Ms. Johnson requested acceptance of one project listed with a value of $1.3 million.

Dr. Prestage made the motion, seconded by Mr. Poole to approve the Plans and Specifications of Formal Projects less than $2 million. The motion passed.

INFORMATIONAL REPORTS
Chair Clark recognized Mr. Morton to present the Capital Projects at a Glance. Mr. Morton stated the Central Campus Electrical Update is in Phase 2. Mr. Morton stated the structural repairs to Mann Hall are underway. Mr. Morton stated that the fee negotiation is underway for the Dairy Facility at CVM and the Creamery Café and Education Center had its soft-opening, and will be finished with construction in November 2019. Fitts-Woolard is scheduled for completion in June 2020, and the Carmichael Addition is scheduled to be completed July 2020. He also stated that the restoration to Memorial Belltower should be completed in the spring of 2021.

Chair Clark recognized Mr. Stafford to provide an update on Centennial Campus. Mr. Stafford stated that overall there are new tenants and a shortage of space. There are three upcoming sales transactions. Mr. Stafford stated that the land exchange of the Innovation District has been approved on November 5, 2019 by the Council of State. He stated that the construction of Fitts-Woolard Hall and Plant Sciences Building will bring an additional 1,500 students to Centennial campus.

There being no additional business, the meeting adjourned at 11:31 a.m.

Respectfully submitted,

D. G. Morton
Secretary to the Committee

cc: Charles A. Maimone, Vice Chancellor, Finance & Administration
    P.J. Teal, Assistant Secretary of the Trustees

Approved: ________________________________
    Committee Chair    Date
STATE OF NORTH CAROLINA
DEPARTMENT OF ADMINISTRATION
RALEIGH

* ACQUISITION OF REAL PROPERTY

Institution or Agency: North Carolina State University                    Date: February 27, 2020

The Department of Administration is requested, as provided by GS 146-22 et seq., to acquire the real property herein described by (purchase), (lease), (rental), or (other specify):

This Property is needed for the following reasons and purposes: North Carolina State University requests permission to acquire space by lease on behalf of the Poole College of Management, Jenkins MBA Program - Research Triangle Park Satellite location. Securing a new office and classroom space in RTP, NC will accommodate the program’s growth as well as continue to provide easy access for students attending from various locations across North Carolina.

Name and Address of Present Owner: One Park Drive, LLC (Landlord); 4001 St Marks Rd, Durham, NC 27707; Current lease located at 1 Park Drive, Research Triangle Park, NC, is 4,960 useable square feet and will expire on July 31, 2020.

Description of Property: (attach additional sheets if necessary). 8,000-9,000 rentable square feet; new lease location to be determined based on responses from publicly advertised request for proposal in accordance with UNC Policy Manual 600.1.3.1[R]

Term: Proposed ten (10) year term, including renewal options, commencing on August 1, 2020

Rental price (if applicable): To be determined based on market survey, not to exceed $29.00 per rentable square feet ($261,000/year) with 3% annual increases. Cost includes utilities, janitorial services, and required maintenance.

Funding: MBA Student Tuition (Receipts) or MBA Program State Appropriated Funds

Item: Project # 301535 or #201571

In the event the above described real property is not acquired, is there other real property available, owned by the State or otherwise, that you believe would, if acquired, fulfill the requirement of your agency? If so, give details. No.

Action, recommending the above request, was taken by the Board of Trustees and is recorded in the minutes thereof on _______________, 2020.

Signature __________________________________________

Chancellor

* The term "real property" includes timber rights, mineral rights, etc. (GS 146-64)
ACQUISITION
OF REAL PROPERTY

LEASE

LESSOR  To be determined based on responses from publicly advertised request for proposal in accordance with UNC Policy Manual 600.1.3.1[R]

LESSEE  The State of North Carolina, North Carolina State University

LOCATION  Research Triangle Park, NC between TW Alexander Dr. and Airport Boulevard

SIZE  +/- 8,000-9,000 rentable square feet of real property.

RATE  Not to exceed $29.00/rsf ($261,000/year) with annual escalations

TERM  Proposed ten (10) year term, including renewal options

USE  Acquisition by Lease. North Carolina State University requests permission to acquire space by lease on behalf of the Poole College of Management, Jenkins MBA Program - Research Triangle Park Satellite location. Securing a new office and classroom space in RTP, NC will accommodate the program’s growth as well as continue to provide easy access for students attending from various locations across North Carolina.
TRANSMITTAL OF REQUEST FOR ACQUISITION/DISPOSITION OF REAL PROPERTY

Form Number: PO-1
Preparation Date: February 27, 2020

Request: North Carolina State University requests permission to acquire space by lease on behalf of the Poole College of Management, Jenkins MBA Program - Research Triangle Park Satellite location. Securing a new office and classroom space in RTP, NC will accommodate the program’s growth as well as continue to provide easy access for students attending from various locations across North Carolina.

Institution NORTHCAROLINASTATEUNIVERSITY

RECOMMENDED BY CHANCELLOR, NCSU (Chancellor's Signature)

RECOMMENDED BY COMMITTEE ON BUILDINGS AND PROPERTY (Chairman’s Signature)

RECOMMENDED BY BOARD OF TRUSTEES, NCSU (Chairman's Signature)

RECOMMENDED BY BOARD OF GOVERNORS (Secretary's Signature)
Vicinity Map

Research Triangle Park, NC

(between TW Alexander Drive and Airport Boulevard)
Vicinity Map
Central Park One
5001 S Miami Blvd, Durham, NC
Vicinity Map

The Concourse

One Copley Parkway, Morrisville, NC
STATE OF NORTH CAROLINA  
DEPARTMENT OF ADMINISTRATION  
RALEIGH  

*ACQUISITION OF REAL PROPERTY*  

Institution or Agency: North Carolina State University  
Date: February 27, 2020  

The Department of Administration is requested, as provided by GS 146-22 et seq. to acquire the real property herein described, by (purchase), (lease), (rental) or (other specify):  

3 floors in the University Towers Residence Hall  

This Property is needed for the following reasons and purposes: (attach additional sheets if necessary).  

The leased space will provide overflow residential housing for 384 students and six (6) residential advisors for the 2020-2021 academic year.  

Name and Address of Present Owner: University Towers Operating Partnership, LP, 999 South Shady Grove, Suite 600, Memphis, Tennessee 38120, Attn: Christine Richards, Chief Operating Officer and Executive Vice President  

Description of Property: (attach additional sheets if necessary).  

Floors 4, 5, & 6  
111 Friendly Drive  
Raleigh, NC  

Term: Ten (10) months  

Rental Price: $2,489,184.00  

Funding: Lease costs will be paid by the University Housing Department  

Item ______________________________, Other ______________________________.  

In the event the above described real property is not acquired, is there other real property available, owned by the State or otherwise, that you believe would, if acquired, fulfill the requirements of your agency? If so, give details. No.  

Action, recommending the above request, was taken by the Board of Trustees and is recorded in the minutes thereof on __________________________, 2020.  

Signature ______________________________  

*The term “real property” includes timber rights, mineral rights, etc. (GS 146-64)
TRANSMITTAL OF REQUEST FOR ACQUISITION/DISPOSITION OF REAL PROPERTY

Form Number: PO-1
Preparation Date: February 27, 2020

Request: Acquisition by lease of 3 floors in the University Towers residence hall for the 2020-2021 academic year. The leased space will provide overflow housing for 384 students and six resident advisors.

Institution NORTH CAROLINA STATE UNIVERSITY

RECOMMENDED BY CHANCELLOR, NCSU (Chancellor's Signature)

RECOMMENDED BY COMMITTEE ON BUILDINGS AND PROPERTY (Chairman’s Signature)

RECOMMENDED BY BOARD OF TRUSTEES, NCSU (Chairman's Signature)

RECOMMENDED BY BOARD OF GOVERNORS (Secretary's Signature)
## ACQUISITION OF REAL PROPERTY

### ACQUISITION OF REAL PROPERTY BY LEASE

<table>
<thead>
<tr>
<th><strong>LESSOR</strong></th>
<th>University Towers Operating Partnership, LP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LESSEE</strong></td>
<td>The State of North Carolina, North Carolina State University</td>
</tr>
</tbody>
</table>
| **LOCATION** | University Towers Residence Hall  
111 Friendly Drive, Raleigh, Wake County, NC |
| **SIZE** | 3 Floors/384 student beds and 6 residential advisor beds |
| **RATE** | $2,489,184.00 |
| **TERM** | 10 months |
| **USE** | To be used for overflow residential housing for 384 students and six (6) residential advisors for the 2020-2021 academic year. |
University Towers

3.7 ★★★☆☆ (91)
Student housing center
Athletics Development Plan
Total Project Scope – $250K (Athletics Receipts)

07/30/19  Advertised in NC Purchase Directory

09/19/19  Closing date for submittals
           (12 proposals received)

10/18/19  Appointment of Selection Committee
           By Doug Morton, Secretary – Buildings and Property Committee

10/18/19-11/07/19 Selection Committee review:
           Chip Andrews, Trustee
           Jimmy Clark, Trustee
           Doug Morton, Associate Vice Chancellor, Facilities
           Lisa Johnson, University Architect
           Chris Johnson, Planner, Office of the University Architect
           Boo Corrigan, Director of Athletics
           John Portland, Associate Athletics Director, Facilities Admin
           Ray Brincefield, Assistant Athletic Director, Facilities Admin
           Others who assisted in review and short listing process
           Tom Skolnicki, University Landscape Architect
           Sumayya Jones-Humienny, Associate University Architect

10/18/19  Short list recommendation by Selection Committee:
           Ewing Cole – Raleigh, NC
           Heery + CBRE - Raleigh, NC
           HNTB (w/ Davis Kane) - Kansas City, MO

10/22/19  Short list approved by Jimmy D. Clark

10/31/19  Pre-interview briefing of Designers

11/07/19  Designers interviewed. Recommendation in priority order:
           Ewing Cole – Raleigh, NC
           Heery + CBRE - Raleigh, NC
           HNTB (w/ Davis Kane) - Kansas City, MO
Greek Village Phase IV (CMR)
Total Project Scope – $36M (Auxiliary Trust Funds)

09/16/19  Advertised in NC Purchase Directory

10/15/19  Closing date for submittals
           (5 proposals received)

10/28/19  Appointment of Selection Committee
           By Doug Morton, Secretary – Buildings and Property Committee

10/28/19-12/03/19  Selection Committee review:
                      Jim Harrell, Trustee
                      Lisa Johnson, University Architect
                      Mike Kapp, Project Manager, Capital Project Management
                      Cameron Smith, Senior Director, Capital Project Management
                      Shelly Brown Dobek, Director, Fraternity and Sorority Life
                      Pete Fraccarollo, Director of Facilities Planning and Management, DASA
                      Abinadi Ehrisman, Regional Facilities Manager, DASA
                      Others who assisted in review and short listing process
                      Shon Burch-Crispin, Capital Project Program Manager
                      Danelle Gambrell, Construction Manager, Capital Project Management
                      Charlie Marshall, Assistant Director Construction, Capital Project Management

10/28/19  Short list recommendation by Selection Committee:
           Clancy and Theys Construction Company – Raleigh, NC
           Frank L. Blum Construction Company – Raleigh, NC
           LeChase – Durham, NC

11/01/19  Short list approved by Jimmy D. Clark

11/07/19  Pre-interview briefing of CMR’s

12/03/19  CMR Interviewed. Recommendation in priority order:
           Frank L. Blum Construction Company – Raleigh, NC
           LeChase – Durham, NC
           Clancy and Theys Construction Company – Raleigh, NC
McKimmon Center Restroom Renovation
Total Project Scope – $1.1M (McKimmon Center Endowment Funds)

09/30/19 Advertised in NC Purchase Directory

11/01/19 Closing date for submittals
(11 proposals received)

12/05/19 Appointment of Selection Committee
By Doug Morton, Secretary – Buildings and Property Committee

12/05/19-01/10/20 Selection Committee review:
Emma Carter, Trustee
Lisa Johnson, University Architect
Bob Cwikla, Project Manager, Capital Project Management
Tom Skolnicki, University Landscape Architect
Cameron Smith, Senior Director, Capital Project Management
Chip Futrell, Director of Continuing and Professional Education
Mark Bernhard, Vice Provost, McKimmon Ctr. Extension & Continuing Education
Others who assisted in review and short listing process
Bill Davis, Associate Director, Formal Design, Capital Project Management
Charlie Marshall, Assistant Director, Construction Management, Capital Project Management
Ryan Lawrence, Building Superintendent, McKimmon Center

12/05/19 Short list recommendation by Selection Committee:
IBI Group – Raleigh, NC
310 Architecture – Raleigh, NC
Huffman Architects – Raleigh, NC

12/12/19 Short list approved by Jimmy D. Clark

12/13/19 Pre-interview briefing of Designers

01/10/20 Designers interviewed. Recommendation in priority order:
IBI Group – Raleigh, NC
Huffman Architects – Raleigh, NC
310 Architecture – Raleigh, NC
## Approval of Designer Selections for Projects $1M or Less

**Note:** The projects below are submitted to the Board of Trustees Buildings and Property Committee for formal approval of designer selections for projects for $1M or less that are not on the OESAD list. This listing represents designers selected since November 21, 2019.

<table>
<thead>
<tr>
<th>Project</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wafer Bonder Room 108- MRC</td>
<td>$7,800</td>
</tr>
<tr>
<td>Designer: McKim &amp; Creed</td>
<td></td>
</tr>
<tr>
<td>Source: Appropriated</td>
<td></td>
</tr>
<tr>
<td>Flooring Abatement- Floors 2-10- Carroll Hall</td>
<td>$26,600</td>
</tr>
<tr>
<td>Designer: Matrix Health &amp; Safety Consultants</td>
<td></td>
</tr>
<tr>
<td>Source: Housing Receipts</td>
<td></td>
</tr>
<tr>
<td>Install Steam Flow Meters- DH Hill Library, Scott Hall, Student Health, &amp; Partners III</td>
<td>$11,700</td>
</tr>
<tr>
<td>Designer: RMF Engineering</td>
<td></td>
</tr>
<tr>
<td>Source: Appropriated</td>
<td></td>
</tr>
<tr>
<td>Facilities Six Sigma Management Assessment</td>
<td>$18,700</td>
</tr>
<tr>
<td>Designer: Integral Performance Solutions</td>
<td></td>
</tr>
<tr>
<td>Source: Appropriated</td>
<td></td>
</tr>
</tbody>
</table>
## Acceptance of Completed Buildings and Projects

<table>
<thead>
<tr>
<th>Code/Item</th>
<th>Project#</th>
<th>Location</th>
<th>Title Project Cost</th>
<th>University Acceptance</th>
</tr>
</thead>
<tbody>
<tr>
<td>NA</td>
<td>201920002</td>
<td>Nelson Hall</td>
<td>Boardroom 3220 Renovation</td>
<td>$156,154</td>
</tr>
<tr>
<td>41324/357</td>
<td>201320007</td>
<td>Central Campus</td>
<td>Central Campus Electrical Upgrade Phase I</td>
<td>$3,525,810</td>
</tr>
<tr>
<td>41524/338</td>
<td>201620007</td>
<td>Dabney</td>
<td>Dabney HVAC Renovation Phase II Metric Renovation</td>
<td>$2,250,000</td>
</tr>
<tr>
<td>NA</td>
<td>201920001</td>
<td>Tucker Hall</td>
<td>ADA Renovation Tucker Hall Rooms 339 &amp; 341</td>
<td>$188,783</td>
</tr>
<tr>
<td>41724/323</td>
<td>201720148</td>
<td>Williams Addition</td>
<td>Elevator Renovation</td>
<td>$289,352</td>
</tr>
<tr>
<td>41624/318</td>
<td>201620029</td>
<td>Greek Village</td>
<td>Greek Village Infrastructure Phase III</td>
<td>$5,200,000</td>
</tr>
<tr>
<td>NA</td>
<td>201935099</td>
<td>Method Greenhouse Unit</td>
<td>Install Concrete Floors in Greenhouses</td>
<td>$167,350</td>
</tr>
<tr>
<td>N/A</td>
<td>201820091</td>
<td>Poe Hall</td>
<td>Suite 528 Renovations</td>
<td>$236,167</td>
</tr>
<tr>
<td>41724/320</td>
<td>201720145</td>
<td>Harris Hall</td>
<td>Building Envelope Repairs</td>
<td>$336,151</td>
</tr>
<tr>
<td>N/A</td>
<td>201720048</td>
<td>Lake Wheeler</td>
<td>Irrigation Center Pivot</td>
<td>$274,003</td>
</tr>
<tr>
<td>41724/308</td>
<td>201720124</td>
<td>Lake Wheeler</td>
<td>Lake Wheeler Creamery Café and Education Center</td>
<td>$1,044,102</td>
</tr>
<tr>
<td>N/A</td>
<td>201820133</td>
<td>Various Locations</td>
<td>2019 Parking Deck Assessments</td>
<td>$222,387</td>
</tr>
<tr>
<td>41724/311</td>
<td>201724065</td>
<td>ES King Village</td>
<td>Roof Upgrades Phase 3 ES King Village</td>
<td>$284,049</td>
</tr>
<tr>
<td>41624/331</td>
<td>201720027</td>
<td>CVM</td>
<td>CVM Lab B104 Renovation</td>
<td>$2,300,000</td>
</tr>
<tr>
<td>41624/318</td>
<td>201420019</td>
<td>CBC</td>
<td>CBC Chiller Plant Expansion</td>
<td>$3,850,000</td>
</tr>
<tr>
<td>41824/304</td>
<td>201820070</td>
<td>Metcalf</td>
<td>Metcalf Flooring Abatement &amp; Replacement</td>
<td>$201,259</td>
</tr>
<tr>
<td>41524/340</td>
<td>201611034</td>
<td>Dearslyne</td>
<td>Dearslyne Complex HVAC Renovation</td>
<td>$830,000</td>
</tr>
<tr>
<td>N/A</td>
<td>201924022</td>
<td>Turlington Hall</td>
<td>Door Replacement- Turlington Hall</td>
<td>$177,710</td>
</tr>
<tr>
<td>N/A</td>
<td>201824166</td>
<td>Case Academics</td>
<td>Short Term Mechanical Room Repairs- Case Academics</td>
<td>$219,618</td>
</tr>
<tr>
<td>41724/316</td>
<td>201720153</td>
<td>Various Locations</td>
<td>Steam Phase 8 C</td>
<td>$400,000</td>
</tr>
<tr>
<td>41724/305</td>
<td>201720087</td>
<td>Stewart Theater</td>
<td>Rigging Replacement at Stewart Theater</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>21824/325</td>
<td>201820129</td>
<td>Poe Hall</td>
<td>Lighting Retrofit to LED fixtures- Poe 216</td>
<td>$134,043</td>
</tr>
<tr>
<td>N/A</td>
<td>201935017</td>
<td>Harris Hall</td>
<td>Renovation of Cashier Counter- Harris Hall</td>
<td>$112,776</td>
</tr>
<tr>
<td>N/A</td>
<td>201935001</td>
<td>Fountain Dining Hall</td>
<td>Serving Area Renovation- Fountain Dining Hall</td>
<td>$175,739</td>
</tr>
<tr>
<td>N/A</td>
<td>201920005</td>
<td>Tower Hall</td>
<td>Fall Protection System- Tower Hall WR1</td>
<td>$134,801</td>
</tr>
<tr>
<td>N/A</td>
<td>201924032</td>
<td>Bragaw and Wood Hall</td>
<td>Replacement of One Domestic Hot Water Tank</td>
<td>$128,062</td>
</tr>
</tbody>
</table>

**TOTAL**  $24,338,316
## Approval of Non-Appropriated Capital Improvement Projects Less than $750,000

### February 27, 2019

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Cost ($)</th>
<th>Previous Authorization ($)</th>
<th>Requested Authorization ($)</th>
<th>Authorization Type</th>
<th>Funding Source</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dining Hall Renovation and ADA Bathroom Addition – Millstone 4-H Camp</td>
<td>$225,000</td>
<td>-</td>
<td>$225,000</td>
<td>Full</td>
<td>Gifts</td>
<td>This project adds approximately 1000 SF to the existing Dining Hall at the Millstone 4-H Camp. New support space and ADA accessible bathrooms will be added with the expansion. Work also includes building envelope upgrade and associated utilities and site work.</td>
</tr>
<tr>
<td>Sterilization Core Renovation – Scott Hall</td>
<td>$489,000</td>
<td>-</td>
<td>$489,000</td>
<td>Full</td>
<td>Gifts</td>
<td>This project renovates existing research space to create a new lab support room and a new autoclave room to accommodate two autoclaves for sterilization of biohazardous materials and lab supplies. The renovation also addresses HVAC exhaust issues and installs a building-wide reverse osmosis water system.</td>
</tr>
</tbody>
</table>
Approval of Plans and Specifications of Formal Projects
$2M or Less

**Note:** The project(s) below are submitted to the Board of Trustees Buildings and Property Committee for formal acceptance of plans and specifications. This listing represents projects received since the November 21, 2019 meeting.

<table>
<thead>
<tr>
<th>Project</th>
<th>Construction Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bostian Hall and Brooks Hall</strong></td>
<td>$ 583,000</td>
</tr>
<tr>
<td>Project #201920014</td>
<td></td>
</tr>
<tr>
<td>Fire Alarm Replacement</td>
<td></td>
</tr>
<tr>
<td>Designer: Summer Consultants, Inc.</td>
<td></td>
</tr>
<tr>
<td>Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: F&amp;A Funds</td>
<td></td>
</tr>
<tr>
<td><strong>McKimmon Center</strong></td>
<td>$ 116,000</td>
</tr>
<tr>
<td>Project #201935075</td>
<td></td>
</tr>
<tr>
<td>Server Room 115</td>
<td></td>
</tr>
<tr>
<td>Designer: Sigma Engineered Solutions</td>
<td></td>
</tr>
<tr>
<td>Morrisville, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Urban Affairs Trust Funds</td>
<td></td>
</tr>
<tr>
<td><strong>Clark Dining Hall</strong></td>
<td>$ 109,659</td>
</tr>
<tr>
<td>Project #201935086</td>
<td></td>
</tr>
<tr>
<td>Kitchen Hood Make-Up Air Design</td>
<td></td>
</tr>
<tr>
<td>Designer: Optima Engineering, PA</td>
<td></td>
</tr>
<tr>
<td>Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: University Dining Trust Funds</td>
<td></td>
</tr>
<tr>
<td><strong>Materials Support Warehouse</strong></td>
<td>$ 106,799</td>
</tr>
<tr>
<td>Project #201935095</td>
<td></td>
</tr>
<tr>
<td>Uninterrupted Power Supply (UPS) Installation</td>
<td></td>
</tr>
<tr>
<td>Designer: Sigma Engineered Solutions</td>
<td></td>
</tr>
<tr>
<td>Morrisville, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Urban Affairs Trust Funds</td>
<td></td>
</tr>
</tbody>
</table>
# Capital Projects at a Glance

**as of January 31, 2020**

<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>41824 330</td>
<td>Central Campus Electrical Upgrade Phase 2 - Distribution</td>
<td>Design</td>
<td>1/28/20</td>
<td>1/12/21</td>
<td>$6.2M</td>
</tr>
<tr>
<td>41624 329</td>
<td>Cates Ave Water, Steam &amp; Condensate Replacement</td>
<td>Design</td>
<td>2/11/20</td>
<td>8/1/20</td>
<td>$966K</td>
</tr>
<tr>
<td>41824 316</td>
<td>Power to VRB</td>
<td>Design</td>
<td>2/13/20</td>
<td>8/28/20</td>
<td>$1.5M</td>
</tr>
<tr>
<td>41824 311</td>
<td>Elevator Additions - Tucker &amp; Owen Residence Halls</td>
<td>Design</td>
<td>2/25/20</td>
<td>9/4/20</td>
<td>$1.4M</td>
</tr>
<tr>
<td>41824 319</td>
<td>Greek Village Phase 4 Infrastructure, Townhomes, Apts</td>
<td>Design</td>
<td>5/10/20</td>
<td>6/1/23</td>
<td>$38M</td>
</tr>
<tr>
<td>41824 331</td>
<td>Fire Alarm Replacement Brooks &amp; Bostian</td>
<td>Design</td>
<td>5/16/20</td>
<td>12/30/20</td>
<td>$640K</td>
</tr>
<tr>
<td>41924 312</td>
<td>Chiller Replacement Lee Hall</td>
<td>Design</td>
<td>7/30/20</td>
<td>3/31/21</td>
<td>$1.5M</td>
</tr>
<tr>
<td>41824 317</td>
<td>Structural Repairs Mann Hall</td>
<td>Design</td>
<td>8/7/20</td>
<td>3/27/21</td>
<td>$2M</td>
</tr>
<tr>
<td>41824 334</td>
<td>Library Renovations Jordan Hall</td>
<td>Design</td>
<td>8/8/20</td>
<td>6/16/21</td>
<td>$1.5M</td>
</tr>
<tr>
<td>41824 312</td>
<td>Outdoor Aquatics Facility</td>
<td>Design</td>
<td>8/25/20</td>
<td>5/21/21</td>
<td>$11M</td>
</tr>
<tr>
<td>41924 304</td>
<td>Parking Lot Replacement 512 Brickhaven</td>
<td>Design</td>
<td>8/31/20</td>
<td>12/29/20</td>
<td>$600K</td>
</tr>
<tr>
<td>41924 310</td>
<td>Water Line Modifications at Ligon Street Bridge</td>
<td>Design</td>
<td>9/29/20</td>
<td>4/21/21</td>
<td>$550K</td>
</tr>
<tr>
<td>41924 302</td>
<td>Restroom Renovations at McKimmon Center</td>
<td>Design</td>
<td>10/23/20</td>
<td>3/27/21</td>
<td>$1.1M</td>
</tr>
<tr>
<td>41824 333</td>
<td>Lab &amp; Building Systems Modifications VRB</td>
<td>Design</td>
<td>10/23/20</td>
<td>7/1/21</td>
<td>$1.5M</td>
</tr>
<tr>
<td>41824 327</td>
<td>Thermal Utilities to P2 and Toxicology Buildings</td>
<td>Design</td>
<td>11/10/20</td>
<td>8/18/21</td>
<td>$7M</td>
</tr>
<tr>
<td>41824 318</td>
<td>Dairy Facility at CVM</td>
<td>Design</td>
<td>12/4/20</td>
<td>11/4/21</td>
<td>$4.8M</td>
</tr>
<tr>
<td>41924 310</td>
<td>Interior Renovations Erdahl-Cloyd</td>
<td>Design</td>
<td>1/4/21</td>
<td>5/25/21</td>
<td>$1.5M</td>
</tr>
<tr>
<td>41924 316</td>
<td>Renovations to Don Ellis Building</td>
<td>Design</td>
<td>1/9/21</td>
<td>5/19/21</td>
<td>$1M</td>
</tr>
<tr>
<td>41924 301</td>
<td>Renovations to Data Center II</td>
<td>Design</td>
<td>1/13/21</td>
<td>9/21/21</td>
<td>$6.5M</td>
</tr>
<tr>
<td>41924 317</td>
<td>Varsity Parking Lot Expansion</td>
<td>Design</td>
<td>2/20/21</td>
<td>1/28/22</td>
<td>$5.5M</td>
</tr>
<tr>
<td>41924 305</td>
<td>Ricks Hall 2nd Floor Renovation</td>
<td>Design</td>
<td>2/25/21</td>
<td>6/5/22</td>
<td>$5.5M</td>
</tr>
<tr>
<td>41924 303</td>
<td>Electrical System Upgrade</td>
<td>Design</td>
<td>9/16/21</td>
<td>10/25/24</td>
<td>$58.8M</td>
</tr>
<tr>
<td>41724-317</td>
<td>Fuel Oil Tank Expansion</td>
<td>Construction</td>
<td>2/7/20</td>
<td>98% Construction Complete</td>
<td>$825K</td>
</tr>
<tr>
<td>41624 310</td>
<td>Exterior Lighting LED Conversion</td>
<td>Construction</td>
<td>2/26/20</td>
<td>60% Construction Complete</td>
<td>$2.2M</td>
</tr>
<tr>
<td>41524 314</td>
<td>Centennial Campus Utility Infrastructure (TES)</td>
<td>Construction</td>
<td>4/9/20</td>
<td>85% Construction Complete</td>
<td>$9.6M</td>
</tr>
<tr>
<td>41624 311</td>
<td>DH Hill Academic Success Center</td>
<td>Construction</td>
<td>6/1/20</td>
<td>55% Construction Complete</td>
<td>$15.9M</td>
</tr>
<tr>
<td>41524 313</td>
<td>Fitts-Woolard Hall (Engineering Building Oval)</td>
<td>Construction</td>
<td>6/28/20</td>
<td>78% Construction Complete</td>
<td>$137M</td>
</tr>
<tr>
<td>41224 352</td>
<td>Centennial Campus Substation Expansion-Phase 1 &amp; 2</td>
<td>Construction</td>
<td>6/30/20</td>
<td>93% Construction Complete</td>
<td>$7.3M</td>
</tr>
<tr>
<td>41624 302</td>
<td>Carmichael Renovation &amp; Expansion</td>
<td>Construction</td>
<td>8/19/20</td>
<td>63% Construction Complete</td>
<td>$45M</td>
</tr>
<tr>
<td>41624 312</td>
<td>Bureau of Mines Renovation</td>
<td>Construction</td>
<td>10/28/20</td>
<td>20% Construction Complete</td>
<td>$6M</td>
</tr>
<tr>
<td>41724 313</td>
<td>Restoration of Memorial Belltower</td>
<td>Construction</td>
<td>11/18/20</td>
<td>20% Construction Complete</td>
<td>$6.5M</td>
</tr>
<tr>
<td>41524 314</td>
<td>Plant Sciences Building</td>
<td>Construction</td>
<td>2/23/22</td>
<td>27% Construction Complete</td>
<td>$150.6M</td>
</tr>
<tr>
<td>41724 308</td>
<td>Creamery Café &amp; Education Center</td>
<td>Complete</td>
<td>12/20/19</td>
<td>Accepted 1/13/20</td>
<td>$1.2M</td>
</tr>
</tbody>
</table>
New Physical Master Plan
Trustees Buildings and Property Committee – February 2020
New Physical Master Plan

The Code and UNC Policy Manual
Delegation of Duty and Authority to Boards of Trustees

VI. Property and Buildings
“The board of trustees shall be responsible to the Board of Governors for preparing and maintaining a master plan for the physical development of the institution, consistent with the total academic and service mission of the institution as defined and approved by the Board of Governors.”
Physical Master Plan History

1958 MP
*First formalized MP*

1968 Study
*Neighborhoods*

1975 Report
*Framework of Courtyards*

1978 MP
*Courtyards and Connectors*
*Campus Precincts*

1987 CC MP Approved

1994 MP
*Campus neighborhoods*
*Mixed use activities*

2000 MP
*Neighborhoods & Paths*
*Collaborative model*

2007 MP Update
*Sustainability*
*Hallowed Places*

2014 MP Update
New Physical Master Plan

Programmatic Focus Areas

Alignment with Strategic Plan
Integration of Academic and Enrollment Plan
Integration of 2019 Student Housing Study
Integration of Athletics Development Plan
Integration of 37-acre Mixed-use Plan
Dining and Retail Plan
Build on the 2017 Campus Capacity and Assessment Study
Development of Campus-wide decision making process
Zoning (City of Raleigh Campus District)
New Physical Master Plan

Physical Components

- Buildings, Open Space, and Urban Form
- Space Planning (Quality, Quantity, Adjacencies)
- Connectivity, Transportation, and Parking
- Utilities infrastructure

Infrastructure Investment Plan

- Safety and Security
- Accessibility (Site and Exterior)

Illustrative Plans

- Area Plans/District Plans
- Design Guidelines
<table>
<thead>
<tr>
<th>SUBMITAL NUMBER</th>
<th>PROJECT NAME</th>
<th>SCOPE</th>
<th>DESIGNER</th>
<th>TRUSTEE'S BPC SITE SELECTION</th>
<th>CAMPUS DESIGN REVIEW PANEL</th>
<th>TRUSTEE'S BPC REVIEW</th>
<th>PLAN</th>
<th>CONSTRUCTION</th>
<th>DURATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>166</td>
<td>CVM Teaching Animal Unit Dairy Facility</td>
<td>$4,800,000</td>
<td>HI Architecture</td>
<td>8/12/19</td>
<td>4/23/20</td>
<td>2/26/20</td>
<td>4/23/20</td>
<td>Upcoming Projects</td>
<td></td>
</tr>
<tr>
<td>162</td>
<td>Elevator Additions - Tucker &amp; Owen Residence Halls</td>
<td>$1,400,000</td>
<td>Caidus Design</td>
<td>4/10/19</td>
<td>11/21/19</td>
<td>11/21/19</td>
<td>9/25/19</td>
<td>9/25/19</td>
<td>11/21/19</td>
</tr>
<tr>
<td>163</td>
<td>Fitts-Woolard Hall (EB Oval) Partners Way Entry Plaza</td>
<td>Included in the Project Budget</td>
<td>Clark Nexsen (w/ Surface 678)</td>
<td>11/21/19</td>
<td>11/21/19</td>
<td>9/25/19</td>
<td>9/25/19</td>
<td>11/21/19</td>
<td>11/21/19</td>
</tr>
<tr>
<td>164</td>
<td>Varsity Drive Parking Lot Site Selection</td>
<td>$5,500,000</td>
<td>TBD</td>
<td>11/21/19</td>
<td>11/21/19</td>
<td>9/25/19</td>
<td>9/25/19</td>
<td>11/21/19</td>
<td>11/21/19</td>
</tr>
<tr>
<td>137</td>
<td>Sigma Phi Epsilon House</td>
<td>$3,000,000</td>
<td>Hager Smith</td>
<td>2012</td>
<td>9/30/15</td>
<td>7/29/15</td>
<td>9/30/15</td>
<td>7/29/15</td>
<td>11/12/15</td>
</tr>
<tr>
<td>143</td>
<td>Lambda Chi House</td>
<td>$4,600,000</td>
<td>Carl Winstead, AIA</td>
<td>June, 2015</td>
<td>2/16/17</td>
<td>2/16/17</td>
<td>11/30/16</td>
<td>11/30/16</td>
<td>2/16/17</td>
</tr>
<tr>
<td>146</td>
<td>Fitts-Woolard Hall (Engineering Building Oval)</td>
<td>$154,000,000</td>
<td>Clark Nexsen</td>
<td>11/18/08</td>
<td>4/20/17</td>
<td>4/20/17</td>
<td>7/26/17</td>
<td>7/26/17</td>
<td>9/21/17</td>
</tr>
<tr>
<td>148</td>
<td>Carmichael Gym Addition &amp; Renovation</td>
<td>$45,000,000</td>
<td>CRA Associates, Inc.</td>
<td>11/05/16</td>
<td>9/21/17</td>
<td>9/21/17</td>
<td>10/25/17</td>
<td>10/25/17</td>
<td>11/16/17</td>
</tr>
<tr>
<td>152</td>
<td>Kappa Alpha Theta House</td>
<td>$5,500,000</td>
<td>Cline Design</td>
<td>June, 2017</td>
<td>4/19/18</td>
<td>4/19/18</td>
<td>3/26/18</td>
<td>3/26/18</td>
<td>4/19/18</td>
</tr>
<tr>
<td>153</td>
<td>Sigma Kappa House</td>
<td>$5,500,000</td>
<td>CJMW Architecture</td>
<td>Fall 2017</td>
<td>9/20/18</td>
<td>9/20/18</td>
<td>5/30/18</td>
<td>5/30/18</td>
<td>9/20/18</td>
</tr>
<tr>
<td>154</td>
<td>Zeta Tau Alpha House</td>
<td>$6,100,000</td>
<td>Hug &amp; Associates Architects</td>
<td>Fall 2017</td>
<td>9/20/18</td>
<td>9/20/18</td>
<td>5/30/18</td>
<td>5/30/18</td>
<td>9/20/18</td>
</tr>
<tr>
<td>156</td>
<td>Lake Wheeler Road Creamery</td>
<td>$1,248,870</td>
<td>Muter Construction (w/ Louis Cherry Architecture)</td>
<td>5/10/18</td>
<td>11/15/18</td>
<td>11/15/18</td>
<td>10/31/18</td>
<td>11/14/18</td>
<td>11/15/18</td>
</tr>
<tr>
<td>160</td>
<td>Belltower Restoration</td>
<td>$6,000,000</td>
<td>New Atlantic Contracting w/ Walter Robbs Architecture</td>
<td>5/24/18</td>
<td>4/18/19</td>
<td>4/18/19</td>
<td>3/27/19</td>
<td>3/27/19</td>
<td>4/18/19</td>
</tr>
<tr>
<td>161</td>
<td>Global Courtyard at Primrose Hall</td>
<td>$280,000</td>
<td>In-house design (College of Design and Facilities Division)</td>
<td>8/15/18</td>
<td>NA</td>
<td>NA</td>
<td>2/27/19</td>
<td>2/27/19</td>
<td>NA</td>
</tr>
<tr>
<td>157</td>
<td>Academic Success Center</td>
<td>$14,234,213</td>
<td>Lord Aeck Sargent</td>
<td>2/24/17</td>
<td>NA</td>
<td>NA</td>
<td>10/31/18</td>
<td>10/31/18</td>
<td>2/21/19</td>
</tr>
<tr>
<td>159</td>
<td>Bureau of Mines Renovation</td>
<td>$6,000,000</td>
<td>Cline Design</td>
<td>02/13/17</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>2/21/19</td>
</tr>
</tbody>
</table>
CALL TO ORDER
Chip Andrews, Chair of Committee

ROLL CALL
Chip Andrews, Chair of Committee

READING OF PUBLIC MEETING NOTICE AND STATE GOVERNMENT ETHICS ACT
Chip Andrews, Chair of Committee

1. APPROVAL OF MINUTES
   Approval of November 21, 2019 Minutes
   TAB 6.1
   6.1A

2. INFORMATIONAL REPORTS
   TAB 6.2
   A. University Advancement Update
      Brian Sisco, Vice Chancellor, University Advancement
      6.2A
   B. Fundraising and Campaign Report
      Jim Broschart, Associate Vice Chancellor, University Development
      6.2B

3. COMMITTEE DISCUSSION
   TAB 6.3
   A. Major Gifts, Annual Giving, Gift Planning, Day of Giving Discussion
      Jim Broschart, Associate Vice Chancellor, University Development
      6.3A
   B. Naming Opportunity Proposals
      Jim Broschart, Associate Vice Chancellor, University Development
      6.3B
4. CLOSED SESSION
   A. Approval of November 21, 2019 Closed Session Minutes *
   B. Request Approval for Naming Specific University Facilities and Programs

5. RECONVENE OPEN SESSION

6. ADJOURN

* Committee Approval
✓ Full Board Approval
CONSENT AGENDA

Approval of November 21, 2019 Minutes
The University Advancement and External Relations Committee of the Board of Trustees of North Carolina State University met November 21, 2019 in the Chancellor’s Conference Room.

Members Present: Chip Andrews, Committee Chair
Ann Goodnight
Ed Stack
Wendell Murphy
Dewayne Washington
Ed Weisiger Jr.

Chair Andrews called the meeting to order at 1:15 PM. The roll was called and a quorum was present.

Chair Andrews reminded all attendees that this was a public meeting but not a meeting for public comment and read the State Government Ethics Act to remind all members of their duty to report conflicts of interest or appearances of conflict.

Approval of Minutes

The minutes from the September 12, 2019 meeting were presented for approval, and with no changes, they were approved by consent.

Informational Reports

University Advancement Update
Vice Chancellor Brian Sischo presented a University Advancement update, noting that we exceeded our campaign goal of $1.6 billion with a total of $1,617,927 by Red & White Night. He shared that we’re engaged in a deep dive analysis to determine our capacity for reaching $2 billion. He reported the good news that at this point, rather than experiencing a plateau in giving we are seeing spikes, due in part to donors who were not initially on our radar at the beginning of the campaign who have since made significant gifts.

Vice Chancellor Sischo then provided an update on Red and White Week, which featured our first ever Pack Appreciation Day. The event provided over 1,500 students the opportunity to show their appreciation via video and written notes. He emphasized the importance of giving to support our students as over 70% qualify for financial aid. That need is a key to rolling out the Extraordinary Opportunity Scholarship Initiative, which will be a matching gift program with the goal of raising critical funds for need based scholarships.

Vice Chancellor Sischo concluded by giving an update on the University Advancement Roadmap. He shared the top 10 Roadmap projects and noted that the project groups’ mission is to help our Advancement operation leapfrog to become a leader in the industry. Among the actions being used to achieve that goal is digital strategy, as over 75% of respondents indicated they’d prefer to receive endowment reports electronically.

Fundraising and Campaign Report
Associate Vice Chancellor Jim Broschart then shared a campaign and fundraising update and informed the committee that the current campaign total puts us at 101.1% of our campaign goal with 76% of the
campaign period elapsed. The Campaign total is $1.622 billion, with a goal to reach $1.7 billion by Day of Giving 2020, which will take place on March 25. Associate Vice Chancellor Broschart shared a trajectory that indicated a clear path to reaching $2 billion, which will require in large part increased results from our larger colleges and our principal gifts program.

Advancement Services Update
Associate Vice Chancellor Kushal Dasgupta gave an Advancement Services update, highlighting upcoming projects such as digital endowment reports, e-receipts and a new donor mobile app which will save time, money and labor. He noted that his team is also working on rolling out a digital gift agreement signing and tracking program.

Committee Discussion
Watauga Medal Nominations Process
Vice Chancellor Sischo returned to review the Watauga Medal nominations process and changes that have been implemented to encourage a more robust pool of nominees. The policy has also been changed to allow the Selection Committee to serve three-year terms and to send five nominees to the Chancellor for consideration.

Closed Session
Following the presentations, the committee met in closed session and approved one naming opportunity in the College of Agriculture and Life Sciences, which the Committee approved. Chancellor Woodson then reviewed the Watauga Medal nominees and made his recommendations for three recipients.

A motion was then made and approved to return to open session.

Adjournment
With no further business, Chair Andrews announced the meeting adjourned at 3:00 PM.

Submitted by Maggie Musick, Secretary to the Committee

Approved by __________________________

Chip Andrews, Chair
INFORMATIONAL REPORTS

University Advancement Update

Fundraising and Campaign Report
FY 20 Development Activity Reports

December 31, 2019
<table>
<thead>
<tr>
<th>Department</th>
<th>Current Operations</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Year-to-date FY '20 Totals</th>
<th>Year-to-date FY '19 Totals</th>
<th>3 year Average (FY17 - FY19)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$12,049,761</td>
<td>$1,945,303</td>
<td>$3,440,917</td>
<td>$17,435,981</td>
<td>$12,196,421</td>
<td>$13,023,070</td>
</tr>
<tr>
<td>Design</td>
<td>$605,130</td>
<td>$255,667</td>
<td>$0</td>
<td>$860,797</td>
<td>$1,021,890</td>
<td>$647,790</td>
</tr>
<tr>
<td>Education</td>
<td>$2,290,142</td>
<td>$171,487</td>
<td>$810</td>
<td>$2,462,439</td>
<td>$1,945,608</td>
<td>$1,432,788</td>
</tr>
<tr>
<td>Engineering</td>
<td>$4,925,495</td>
<td>$3,388,372</td>
<td>$4,554,636</td>
<td>$12,868,503</td>
<td>$8,488,590</td>
<td>$10,810,804</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$807,040</td>
<td>$165,782</td>
<td>$0</td>
<td>$972,822</td>
<td>$646,637</td>
<td>$661,570</td>
</tr>
<tr>
<td>Poole College</td>
<td>$1,419,921</td>
<td>$761,430</td>
<td>$0</td>
<td>$2,181,351</td>
<td>$1,803,758</td>
<td>$2,889,756</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$685,156</td>
<td>$1,582,420</td>
<td>$3,408</td>
<td>$2,270,984</td>
<td>$1,142,893</td>
<td>$1,553,975</td>
</tr>
<tr>
<td>Sciences</td>
<td>$1,811,963</td>
<td>$478,086</td>
<td>$17,312</td>
<td>$2,303,361</td>
<td>$1,739,650</td>
<td>$1,764,790</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$1,035,458</td>
<td>$511,432</td>
<td>$35,000</td>
<td>$1,581,890</td>
<td>$8,855,209</td>
<td>$3,979,692</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$6,633,873</td>
<td>$359,874</td>
<td>$35,598</td>
<td>$7,029,345</td>
<td>$7,992,614</td>
<td>$6,746,761</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$46,421</td>
<td>$433,955</td>
<td>$675</td>
<td>$481,051</td>
<td>$769,499</td>
<td>$597,808</td>
</tr>
<tr>
<td>DASA</td>
<td>$772,914</td>
<td>$216,300</td>
<td>$126,691</td>
<td>$1,115,904</td>
<td>$1,036,387</td>
<td>$1,699,584</td>
</tr>
<tr>
<td>Libraries</td>
<td>$110,187</td>
<td>$107,244</td>
<td>$470,000</td>
<td>$687,432</td>
<td>$712,570</td>
<td>$988,788</td>
</tr>
<tr>
<td>University-wide</td>
<td>$6,633,455</td>
<td>$14,259,410</td>
<td>$781,727</td>
<td>$21,674,591</td>
<td>$35,078,860</td>
<td>$30,022,128</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$8,347,583</td>
<td>$32,200</td>
<td>$0</td>
<td>$8,379,783</td>
<td>$3,131,405</td>
<td>$6,257,955</td>
</tr>
<tr>
<td>Total</td>
<td>$48,174,501</td>
<td>$24,668,961</td>
<td>$9,466,773</td>
<td>$82,310,235</td>
<td>$86,561,990</td>
<td>$83,077,259</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association
## FY20 Development Reports

**Gift Report: Monthly Gifts Receipts by Source as of December 31, 2019**

<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 '20 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ag and Life Sciences</strong></td>
<td>$1,348,013</td>
<td>$133,636</td>
<td>$58,069</td>
<td>$1,111,395</td>
<td>$5,927,189</td>
<td>$5,505,731</td>
<td>$3,351,948</td>
<td>$17,435,981</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>$326,839</td>
<td>$6,985</td>
<td>$15,832</td>
<td>$16,920</td>
<td>$149,012</td>
<td>$335,164</td>
<td>$10,045</td>
<td>$860,797</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td>$169,602</td>
<td>$8,620</td>
<td>$13,549</td>
<td>$49,424</td>
<td>$586,917</td>
<td>$1,487,402</td>
<td>$146,925</td>
<td>$2,462,439</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>$6,552,731</td>
<td>$430,282</td>
<td>$65,066</td>
<td>$542,077</td>
<td>$3,172,645</td>
<td>$1,411,015</td>
<td>$694,688</td>
<td>$12,868,503</td>
</tr>
<tr>
<td><strong>Humanities &amp; Social Sciences</strong></td>
<td>$218,828</td>
<td>$103,840</td>
<td>$25,174</td>
<td>$111,969</td>
<td>$73,777</td>
<td>$400,654</td>
<td>$38,580</td>
<td>$972,822</td>
</tr>
<tr>
<td><strong>Poole College</strong></td>
<td>$555,490</td>
<td>$61,288</td>
<td>$27,110</td>
<td>$28,900</td>
<td>$521,717</td>
<td>$635,522</td>
<td>$351,325</td>
<td>$2,181,351</td>
</tr>
<tr>
<td><strong>Natural Resources</strong></td>
<td>$379,217</td>
<td>$1,650</td>
<td>$3,975</td>
<td>$1,223,197</td>
<td>$436,242</td>
<td>$160,321</td>
<td>$66,381</td>
<td>$2,270,984</td>
</tr>
<tr>
<td><strong>Sciences</strong></td>
<td>$585,279</td>
<td>$13,705</td>
<td>$9,958</td>
<td>$506,462</td>
<td>$445,717</td>
<td>$345,109</td>
<td>$401,132</td>
<td>$2,307,361</td>
</tr>
<tr>
<td><strong>Wilson College of Textiles</strong></td>
<td>$548,535</td>
<td>$3,400</td>
<td>$69,767</td>
<td>$47,495</td>
<td>$357,208</td>
<td>$555,285</td>
<td>$200</td>
<td>$1,581,890</td>
</tr>
<tr>
<td><strong>Veterinary Medicine</strong></td>
<td>$235,050</td>
<td>$19,135</td>
<td>$14,835</td>
<td>$981,485</td>
<td>$589,522</td>
<td>$4,821,004</td>
<td>$368,314</td>
<td>$7,029,345</td>
</tr>
<tr>
<td><strong>Alumni Association</strong></td>
<td>$392,213</td>
<td>$2,661</td>
<td>$360</td>
<td>$17,551</td>
<td>$16,201</td>
<td>$46,865</td>
<td>$5,200</td>
<td>$481,051</td>
</tr>
<tr>
<td><strong>DASA</strong></td>
<td>$263,558</td>
<td>$76,450</td>
<td>$23,912</td>
<td>$325,573</td>
<td>$268,064</td>
<td>$81,890</td>
<td>$76,457</td>
<td>$1,115,904</td>
</tr>
<tr>
<td><strong>Libraries</strong></td>
<td>$527,201</td>
<td>$11,510</td>
<td>$24,808</td>
<td>$44,860</td>
<td>$52,659</td>
<td>$22,500</td>
<td>$3,894</td>
<td>$687,432</td>
</tr>
<tr>
<td><strong>University-wide</strong></td>
<td>$1,168,037</td>
<td>$90,908</td>
<td>$39,417</td>
<td>$1,170,489</td>
<td>$1,143,590</td>
<td>$8,920,260</td>
<td>$9,141,890</td>
<td>$21,674,591</td>
</tr>
<tr>
<td><strong>Athletics</strong></td>
<td>$8,143,278</td>
<td>$110,550</td>
<td>$85</td>
<td>$8,210</td>
<td>$31,325</td>
<td>$32,200</td>
<td>$54,135</td>
<td>$8,379,783</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$21,413,871</td>
<td>$1,074,619</td>
<td>$391,917</td>
<td>$6,186,007</td>
<td>$13,771,786</td>
<td>$24,760,921</td>
<td>$14,711,114</td>
<td>$82,310,235</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association
<table>
<thead>
<tr>
<th></th>
<th>Cash Gifts</th>
<th>Gifts-In-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Bequests</th>
<th>Non-Governmental Grants</th>
<th>Year-to-date FY '20 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$10,883,821</td>
<td>$127,139</td>
<td>$13,075</td>
<td>$116,500</td>
<td>$284,218</td>
<td>$6,011,228</td>
<td>$17,435,981</td>
</tr>
<tr>
<td>Design</td>
<td>$487,795</td>
<td>$0</td>
<td>$6,120</td>
<td>$0</td>
<td>$32,238</td>
<td>$334,644</td>
<td>$860,797</td>
</tr>
<tr>
<td>Education</td>
<td>$471,824</td>
<td>$750</td>
<td>$700</td>
<td>$0</td>
<td>$0</td>
<td>$1,989,165</td>
<td>$2,462,439</td>
</tr>
<tr>
<td>Engineering</td>
<td>$8,465,883</td>
<td>$347,387</td>
<td>$48,935</td>
<td>$0</td>
<td>$2,014,053</td>
<td>$1,992,245</td>
<td>$12,868,503</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$571,590</td>
<td>$0</td>
<td>$4,520</td>
<td>$0</td>
<td>$0</td>
<td>$396,712</td>
<td>$972,822</td>
</tr>
<tr>
<td>Poole College</td>
<td>$1,755,293</td>
<td>$0</td>
<td>$20,782</td>
<td>$0</td>
<td>$0</td>
<td>$405,276</td>
<td>$2,181,351</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$1,917,061</td>
<td>$208</td>
<td>$9,967</td>
<td>$0</td>
<td>$0</td>
<td>$343,748</td>
<td>$2,270,984</td>
</tr>
<tr>
<td>Sciences</td>
<td>$965,192</td>
<td>$17,312</td>
<td>$32,173</td>
<td>$0</td>
<td>$366,942</td>
<td>$925,743</td>
<td>$2,307,361</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$1,255,126</td>
<td>$35,250</td>
<td>$13,217</td>
<td>$0</td>
<td>$24,608</td>
<td>$253,688</td>
<td>$1,581,890</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$6,074,986</td>
<td>$10,598</td>
<td>$7,168</td>
<td>$0</td>
<td>$4,829</td>
<td>$931,764</td>
<td>$7,029,345</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$468,517</td>
<td>$0</td>
<td>$4,902</td>
<td>$7,632</td>
<td>$0</td>
<td>$0</td>
<td>$481,051</td>
</tr>
<tr>
<td>DASA</td>
<td>$1,017,781</td>
<td>$74,307</td>
<td>$23,426</td>
<td>$0</td>
<td>$0</td>
<td>$391</td>
<td>$1,115,904</td>
</tr>
<tr>
<td>Libraries</td>
<td>$201,223</td>
<td>$470,000</td>
<td>$300</td>
<td>$0</td>
<td>$15,000</td>
<td>$909</td>
<td>$687,432</td>
</tr>
<tr>
<td>University-wide</td>
<td>$20,101,580</td>
<td>$0</td>
<td>$54,034</td>
<td>$0</td>
<td>$1,039,637</td>
<td>$479,340</td>
<td>$21,674,591</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$8,369,758</td>
<td>$0</td>
<td>$10,025</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$8,379,783</td>
</tr>
<tr>
<td>Total</td>
<td>$63,007,430</td>
<td>$1,082,950</td>
<td>$249,344</td>
<td>$124,132</td>
<td>$3,781,525</td>
<td>$14,064,853</td>
<td>$82,310,235</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association
<table>
<thead>
<tr>
<th>Current Operations</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Percent of University Total</th>
<th>Year-to-date FY '20 Totals</th>
<th>Year-to-date FY '19 Totals</th>
<th>3 year Average (FY17 - FY19)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ag and Life Sciences</strong></td>
<td>$21,009,644</td>
<td>$1,569,528</td>
<td>$2,184,101</td>
<td>17%</td>
<td>$24,763,274</td>
<td>$20,400,458</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>$845,713</td>
<td>$1,995,270</td>
<td>$0</td>
<td>2%</td>
<td>$2,840,983</td>
<td>$1,042,235</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td>$1,528,273</td>
<td>$814,589</td>
<td>$750</td>
<td>2%</td>
<td>$2,343,612</td>
<td>$4,265,179</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>$24,117,444</td>
<td>$4,602,088</td>
<td>$843,282</td>
<td>20%</td>
<td>$29,562,814</td>
<td>$8,352,515</td>
</tr>
<tr>
<td><strong>Humanities &amp; Social Sciences</strong></td>
<td>$663,588</td>
<td>$138,777</td>
<td>$0</td>
<td>1%</td>
<td>$802,365</td>
<td>$1,762,254</td>
</tr>
<tr>
<td><strong>Poole College</strong></td>
<td>$3,570,233</td>
<td>$19,917,505</td>
<td>$0</td>
<td>16%</td>
<td>$23,487,738</td>
<td>$1,951,383</td>
</tr>
<tr>
<td><strong>Natural Resources</strong></td>
<td>$721,749</td>
<td>$1,584,301</td>
<td>$3,408</td>
<td>2%</td>
<td>$2,309,458</td>
<td>$1,264,759</td>
</tr>
<tr>
<td><strong>Sciences</strong></td>
<td>$2,375,102</td>
<td>$566,024</td>
<td>$17,312</td>
<td>2%</td>
<td>$2,958,438</td>
<td>$6,373,203</td>
</tr>
<tr>
<td><strong>Wilson College of Textiles</strong></td>
<td>$1,999,671</td>
<td>$1,231,563</td>
<td>$35,000</td>
<td>2%</td>
<td>$3,266,234</td>
<td>$29,882,666</td>
</tr>
<tr>
<td><strong>Veterinary Medicine</strong></td>
<td>$8,667,529</td>
<td>$8,337,386</td>
<td>$35,648</td>
<td>12%</td>
<td>$17,040,563</td>
<td>$17,512,624</td>
</tr>
<tr>
<td><strong>Alumni Association</strong></td>
<td>$43,595</td>
<td>$121,238</td>
<td>$675</td>
<td>0%</td>
<td>$165,508</td>
<td>$718,858</td>
</tr>
<tr>
<td><strong>DASA</strong></td>
<td>$1,685,654</td>
<td>$377,948</td>
<td>$110,807</td>
<td>2%</td>
<td>$2,174,409</td>
<td>$1,275,428</td>
</tr>
<tr>
<td><strong>Libraries</strong></td>
<td>$82,599</td>
<td>$491,657</td>
<td>$470,000</td>
<td>1%</td>
<td>$1,044,256</td>
<td>$756,877</td>
</tr>
<tr>
<td><strong>University-wide</strong></td>
<td>$8,451,152</td>
<td>$13,586,088</td>
<td>$765,675</td>
<td>16%</td>
<td>$22,802,915</td>
<td>$17,941,170</td>
</tr>
<tr>
<td><strong>Athletics</strong></td>
<td>$8,643,498</td>
<td>$82,200</td>
<td>$0</td>
<td>6%</td>
<td>$8,725,698</td>
<td>$12,169,431</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$84,405,443</td>
<td>$55,416,164</td>
<td>$4,466,658</td>
<td>100%</td>
<td>$144,288,264</td>
<td>$125,669,039</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association (cash receipts only)
<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 '20 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$1,249,807</td>
<td>$158,952</td>
<td>$92,934</td>
<td>$1,126,644</td>
<td>$11,134,907</td>
<td>$6,519,920</td>
<td>$4,480,110</td>
<td>$24,763,274</td>
</tr>
<tr>
<td>Design</td>
<td>$1,468,682</td>
<td>$2,060</td>
<td>$4,400</td>
<td>$629,920</td>
<td>$90,712</td>
<td>$635,164</td>
<td>$10,045</td>
<td>$2,840,983</td>
</tr>
<tr>
<td>Education</td>
<td>$814,497</td>
<td>$1,460</td>
<td>$2,665</td>
<td>$47,194</td>
<td>$692,980</td>
<td>$784,665</td>
<td>$150</td>
<td>$2,343,612</td>
</tr>
<tr>
<td>Engineering</td>
<td>$5,730,418</td>
<td>$70,692</td>
<td>$53,735</td>
<td>$1,137,985</td>
<td>$3,169,506</td>
<td>$18,872,106</td>
<td>$528,372</td>
<td>$29,562,814</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$199,510</td>
<td>$104,045</td>
<td>$20,323</td>
<td>$45,969</td>
<td>$70,590</td>
<td>$351,014</td>
<td>$10,914</td>
<td>$802,365</td>
</tr>
<tr>
<td>Poole College</td>
<td>$19,536,052</td>
<td>$10,862</td>
<td>$15,649</td>
<td>$27,631</td>
<td>$613,217</td>
<td>$934,003</td>
<td>$2,350,324</td>
<td>$23,487,738</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$488,298</td>
<td>$1,595</td>
<td>$4,000</td>
<td>$1,204,143</td>
<td>$476,484</td>
<td>$114,500</td>
<td>$20,438</td>
<td>$2,309,458</td>
</tr>
<tr>
<td>Sciences</td>
<td>$1,156,634</td>
<td>$12,755</td>
<td>$105,010</td>
<td>$514,359</td>
<td>$538,046</td>
<td>$312,200</td>
<td>$319,434</td>
<td>$2,958,438</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$818,812</td>
<td>$4,400</td>
<td>$58,884</td>
<td>$106,920</td>
<td>$1,345,532</td>
<td>$930,285</td>
<td>$1,400</td>
<td>$3,266,234</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$8,130,094</td>
<td>$60,905</td>
<td>$12,800</td>
<td>$1,857,129</td>
<td>$843,503</td>
<td>$5,521,116</td>
<td>$615,015</td>
<td>$17,040,563</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$87,839</td>
<td>$2,361</td>
<td>$300</td>
<td>$6,741</td>
<td>$16,201</td>
<td>$46,865</td>
<td>$5,200</td>
<td>$165,508</td>
</tr>
<tr>
<td>DASA</td>
<td>$509,736</td>
<td>$73,830</td>
<td>$18,883</td>
<td>$316,416</td>
<td>$272,364</td>
<td>$52,962</td>
<td>$930,218</td>
<td>$2,174,409</td>
</tr>
<tr>
<td>Libraries</td>
<td>$525,755</td>
<td>$14,950</td>
<td>$18,347</td>
<td>$437,060</td>
<td>$21,750</td>
<td>$22,500</td>
<td>$3,894</td>
<td>$1,044,256</td>
</tr>
<tr>
<td>University-wide</td>
<td>$3,009,699</td>
<td>$223,224</td>
<td>$3,240</td>
<td>$1,142,705</td>
<td>$1,421,311</td>
<td>$9,549,019</td>
<td>$7,453,719</td>
<td>$22,802,915</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$8,493,223</td>
<td>$110,580</td>
<td>$25</td>
<td>$8,210</td>
<td>$31,325</td>
<td>$32,200</td>
<td>$50,135</td>
<td>$8,725,698</td>
</tr>
<tr>
<td>Total</td>
<td>$52,219,057</td>
<td>$852,671</td>
<td>$411,195</td>
<td>$8,609,027</td>
<td>$20,738,429</td>
<td>$44,678,518</td>
<td>$16,779,367</td>
<td>$144,288,264</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association (cash receipts only)
### FY20 Development Reports
**Gift Report: Monthly Gifts & New Commitments by Type**
as of December 31, 2019

<table>
<thead>
<tr>
<th>Category</th>
<th>Cash Gifts</th>
<th>Gifts-In-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Bequests</th>
<th>Bequest Expectancies</th>
<th>Pledges</th>
<th>Non-Governmental Grants</th>
<th>Year-to-date FY ’20 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$8,240,046</td>
<td>$127,139</td>
<td>$13,075</td>
<td>$223,140</td>
<td>$110,000</td>
<td>$470,001</td>
<td></td>
<td>$3,374,342</td>
<td>$11,972,603</td>
</tr>
<tr>
<td>Design</td>
<td>$320,598</td>
<td>0</td>
<td>$6,120</td>
<td>0</td>
<td>$32,238</td>
<td>$1,600,000</td>
<td></td>
<td>$208,801</td>
<td>$584,894</td>
</tr>
<tr>
<td>Education</td>
<td>$348,399</td>
<td>$750</td>
<td>$700</td>
<td>0</td>
<td>0</td>
<td>$706,500</td>
<td>$17,547</td>
<td>$1,246,716</td>
<td>$2,343,612</td>
</tr>
<tr>
<td>Engineering</td>
<td>$3,287,920</td>
<td>$347,387</td>
<td>$48,935</td>
<td>0</td>
<td>$2,014,053</td>
<td>$2,837,457</td>
<td>$516,804</td>
<td>$20,129,472</td>
<td>$29,562,814</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$413,610</td>
<td>0</td>
<td>$4,520</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td>$316,229</td>
<td>$802,365</td>
</tr>
<tr>
<td>Poole College</td>
<td>$1,110,790</td>
<td>0</td>
<td>$20,782</td>
<td>0</td>
<td>0</td>
<td>$19,258,130</td>
<td>$670,703</td>
<td>$2,394,956</td>
<td>$23,487,738</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$515,126</td>
<td>$208</td>
<td>$9,967</td>
<td>0</td>
<td>0</td>
<td>$103,000</td>
<td>$1,259,448</td>
<td>$273,776</td>
<td>$2,309,458</td>
</tr>
<tr>
<td>Sciences</td>
<td>$701,156</td>
<td>$17,312</td>
<td>$32,173</td>
<td>0</td>
<td>$366,942</td>
<td>$500,000</td>
<td>$407,703</td>
<td>$906,465</td>
<td>$2,958,438</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$759,653</td>
<td>$35,000</td>
<td>$4,467</td>
<td>0</td>
<td>$24,608</td>
<td>$100,000</td>
<td>$1,490,043</td>
<td>$851,713</td>
<td>$3,266,234</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$5,812,530</td>
<td>$10,598</td>
<td>$7,168</td>
<td>0</td>
<td>$4,829</td>
<td>$8,751,000</td>
<td>$246,250</td>
<td>$2,142,733</td>
<td>$17,040,563</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$119,925</td>
<td>0</td>
<td>$4,902</td>
<td>$25,000</td>
<td>0</td>
<td>0</td>
<td>$6,430</td>
<td>0</td>
<td>$165,508</td>
</tr>
<tr>
<td>DASA</td>
<td>$776,861</td>
<td>$74,307</td>
<td>$23,426</td>
<td>0</td>
<td>0</td>
<td>$250,000</td>
<td>$113,527</td>
<td>$908,523</td>
<td>$2,174,409</td>
</tr>
<tr>
<td>Libraries</td>
<td>$136,971</td>
<td>$470,000</td>
<td>$300</td>
<td>0</td>
<td>0</td>
<td>$400,000</td>
<td>$8,835</td>
<td>0</td>
<td>$1,044,256</td>
</tr>
<tr>
<td>University-wide</td>
<td>$16,306,847</td>
<td>0</td>
<td>$54,034</td>
<td>0</td>
<td>$1,016,932</td>
<td>$975,000</td>
<td>$3,962,438</td>
<td>$358,412</td>
<td>$22,802,915</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$229,133</td>
<td>0</td>
<td>$10,025</td>
<td>0</td>
<td>0</td>
<td>$249,950</td>
<td>$8,235,090</td>
<td>0</td>
<td>$8,725,698</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$39,079,565</strong></td>
<td><strong>$1,082,700</strong></td>
<td><strong>$240,140</strong></td>
<td><strong>$248,140</strong></td>
<td><strong>$3,584,602</strong></td>
<td><strong>$36,201,038</strong></td>
<td><strong>$20,568,729</strong></td>
<td><strong>$42,086,492</strong></td>
<td><strong>$144,288,264</strong></td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association (cash receipts only)
### FY20 Development Reports
#### Monthly Gifts and New Commitments - Fiscal Year '20 Goals
as of December 31, 2019

<table>
<thead>
<tr>
<th>Unit</th>
<th>Year-to-date FY'20 Totals</th>
<th>Unit Goal (Low)</th>
<th>% to Goal</th>
<th>Unit Goal (Stretch)</th>
<th>% to Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ag and Life Sciences</strong></td>
<td>$24,763,274</td>
<td>$40,000,000</td>
<td>62%</td>
<td>$47,000,000</td>
<td>53%</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>$2,840,983</td>
<td>$2,500,000</td>
<td>114%</td>
<td>$3,900,000</td>
<td>73%</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td>$2,343,612</td>
<td>$3,700,000</td>
<td>63%</td>
<td>$5,750,000</td>
<td>41%</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>$29,562,814</td>
<td>$20,000,000</td>
<td>148%</td>
<td>$25,000,000</td>
<td>118%</td>
</tr>
<tr>
<td><strong>Humanities &amp; Social Sciences</strong></td>
<td>$802,365</td>
<td>$2,700,000</td>
<td>30%</td>
<td>$3,200,000</td>
<td>25%</td>
</tr>
<tr>
<td><strong>Poole College</strong></td>
<td>$23,487,738</td>
<td>$3,438,000</td>
<td>683%</td>
<td>$5,250,000</td>
<td>447%</td>
</tr>
<tr>
<td><strong>Natural Resources</strong></td>
<td>$2,309,458</td>
<td>$3,500,000</td>
<td>66%</td>
<td>$5,000,000</td>
<td>46%</td>
</tr>
<tr>
<td><strong>Sciences</strong></td>
<td>$2,958,438</td>
<td>$5,000,000</td>
<td>59%</td>
<td>$7,500,000</td>
<td>39%</td>
</tr>
<tr>
<td><strong>Wilson College of Textiles</strong></td>
<td>$3,266,234</td>
<td>$4,125,000</td>
<td>79%</td>
<td>$4,500,000</td>
<td>73%</td>
</tr>
<tr>
<td><strong>Veterinary Medicine</strong></td>
<td>$17,040,563</td>
<td>$12,000,000</td>
<td>142%</td>
<td>$16,000,000</td>
<td>107%</td>
</tr>
<tr>
<td><strong>Alumni Association</strong></td>
<td>$165,508</td>
<td>$1,000,000</td>
<td>17%</td>
<td>$1,500,000</td>
<td>11%</td>
</tr>
<tr>
<td><strong>DASA</strong></td>
<td>$2,174,409</td>
<td>$2,200,000</td>
<td>99%</td>
<td>$2,600,000</td>
<td>84%</td>
</tr>
<tr>
<td><strong>Libraries</strong></td>
<td>$1,044,256</td>
<td>$2,000,000</td>
<td>52%</td>
<td>$3,100,000</td>
<td>34%</td>
</tr>
<tr>
<td><strong>University-wide</strong></td>
<td>$22,802,915</td>
<td>$140,631,450</td>
<td>16%</td>
<td>$161,030,000</td>
<td>14%</td>
</tr>
<tr>
<td><strong>Athletics</strong></td>
<td>$8,725,698</td>
<td>$9,600,000</td>
<td>91%</td>
<td>$12,600,000</td>
<td>69%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$144,288,264</td>
<td>$252,394,450</td>
<td>57%</td>
<td>$303,930,000</td>
<td>47%</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association (cash receipts only)
### Campaign Progress

**Gift Activity: Gifts by Phase**

as of December 31, 2019

<table>
<thead>
<tr>
<th>Phase</th>
<th>Reachback Phase</th>
<th>Nucleus Phase</th>
<th>Public Phase</th>
<th>Campaign Total</th>
<th>Goal***</th>
<th>% to Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$58,581,117</td>
<td>$195,358,405</td>
<td>$131,568,053</td>
<td>$385,507,575</td>
<td>$400,000,000</td>
<td>96%</td>
</tr>
<tr>
<td>Design</td>
<td>$1,971,028</td>
<td>$4,474,114</td>
<td>$10,036,942</td>
<td>$16,482,084</td>
<td>$13,000,000</td>
<td>127%</td>
</tr>
<tr>
<td>Education</td>
<td>$1,496,879</td>
<td>$13,244,155</td>
<td>$21,141,046</td>
<td>$35,882,080</td>
<td>$21,000,000</td>
<td>171%</td>
</tr>
<tr>
<td>Engineering</td>
<td>$26,589,290</td>
<td>$78,216,905</td>
<td>$106,079,570</td>
<td>$210,885,765</td>
<td>$230,000,000</td>
<td>92%</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$2,149,234</td>
<td>$19,727,436</td>
<td>$9,274,975</td>
<td>$31,151,645</td>
<td>$35,000,000</td>
<td>89%</td>
</tr>
<tr>
<td>Poole College</td>
<td>$40,141,243</td>
<td>$15,626,471</td>
<td>$37,044,234</td>
<td>$92,811,948</td>
<td>$65,000,000</td>
<td>143%</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$9,998,541</td>
<td>$9,030,713</td>
<td>$11,769,545</td>
<td>$30,799,208</td>
<td>$35,000,000</td>
<td>88%</td>
</tr>
<tr>
<td>Sciences</td>
<td>$6,159,812</td>
<td>$26,650,687</td>
<td>$25,565,240</td>
<td>$58,375,739</td>
<td>$60,000,000</td>
<td>97%</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$6,165,558</td>
<td>$9,277,376</td>
<td>$41,303,994</td>
<td>$56,746,298</td>
<td>$26,000,000</td>
<td>218%</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$24,759,368</td>
<td>$71,915,857</td>
<td>$68,539,010</td>
<td>$165,214,235</td>
<td>$175,000,000</td>
<td>94%</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$878,363</td>
<td>$5,011,646</td>
<td>$3,564,376</td>
<td>$9,454,385</td>
<td>$7,000,000</td>
<td>135%</td>
</tr>
<tr>
<td>DASA</td>
<td>$2,967,035</td>
<td>$11,287,986</td>
<td>$9,285,978</td>
<td>$23,540,999</td>
<td>$20,000,000</td>
<td>118%</td>
</tr>
<tr>
<td>Libraries</td>
<td>$6,216,734</td>
<td>$8,129,320</td>
<td>$7,754,909</td>
<td>$22,100,963</td>
<td>$22,000,000</td>
<td>100%</td>
</tr>
<tr>
<td>University-wide</td>
<td>$137,327,449</td>
<td>$109,672,608</td>
<td>$118,177,051</td>
<td>$365,177,108</td>
<td>$300,000,000</td>
<td>122%</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$4,128,910</td>
<td>$78,828,808</td>
<td>$93,765,171</td>
<td>$176,722,889</td>
<td>$210,000,000</td>
<td>84%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$329,530,561</td>
<td>$656,452,487</td>
<td>$694,870,503</td>
<td>$1,680,853,547</td>
<td>$1,600,000,000</td>
<td>105%</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association
## Campaign Progress
**Gift Activity: Gifts by Source**
**as of December 31, 2019**

<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>Ag and Life Sciences</td>
<td>$60,536,837</td>
<td>$17,043,773</td>
<td>$4,926,008</td>
<td>$38,854,100</td>
<td>$109,427,141</td>
<td>$95,022,244</td>
<td>$59,697,472</td>
<td>$385,507,575</td>
</tr>
<tr>
<td>Design</td>
<td>$7,934,578</td>
<td>$74,034</td>
<td>$155,385</td>
<td>$1,744,699</td>
<td>$2,815,219</td>
<td>$3,034,438</td>
<td>$723,732</td>
<td>$16,482,085</td>
</tr>
<tr>
<td>Education</td>
<td>$5,094,083</td>
<td>$61,751</td>
<td>$238,989</td>
<td>$2,698,296</td>
<td>$3,578,702</td>
<td>$22,917,293</td>
<td>$1,292,967</td>
<td>$35,882,081</td>
</tr>
<tr>
<td>Engineering</td>
<td>$109,557,902</td>
<td>$2,570,025</td>
<td>$6,394,091</td>
<td>$6,424,446</td>
<td>$43,402,892</td>
<td>$36,793,455</td>
<td>$5,742,952</td>
<td>$210,885,763</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$14,680,150</td>
<td>$1,351,830</td>
<td>$1,486,260</td>
<td>$9,594,581</td>
<td>$608,120</td>
<td>$2,878,346</td>
<td>$552,357</td>
<td>$31,151,644</td>
</tr>
<tr>
<td>Poole College</td>
<td>$69,042,979</td>
<td>$577,915</td>
<td>$2,750,463</td>
<td>$4,346,123</td>
<td>$8,664,164</td>
<td>$3,823,352</td>
<td>$3,606,951</td>
<td>$92,811,947</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$17,221,711</td>
<td>$25,662</td>
<td>$2,300,898</td>
<td>$2,922,668</td>
<td>$5,385,592</td>
<td>$1,962,405</td>
<td>$980,272</td>
<td>$30,799,208</td>
</tr>
<tr>
<td>Sciences</td>
<td>$28,060,962</td>
<td>$5,411,255</td>
<td>$5,813,610</td>
<td>$1,627,245</td>
<td>$8,531,838</td>
<td>$3,969,941</td>
<td>$4,960,889</td>
<td>$58,375,740</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$42,060,531</td>
<td>$138,896</td>
<td>$1,300,754</td>
<td>$1,507,342</td>
<td>$8,077,527</td>
<td>$3,418,723</td>
<td>$243,155</td>
<td>$56,746,928</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$31,901,478</td>
<td>$281,509</td>
<td>$5,825,046</td>
<td>$76,568,702</td>
<td>$5,612,347</td>
<td>$42,195,259</td>
<td>$2,829,894</td>
<td>$165,214,235</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$6,096,136</td>
<td>$47,554</td>
<td>$37,078</td>
<td>$544,320</td>
<td>$488,209</td>
<td>$1,834,112</td>
<td>$406,975</td>
<td>$9,454,384</td>
</tr>
<tr>
<td>DASA</td>
<td>$7,310,254</td>
<td>$889,922</td>
<td>$538,236</td>
<td>$8,891,346</td>
<td>$1,286,741</td>
<td>$1,774,525</td>
<td>$2,849,975</td>
<td>$23,540,999</td>
</tr>
<tr>
<td>Libraries</td>
<td>$3,379,233</td>
<td>$1,984,340</td>
<td>$4,115,252</td>
<td>$7,859,192</td>
<td>$2,364,154</td>
<td>$2,273,747</td>
<td>$125,045</td>
<td>$22,100,963</td>
</tr>
<tr>
<td>University-wide</td>
<td>$163,812,773</td>
<td>$2,307,907</td>
<td>$2,634,902</td>
<td>$5,592,349</td>
<td>$16,064,131</td>
<td>$157,420,142</td>
<td>$17,344,903</td>
<td>$365,177,107</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$169,705,020</td>
<td>$660,451</td>
<td>$312,529</td>
<td>$2,238,415</td>
<td>$3,081,313</td>
<td>$457,974</td>
<td>$267,185</td>
<td>$176,722,887</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$736,394,626</td>
<td>$33,426,826</td>
<td>$38,829,501</td>
<td>$171,413,824</td>
<td>$219,388,091</td>
<td>$379,775,956</td>
<td>$101,624,723</td>
<td>$1,680,853,547</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association
<table>
<thead>
<tr>
<th>Department</th>
<th>Cash Gifts</th>
<th>Gifts-In-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Bequests</th>
<th>Bequest Expectancies</th>
<th>Pledges</th>
<th>Non-Governmental Grants</th>
<th>Campaign Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ag and Life Sciences</strong></td>
<td>$109,356,149</td>
<td>$6,307,545</td>
<td>$305,568</td>
<td>$7,541,624</td>
<td>$5,566,835</td>
<td>$6,625,921</td>
<td>$51,878,160</td>
<td>$130,326,102</td>
<td>$129,077,721</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>$4,698,663</td>
<td>$105,542</td>
<td>$67,514</td>
<td>$25,000</td>
<td>$217,485</td>
<td>$6,213,000</td>
<td>$1,200,181</td>
<td>$3,954,200</td>
<td>$5,114,704</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td>$3,992,202</td>
<td>$8,934</td>
<td>$29,389</td>
<td>$50,000</td>
<td>$202,677</td>
<td>$4,274,500</td>
<td>$788,320</td>
<td>$26,536,060</td>
<td>$4,283,202</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>$52,126,965</td>
<td>$2,726,195</td>
<td>$1,554,480</td>
<td>$1,125,782</td>
<td>$5,554,213</td>
<td>$51,410,596</td>
<td>$62,195,684</td>
<td>$34,191,850</td>
<td>$63,087,635</td>
</tr>
<tr>
<td><strong>Humanities &amp; Social Sciences</strong></td>
<td>$4,994,323</td>
<td>$3,902</td>
<td>$150,913</td>
<td>$342,991</td>
<td>$62,809</td>
<td>$12,310,728</td>
<td>$10,846,250</td>
<td>$2,439,728</td>
<td>$5,554,938</td>
</tr>
<tr>
<td><strong>Poole College</strong></td>
<td>$12,225,871</td>
<td>$4,310</td>
<td>$548,412</td>
<td>$29,710,000</td>
<td>$26,837</td>
<td>$30,767,721</td>
<td>$14,247,125</td>
<td>$5,281,671</td>
<td>$42,515,430</td>
</tr>
<tr>
<td><strong>Natural Resources</strong></td>
<td>$10,556,089</td>
<td>$1,174,694</td>
<td>$205,740</td>
<td>$548,278</td>
<td>$369,420</td>
<td>$11,879,955</td>
<td>$3,908,489</td>
<td>$2,156,542</td>
<td>$12,854,221</td>
</tr>
<tr>
<td><strong>Sciences</strong></td>
<td>$16,780,209</td>
<td>$2,987,780</td>
<td>$308,169</td>
<td>$804,500</td>
<td>$521,135</td>
<td>$21,021,787</td>
<td>$5,452,308</td>
<td>$10,499,851</td>
<td>$21,401,793</td>
</tr>
<tr>
<td><strong>Wilson College of Textiles</strong></td>
<td>$8,324,676</td>
<td>$511,515</td>
<td>$38,547</td>
<td>$195,825</td>
<td>$50,000</td>
<td>$6,366,621</td>
<td>$37,142,314</td>
<td>$4,117,432</td>
<td>$9,120,563</td>
</tr>
<tr>
<td><strong>Veterinary Medicine</strong></td>
<td>$32,824,836</td>
<td>$1,334,640</td>
<td>$116,818</td>
<td>$525,052</td>
<td>$2,618,784</td>
<td>$92,775,207</td>
<td>$23,477,210</td>
<td>$11,271,689</td>
<td>$37,420,130</td>
</tr>
<tr>
<td><strong>Alumni Association</strong></td>
<td>$4,194,914</td>
<td>$0</td>
<td>$226,191</td>
<td>$70,000</td>
<td>$396,050</td>
<td>$636,970</td>
<td>$3,930,260</td>
<td>$0</td>
<td>$4,887,155</td>
</tr>
<tr>
<td><strong>Libraries</strong></td>
<td>$3,268,117</td>
<td>$12,304,199</td>
<td>$42,507</td>
<td>$1,076</td>
<td>$90,848</td>
<td>$3,834,195</td>
<td>$702,104</td>
<td>$1,857,917</td>
<td>$15,706,747</td>
</tr>
<tr>
<td><strong>University-wide</strong></td>
<td>$227,746,109</td>
<td>$793,474</td>
<td>$661,930</td>
<td>$1,227,428</td>
<td>$1,786,005</td>
<td>$12,376,104</td>
<td>$114,693,416</td>
<td>$5,892,642</td>
<td>$365,177,108</td>
</tr>
<tr>
<td><strong>Athletics</strong></td>
<td>$76,949,588</td>
<td>$2,525,049</td>
<td>$1,913,716</td>
<td>$1,913,716</td>
<td>$32,200</td>
<td>$11,867,561</td>
<td>$83,434,773</td>
<td>$0</td>
<td>$81,420,553</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$575,369,287</td>
<td>$31,764,935</td>
<td>$6,376,063</td>
<td>$45,685,008</td>
<td>$18,118,447</td>
<td>$344,377,557</td>
<td>$418,384,371</td>
<td>$240,777,878</td>
<td>$1,680,853,547</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association
### Campaign Progress

**Gift Activity: Gifts by Use as of December 31, 2019**

<table>
<thead>
<tr>
<th>Section</th>
<th>Current Operations</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Campaign Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag and Life Sciences</td>
<td>$209,261,229</td>
<td>$117,911,860</td>
<td>$58,334,486</td>
<td>$385,507,575</td>
</tr>
<tr>
<td>Design</td>
<td>$7,378,021</td>
<td>$8,998,521</td>
<td>$105,542</td>
<td>$16,482,084</td>
</tr>
<tr>
<td>Education</td>
<td>$28,834,226</td>
<td>$7,038,141</td>
<td>$9,714</td>
<td>$35,882,081</td>
</tr>
<tr>
<td>Engineering</td>
<td>$84,705,890</td>
<td>$76,997,836</td>
<td>$49,182,038</td>
<td>$210,885,764</td>
</tr>
<tr>
<td>Humanities &amp; Social Sciences</td>
<td>$8,152,690</td>
<td>$22,995,052</td>
<td>$3,902</td>
<td>$31,151,644</td>
</tr>
<tr>
<td>Poole College</td>
<td>$18,939,709</td>
<td>$73,377,929</td>
<td>$494,310</td>
<td>$92,811,948</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>$8,426,519</td>
<td>$21,182,785</td>
<td>$1,189,904</td>
<td>$30,799,208</td>
</tr>
<tr>
<td>Sciences</td>
<td>$21,870,835</td>
<td>$33,962,577</td>
<td>$2,542,328</td>
<td>$58,375,740</td>
</tr>
<tr>
<td>Wilson College of Textiles*</td>
<td>$14,893,610</td>
<td>$41,296,804</td>
<td>$556,515</td>
<td>$56,746,929</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>$49,039,842</td>
<td>$114,698,747</td>
<td>$1,475,645</td>
<td>$165,214,234</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$1,239,580</td>
<td>$8,140,691</td>
<td>$74,113</td>
<td>$9,454,384</td>
</tr>
<tr>
<td>DASA</td>
<td>$9,760,782</td>
<td>$8,223,983</td>
<td>$5,556,234</td>
<td>$23,540,999</td>
</tr>
<tr>
<td>Libraries</td>
<td>$4,454,744</td>
<td>$5,342,020</td>
<td>$12,304,199</td>
<td>$22,100,963</td>
</tr>
<tr>
<td>University-wide</td>
<td>$124,017,738</td>
<td>$225,736,479</td>
<td>$15,422,890</td>
<td>$365,177,107</td>
</tr>
<tr>
<td>Athletics**</td>
<td>$92,335,515</td>
<td>$15,295,035</td>
<td>$69,092,337</td>
<td>$176,722,887</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$683,310,930</strong></td>
<td><strong>$781,198,460</strong></td>
<td><strong>$216,344,157</strong></td>
<td><strong>$1,680,853,547</strong></td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation

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

Major Gifts, Annual Giving, Gift Planning, and Day of Giving Discussion

Naming Opportunity Proposals
NC STATE
THINK AND DO
THE
EXTRAORDINARY

The Campaign for NC State
The Offices of Gift Planning
Central Major Gifts, and Annual Giving

Jim Broschart
Associate Vice Chancellor
University Development
University Development at NC State

- Gift Planning: Estate gifts, Retirement Assets, Complex Business Assets

- Central Major Gifts: Gifts of $50,000+
  - Regional and National
  - Caldwell/Park Scholars
  - Donor Centric – not unit specific

- Annual Giving: Annual gifts of less than $1,000
  - Leadership Annual Giving: gifts of $1,000-49,999
FY 2019 Results

- GP Total: $60,305,433
- CMG Total: $4,991,018
- AG Total: $14,011,051
- University Total: $220,048,354
The Office of Gift Planning

David Masich, JD
Executive Director
Manages the office to oversee production of deferred, split interest, and non-cash gifts and acts as an educational and technical resource for various giving strategies.

Katherine Miller, CPA
Director
Works to structure planned gifts with an emphasis on gifts made with business assets, drawing on her extensive background; serves as a resource for increasingly popular QCD gifts.

Devan Culbreth, JD
Associate Director
Utilizing her experience as an estate attorney, partners with donors and fundraising colleagues to brainstorm mutually beneficial strategies; assists with probate administrations.

Mary Elizabeth Brake
Assistant Director
Oversees daily operations, marketing, stewardship, bequest/trust administration, life-income gifts, and new planned gifts.

Shawana Hodge
Administrative Specialist
Assists with daily operations for the office of Gift Planning and Corporate Foundation Relations.
Projected Estate Distributions

Next Five Years as of 6/30/19

- 2020: $4,139,167
- 2021: $200,000
- 2022: $1,250,001
- 2023: $3,778,037
- 2024: $6,263,002
Projected Estate Distributions

as of 6/30/19

- >5 YEARS: $9,367,205
- 5-9 YEARS: $36,618,542
- 10-14 YEARS: $58,074,465
- 15-19 YEARS: $73,624,066
- 20-24 YEARS: $67,681,815
- 25-29 YEARS: $59,459,945
- 30-34 YEARS: $29,365,921
- 35-39 YEARS: $14,843,961
- 40-44 YEARS: $24,629,504
- 45-49 YEARS: $3,039,001
- 50-54 YEARS: $2,040,000
- 55-59 YEARS: $25,001
- 60< YEARS: $19,703,003
A good year taking shape

Commitments YTD

<table>
<thead>
<tr>
<th>FY</th>
<th>Value of proposals closed by Gift Planning</th>
<th># of recorded deferred gifts university-wide</th>
<th>Value of recorded deferred gifts university-wide</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 19</td>
<td>$28,293,370</td>
<td>150</td>
<td>$60,305,433</td>
</tr>
<tr>
<td>FY 20 as of 12/31/19</td>
<td>$27,849,997</td>
<td>81</td>
<td>$40,442,454</td>
</tr>
</tbody>
</table>
# Realized Bequests

<table>
<thead>
<tr>
<th></th>
<th>Known</th>
<th>Unknown</th>
<th>Total</th>
<th># gifts known</th>
<th># gifts unknown</th>
<th>Total #</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 19 Total</td>
<td>$272,998</td>
<td>$2,761,850</td>
<td>$3,034,848</td>
<td>11</td>
<td>33</td>
<td>44</td>
</tr>
<tr>
<td>FY 20 as of 12/31/19</td>
<td>$196,923</td>
<td>$3,575,471</td>
<td>$3,772,394</td>
<td>8</td>
<td>20</td>
<td>28</td>
</tr>
<tr>
<td>FY 14-12/31/19</td>
<td>$13,903,348</td>
<td>$26,477,344</td>
<td>$40,379,692</td>
<td>127</td>
<td>397</td>
<td>524</td>
</tr>
</tbody>
</table>
Looking Ahead: Challenges and Opportunities

Stewardship

Instilling a development culture in Gift Planning

Training our Gift Officers

Measurement, Tracking, and Best Practice

Lean by comparison, getting house in order to grow
Central Major Gifts

Lauren Welch
Int. Executive Director
Virginia
Maryland
Washington, DC
Metro Areas of:
S California
Pacific NW
Texas
Massachusetts
Illinois

Kyle Kusterer
Director
Wake County
Eastern Triangle
Florida
New York City
Park
Scholarships

Jenn Crumpler
Director
Triad
Western NC
Caldwell
Fellows

Carrie Conley
Director
Eastern NC
Eastern SC

Breeann Hall
Director
Wake County
Western Triangle
Georgia

Mai Li Muñoz
Director
Charlotte Metro
Western SC

Todd Marrs
Director
N. California
(university-wide)
Entrepreneurship
(NC-wide)
## Central Major Gifts

<table>
<thead>
<tr>
<th></th>
<th># Staff</th>
<th>Asks Goal</th>
<th>Asks Actual</th>
<th>Number of Gifts Raised</th>
<th>Funds Raised Goal</th>
<th>Funds Raised</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 19 Total</td>
<td>3</td>
<td>37</td>
<td>56</td>
<td>42</td>
<td>$8,000,000</td>
<td>$4,991,018</td>
</tr>
<tr>
<td>FY 20 as of 12/31</td>
<td>7</td>
<td>35</td>
<td>53</td>
<td>21</td>
<td>$2,900,000</td>
<td>$3,050,819</td>
</tr>
</tbody>
</table>
Looking Ahead: Challenges and Opportunities

- Leadership Transition
- Organizing ourselves (Liaising with units) so that we achieve our potential in all geographic areas
- Green Team Members
- Immature pipeline
- Air Traffic Control/Relationships
- Pace-setter/Example-setter for Colleges
Annual Giving

Adam Compton
Executive Director and Deputy Campaign Manager

Amanda Pesicek
Associate Director Data Analytics and Reporting

Scott Warner
Associate Director Marketing and Communications

Brittany Powell
Associate Director Digital Strategy

Katelyn Pecha
Assistant Director Constituency Programs and Volunteer Fundraising

Mandy Baker
Associate Director Leadership Annual Giving

Seth Noble
Assistant Director Leadership Annual Giving

Hannah Acuff Skillestad
Assistant Director Donor Renewal and Retention
Annual Giving

FY20 Goal: Increase dollars by 3% and donors by 5%

<table>
<thead>
<tr>
<th>Goal:</th>
<th>Donors</th>
<th>Dollars</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY19</td>
<td>37,331</td>
<td>$14,111,051</td>
</tr>
<tr>
<td>FY 20 YTD</td>
<td>20,917</td>
<td>$8,299,016</td>
</tr>
</tbody>
</table>

40% of non-renewed donors made a gift on DoG’19
Average upgrade is currently $608, with a median of $50
Looking Ahead: Challenges and Opportunities

- DoG as a platform for enhancing the philanthropic culture
- Technology
- Organizational size & structure/ROI
- Mid-level Giving/LAG
- Future role of Call Center
Key Accomplishments

- Best year ever in Gift Planning
- Best December Ever – By Far
- Second Strongest First Half of the Year During the Campaign

<table>
<thead>
<tr>
<th></th>
<th>July- Dec</th>
<th>Dec. Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY20</td>
<td>$144.3</td>
<td>$54.3</td>
</tr>
<tr>
<td>FY19</td>
<td>$125.6</td>
<td>$23.6</td>
</tr>
<tr>
<td>FY18</td>
<td>$84.5</td>
<td>$17.0</td>
</tr>
<tr>
<td>FY17</td>
<td>$160.7</td>
<td>$41.2</td>
</tr>
<tr>
<td>FY16</td>
<td>$81.6</td>
<td>$33.0</td>
</tr>
<tr>
<td>FY15</td>
<td>$86.8</td>
<td>$11.2</td>
</tr>
<tr>
<td>FY14</td>
<td>$61.2</td>
<td>$19.4</td>
</tr>
<tr>
<td>FY13</td>
<td>$82.4</td>
<td>$42.1</td>
</tr>
</tbody>
</table>
Looking ahead in 2020…

**Challenges:**
- New teams/turnover
- Nature and Timing of Investment
- Change Management

**Initiatives:**
- Metrics/Reporting
- Goal Setting
- Training
- Recognition
- Pipeline Management
January 28, 2020

MEMORANDUM

TO: Board of Trustees

FROM: W. Randolph Woodson, Chancellor

SUBJECT: Naming Opportunities Proposals

The Naming Opportunities Committee has endorsed and favorably recommends to you the following proposal:

College of Agriculture and Life Sciences

Retail Center, Howling Cow Dairy Education Center and Creamery
The College of Agriculture and Life Sciences proposes an opportunity to name the Retail Center (Room 100) in the Howling Cow Dairy Education Center and Creamery.

College of Sciences

Renovated Research Space, Broughton Hall
The College of Sciences proposes three opportunities to name adjoining renovated spaces (Rooms 2216A, 2216B and 2220B) in Broughton Hall.
January 28, 2020

MEMORANDUM

TO: W. Randolph Woodson, Chancellor

FROM: Brian C. Sischo, Vice Chancellor, University Advancement

SUBJECT: Naming Opportunities Proposals

The Naming Opportunities Committee has endorsed and favorably recommends to you the following proposal:

**College of Agriculture and Life Sciences**

**Retail Center, Howling Cow Dairy Education Center and Creamery**
The College of Agriculture and Life Sciences proposes an opportunity to name the Retail Center (Room 100) in the Howling Cow Dairy Education Center and Creamery.

**College of Sciences**

**Renovated Research Space, Broughton Hall**
The College of Sciences proposes three opportunities to name adjoining renovated spaces (Rooms 2216A, 2216B and 2220B) in Broughton Hall.
Board of Trustees Consent Agenda
University Advancement Committee
Naming Opportunities Proposals
February 28, 2020

Background
As per POL 03.00.02 – Criteria and Procedures for Naming Facilities and Programs, the act of
naming a facility or program shall be that of the Board of Trustees, acting after receiving the
recommendation of the Chancellor.

Recommended Action
Chancellor W. Randolph Woodson recommends to the Board of Trustees the following
fundraising projects for approval.

Overview
- Total Naming Opportunities Proposals: 2
- Total Naming Opportunities: 4
- Total Gift Amount: $340,000
- Colleges/Units Represented:
  - College of Agriculture and Life Sciences
  - College of Sciences

College of Agriculture and Life Sciences
Retail Center, Howling Cow Dairy Education Center and Creamery
The Retail Center (Room 100) will be the storefront service and waiting area where customers
select and purchase Howling Cow products. The facility is scheduled to open in February 2020.
- Naming Type: Space in a new construction
- Total Naming Opportunities: 1
- Total Gift Amount of Naming Opportunities: $40,000
- Purpose of Funds: The gift will support the construction of the Dairy Education Center
  and Creamery.

College of Sciences
Renovated Research Space, Broughton Hall
These adjoining second-floor spaces are used by the Department of Statistics. The renovations
are scheduled for completion in March 2020.
- Naming Type: Renovated spaces
- Total Naming Opportunities: 3
- Total Gift Amount of Naming Opportunities: $300,000
- Purpose of Funds: Gifts will be directed into the dean’s discretionary fund.
Policy References

POL 03.00.02 – Criteria and Procedures for Naming Facilities and Programs
Proposals for Naming Opportunity Approval

Board of Trustees' Meeting
February 28, 2020
Retail Center in the Howling Cow Dairy Education Center and Creamery

- **Naming Type:** New construction
- **Total Naming Opportunities:** 1
- **Total Gift Amount of Naming Opportunities:** $40,000
- **Timeline:** Facility scheduled to open February 2020
- **Fund Purpose:** Support construction of the Howling Cow Dairy Education Center and Creamery construction project
College of Sciences

Renovated Research Space in Broughton Hall

- **Naming Type:** Renovations
- **Total Naming Opportunities:** 3
- **Total Gift Amount of Naming Opportunities:** $300,000 for five-year term namings
- **Timeline:** Renovations scheduled for completion in March 2020
- **Fund Purpose:** Gifts to be directed into the dean’s discretionary fund
University Affairs Committee
1:15 p.m. – 3:00 p.m. February 27, 2020
Winslow Hall Conference Room

Stan Kelly, Chair
Members: Emma Carter, Jimmy Clark, Jim Harrell, Ven Poole, Ron Prestage

CALL TO ORDER
Stan Kelly, Chair

ROLL CALL
Stan Kelly, Chair

PUBLIC MEETING REMINDER AND READING OF STATE GOVERNMENT ETHICS ACT CONFLICT OF INTEREST STATEMENT
Stan Kelly, Chair

1. **CONSENT AGENDA**
   
   A. Approval of November 21, 2019 Minutes (open & closed session) 7.1A
   
   ✓ B. New Degree Program Requests 7.1B
      a. Request to Establish – Masters in Foundations of Data Science
   
   C. Center and Institute Requests 7.1C
      a. Request to Establish - Belk Center for Community College Leadership and Research (BELK)
      b. Request to Continue - Water Resources Research Institute (WRRI)
   
   D. Designation of Time Limited Option for Distinguished Professorships 7.1D
   
   E. Conferral of Tenure Requests 7.4

2. **REPORTS**
   
   A. Annual Report on Intercollegiate Athletics 7.2A
      *Presenters: Lisa Zapata, Interim Vice Chancellor, Division of Academic and Student Affairs
      Katie Graham, Assistant Dean and Director, Academic Support Program for Student Athletes*
   
   B. Graduation Report 7.2B
      *Presenter: Louis Hunt, Senior Vice Provost, Enrollment Management & Services*
   
   C. Student Body President Report 7.2C
      *Presenter: Emma Carter, Student Body President*

✓ Denotes full Board approval required
### D. Provost Update 7.2D

**Presenter:** Warwick Arden, Executive Vice Chancellor and Provost

- **a. Academic Programs Update** 7.2D.a.
  - Change in Degree Program Title – Master of Supply Chain and Engineering Management to Master of Engineering Management
  - Change to Name of an Academic Department – Department of Social Work to School of Social Work
  - New Graduate Certificates
    - ASIC Design and Verification
    - Computer Engineering
    - Electrical Engineering
    - 5G Technologies

- **b. Update on Leadership Position Searches and Leadership Reviews** 7.2D.b.

- **c. Strategic Planning Update** 7.2D.c.

- **d. Reappointment, Promotion and Tenure Process Update (no materials)**

### E. Faculty Senate Report 7.2E

**Presenter:** Hans Kellner, Chair of the Faculty

### 3. TOPIC OF INTEREST/COMMITTEE DISCUSSION TAB 7.3

- **A. Centers and Institutes Overview**
  **Presenter:** Jon Horowitz, Associate Vice Chancellor for Research Infrastructure and Development

### 4. CLOSED SESSION TAB 7.4

### 5. RECONVENE OPEN SESSION

### 6. ADJOURN
CONSENT
AGENDA
ITEMS
The University Affairs Committee of the Board of Trustees of North Carolina State University met November 21, 2019 in the Winslow Hall Conference Room.

Members Present: Stan Kelly, Committee Chair
Emma Carter
Jimmy Clark
Jim Harrell
Ven Poole
Ron Prestage
Tom Cabaniss, Board Chair

Chair Kelly called the meeting to order at 1:15 p.m. The roll was called and a quorum was present. He invited those new to attending this meeting to introduce themselves.

Chair Kelly reminded everyone that while this is a public meeting, it is not a meeting for public comment. He noted that anyone causing disruption to the business of the meeting is subject to removal from the meeting.

All members of the committee were reminded of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics Act. It was 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.

Consent Agenda
Chair Kelly asked Provost Arden to provide information about the supporting documentation included for research center and institute continuation requests. Provost Arden explained that the executive summary of the review team’s report, which is in the form of a letter from the Vice Chancellor for Research and Innovation to the Chancellor, is included in the materials. If at any time Trustees would like to see the full report, it will be made available. A motion was made by Mr. Clark to approve the consent agenda items which included approval of the September open and closed session meeting minutes; continuation of the North Carolina Institute for Climate Studies (NCICS) and the Kenan Institute for Engineering, Technology and Science (KIETS); and conferral of tenure to two new faculty members. Ms. Carter seconded the motion. The motion carried.

Requested Action
Tuition and Fees
Chancellor Woodson presented recommendations from the Tuition Review Advisory Committee for the 2020-2021 year. These recommendations are in keeping with the instructions provided from the UNC System Office which, for the first time in four years, allow for a campus initiated tuition increase (CITI) for resident undergraduate students up to 3%. The Tuition Review Advisory Committee, co-chaired by Provost Warwick Arden and Student Body President Emma Carter, was unanimous in its recommendation. Chancellor Woodson stated his support for the recommendation which included the following:

2020-2021
- a 2.5% tuition increase for new undergraduate residents. The guaranteed 8-10 semester fixed tuition rates for existing undergraduate resident students continues.
- a 3% increase for undergraduate nonresidents
- a 2.5% increase for graduate residents
- a 4% increase for graduate nonresidents.

The Committee recommended that 33.7% of the tuition increase revenue be allocated to need-based financial aid, that 23.1% be allocated to provide funding to the Graduate Student Support Plan, that 29.1% be used to improve quality and accessibility of the NC State educational experience, and that 14.1% be used to provide funding for faculty promotional increases.
After discussion, Chair Kelly called for a motion to recommend to the full board approval of the 2020-2021 campus initiated tuition increases as outlined in Chancellor Woodson’s recommendation under Tab 7.2A. Mr. Poole made the motion to approve, seconded by Mr. Clark, and the motion carried.

Chancellor Woodson continued by reviewing recommendations of the Fee Review Committee, which was co-chaired by Interim Vice Chancellor Lisa Zapata and Student Senate President Mitchell Moravec. The committee recommended an increase in fees of $17.85, representing an increase of .70%. However, their recommendation did not include an increase for the Campus Security Fee. The Campus Security Fee was established by the UNC Board of Governors in 2016 and universities have not been allowed to request increases to the fee since its establishment. This year after the Student Government’s review process was nearly complete, the university received notification that requests to increase this fee for Fall of 2020 would be allowed. Because of the late notice, the Student Government voted to not consider the proposed increase and the Fee Review Committee voted to support the Student Government’s recommendation not to consider the request. However, given the growth of the student body and additional pressures on the safety and security of our campus, Chancellor Woodson’s recommendation is for the trustees to consider including a $10.40 increase to the Campus Security Fee. He explained that the Campus Security Fee would fund a few new positions including a new Police Officer and Interpersonal Violence Prevention (IPV) Coordinator. Since the IPV Coordinator position is similar to a position being proposed in the Student Center Programming Fee, Chancellor Woodson’s recommendation is to reduce the proposed increase to the Student Center Programming Fee by $3.00. Thus, his recommendation is a $7.40 net increase above what the committee recommended and represents a .98% increase in student fees, which is below the 3% increase cap established by the UNC Board of Governors. Student Body President Emma Carter provided input confirming that the merit of a campus security fee increase was not discussed in Student Senate because of the late submission. She noted that the Chancellor reached out to her and the Student Senate President with his recommendation and they were comfortable with the increase.

After discussion, Chair Kelly called for a motion to approve the Chancellor’s student fee recommendations as outlined under Tab 7.2A. Mr. Harrell made the motion to approve. Dr. Prestage asked for clarification on the total amount of fee increase being recommended. Chancellor Woodson answered the dollar amount of the increase is $25.25, or 0.98%. Dr. Prestage then seconded the motion, and the motion carried.

Policy Revisions
Provost Arden presented revisions to Policy 05.20.01 Appointment, Reappointment, Promotion and Permanent Tenure and Policy 05.25.01 Faculty Grievance and Non-Reappointment Review. The revisions are being made to align with changes in The Code and UNC Policy Manual pertaining to faculty grievance and non-reappointment review. The main changes are to 1) name the Boards of Trustees (not the UNC BOG) as the final level of appeal for non-reappointments and imposition of discharge or serious sanctions, and 2) clarify that faculty pay shall cease upon issuance of a discharge decision. This provided an opportunity to make two other needed changes to Policy 05.20.01: 1) remove definitions of realms of faculty responsibility, which are now found in the Statements of Faculty Responsibilities Regulation, and 2) clarify voting procedures and Departmental Voting Faculty makeup for initial faculty appointments. Mr. Clark moved to recommend to the full board approval of the proposed revisions to Policies 05.20.01 and 05.25.01. Mr. Harrell seconded the motion. The motion carried.

Reports
Staff Senate Chair Janice Sitzes provided a report about the continuing activities underway to inform and engage NC State staff. Her report highlighted employee appreciation events, ‘Learn at Lunch’ offerings and Staff Senate volunteer efforts at Packapalooza, student move-in and during International Housekeeping Week. She also noted that the Staff Senate has two collection drives in progress – one for Toys for Tots and another for Bountiful Harvest. Chair Sitzes also outlined ways the Staff Senate is meeting its objective to be more inclusive to extension staff and to make other staff members aware of the scope of extension’s efforts. Finally, she noted that the Staff Senate is working to establish protocols for its committee structure.

Provost Arden provided an update on the status of personnel searches and administrative leadership reviews underway. The College of Natural Resources Dean search is underway; Dean Paul Lunn is chairing the nomination committee and Mr. Dewayne Washington serves as the Trustee representative. The position has been advertised and the goal is to have finalists brought to campus in late February and early March. The nomination committee for the Vice Chancellor and Dean of the Division of Academic and Student Affairs has just been announced. Senior Vice Provost Louis Hunt will chair the committee and Mr. Ed Stack will serve as the Trustee representative. Provost Arden reminded the committee that all deans...
and vice provosts receive comprehensive reviews every five years. Accordingly, the five-year leadership and program review of Vice Provost Katharine Stewart and the Office of Faculty Affairs will take place this academic year. He further noted that after 23 years in the Office of the Provost and 30 years of service at NC State, Assistant Vice Provost for Finance and Business Vicki Pennington is retiring. Adrian Day, previously the senior director of research fiscal affairs in the Office of Research and Innovation, has joined the office as assistant vice provost for finance and planning. The Provost gave an update on the strategic planning process and noted work is ongoing in preparation of the five-year report to SACS that is due in March 2020. Finally, Provost Arden provided an update on faculty retentions. Over the past eight years, NC State has made 124 counteroffers and 215 pre-emptive retention offers. Sixty-three percent (63%) of counteroffers were successful and 93% of the pre-emptive retentions were successful. The overall success rate of counter offers and pre-emptive retentions was 82% over this eight year period. The number of retention requests has dropped significantly over the last 5 years. Programs in place such as the University Faculty Scholars Program to recognize and retain top faculty were discussed.

**Topic of Interest**
Greg Raschke, Senior Vice Provost and Director of Libraries, provided an overview of the strategic priorities of the University Libraries with an emphasis on student success and affordability initiatives. The NC State University Libraries is a catalyst for knowledge and discovery for NC State and its partners. The Libraries serves over 45,000 students, staff and faculty, with more than 2.5 million total visits per year.

**Closed Session**
A motion was made by Dr. Prestage, and seconded by Mr. Clark, to go into closed session to establish the amount of compensation and other materials 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. The motion carried.

**Reconvene in Open Session**
After coming out of closed session, Chair Kelly announced the meeting in open session.

Dr. Prestage moved to approve the personnel items discussed in Closed Session related to the approval of two head coach employment agreements. Ms. Carter seconded the motion. The motion carried.

The committee discussed the topic of faculty salaries particularly in relation to the rank of full professor. Provost Arden and Associate Vice Chancellor for Human Resources Marie Williams discussed the process in place to develop faculty salary ranges and conversations the university is having about work force planning with respect to compensation and retirements. Chair Kelly noted this was an important topic that the committee will likely hear more about.

With no further business, Chair Kelly announced the meeting adjourned at 2:51 p.m.

Stan Kelly, Chair
Request to Establish MS in Foundations of Data Science
North Carolina State University

This request has been reviewed and approved by the appropriate campus committees and authorities.

Endorsed By:

Gregg Rothermel, Computer Science
Head, Department/Director of Graduate Program (Printed Name and Signature) 1/31/2019

Alina Chertock, Mathematics
Head, Department/Director of Graduate Program (Printed Name and Signature) 2/11/2019

Len Stefanski, Statistics
Head, Department/Director of Graduate Program (Printed Name and Signature) 2-11-19

Recommended By:
Douglas S. Reeves
Chair, College Graduate Studies Committee (Printed Name and Signature) 2.11.2019

A. L. Lloyd
Chair, College Graduate Studies Committee (Printed Name and Signature) 2.19.2019

Endorsed By:
Douglas S. Reeves
College Dean (Printed Name and Signature) 2-11-2019

John M. Blondin
College Dean (Printed Name and Signature) 2/19/19

Recommended By:
Thomas K. Miller
Vice Provost, DELTA (if DE degree) (Printed Name and Signature) 4/5/19

Approved By:
Peter J. Harries
Dean of the Graduate School (Printed Name and Signature) 5/13/19

Recommended By:
John K. Karkick
Dean's Council (Printed Name and Signature) 12/13/19

Approved By:
(12/17/19)
(revised August 2015)
Executive Vice Chancellor and Provost  
(Printed Name and Signature)  

Approved By:  

Chancellor  
(Printed Name and Signature)  

Date  

(changed August 2015)
The following approvals must be obtained prior to sending the Request to Establish a New Academic Degree Program to the UNC System Office.

Institution  North Carolina State University

Degree Program Title (e.g. M.A. in Biology)  Master of Science in Foundations of Data Science

Reviewed and Approved By (Name and title only. No signature required in this section.)
Check box to indicate participation in review. (Provost is required.)

☐ Provost:
☐ Faculty Senate Chair (as appropriate):
☐ Graduate Council (as appropriate):
☐ Undergraduate or Graduate Dean (as appropriate):
☐ Academic College Dean:
☐ Department Chair:
☐ Program Director/Coordinator:

New Academic Program Process

New academic programs are initiated and developed by the faculty members. Approval of the Request to Establish a New Academic Degree Program must be obtained from department chairs and college deans or equivalent administrators before submission to the UNC System Office review.

Directions: Please provide a succinct, yet thorough response to each section. Obtain the Provost’s signature and submit the proposal to the UNC System Vice President for Academic Program, Faculty, and Research, for review and approval by the UNC System Office. Once the Request to Establish is approved, UNC System Office staff can submit the proposal for review and approval by the UNC Board of Governors.
### Request to Establish a New Academic Degree Program

<table>
<thead>
<tr>
<th>Institution</th>
<th>North Carolina State University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joint Degree Program (Yes or No)? If so, list partner campus.</td>
<td>No</td>
</tr>
<tr>
<td>Degree Program Title (e.g. M.A. in Biology)</td>
<td>Master of Science in Foundations of Data Science Degree</td>
</tr>
<tr>
<td>CIP Code and CIP Title (May be found at <a href="http://nces.ed.gov">National Center for Education Statistics</a>)</td>
<td>30.3001</td>
</tr>
<tr>
<td>Require UNC Teacher Licensure Specialty Area Code (Yes or No). If yes, list suggested UNC Specialty Area Code(s).</td>
<td>No</td>
</tr>
<tr>
<td>Proposed Delivery Mode (campus, online, or site-based distance education). Add maximum % online, if applicable.</td>
<td>The degree will be offered both on-campus and online. Online delivery will be asynchronous with on-campus courses. Maximum % online: 100.</td>
</tr>
<tr>
<td>If requesting online delivery, indicate if program (or one or more courses) will be listed in UNC Online.</td>
<td>The program will be listed in UNC Online</td>
</tr>
<tr>
<td>If requesting site-based delivery, indicate address(es), city, county, state, and maximum % offered at site.</td>
<td>N/A</td>
</tr>
<tr>
<td>Proposed Term to Enroll First Students (e.g. Spring 2019)</td>
<td>Fall 2020</td>
</tr>
</tbody>
</table>

Do the following sections of your previously submitted and approved Letter of Intent to Develop a New Academic Degree Program document require any change or updated information? If yes, note the items and explain.

<table>
<thead>
<tr>
<th>Category</th>
<th>Yes or No</th>
<th>Explanation (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SACSCOC Liaison Statement</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Review Status (campus bodies that reviewed and commented on Letter of Intent)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Program Summary</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
I. Program Planning and Unnecessary Duplication:

a. List all other public and private four-year institutions of higher education in North Carolina currently operating programs similar to the proposed new degree program, including their mode of delivery. 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). Programs at UNC institutions may be found on the UNC System website.

<table>
<thead>
<tr>
<th>Institution</th>
<th>North Carolina State University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Title</td>
<td>Master of Science in Analytics (MSA)</td>
</tr>
<tr>
<td></td>
<td><strong>Institution</strong></td>
</tr>
<tr>
<td>Enrollment</td>
<td>North Carolina State University</td>
</tr>
<tr>
<td>Degrees Awarded</td>
<td>North Carolina State University</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Institution</th>
<th>UNC Charlotte</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Title</td>
<td>PSM in Data Science and Business Analytics (DSBA) ****numbers need update</td>
</tr>
<tr>
<td></td>
<td><strong>Institution</strong></td>
</tr>
<tr>
<td>Enrollment</td>
<td>UNC Charlotte</td>
</tr>
<tr>
<td>Degrees Awarded</td>
<td>UNC Charlotte</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Institution</th>
<th>Appalachian State University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Title</td>
<td>MS in Applied Data Analytics</td>
</tr>
<tr>
<td></td>
<td><strong>Institution</strong></td>
</tr>
<tr>
<td>Enrollment</td>
<td>Appalachian State University</td>
</tr>
<tr>
<td>Degrees Awarded</td>
<td>Appalachian State University</td>
</tr>
</tbody>
</table>
b. Describe what was learned in consultation with other programs regarding their experience with student demand and job placement. Indicate how their experiences influenced your enrollment projections.

Enrollments have grown significantly for the above programs in the last four years. Nevertheless, and given that the proposed program is different in focus than the above programs (as explained in part I.d below), we have been more conservative in terms of enrollment growth for the MS in Foundations of Data Science.

c. 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.

There are no identifiable opportunities for collaboration. All programs are designed as terminal Master’s degrees with specific curricula focused on data science applications, especially in the business realm. However, our focus is on the foundations of the discipline with an emphasis on the development of new data analytic tools.

d. Present documentation that the establishment of this program would not create unnecessary program duplication. In cases where other UNC institutions provided similar online, site-based distance education, or off-campus programs, directly address how the proposed program meets unmet need.

Although there exists a growing number of Data Science and/or Analytics programs, both within the UNC system and nationwide, the proposed program fills a void in this arena. Existing programs in Data Science and/or Analytics provide training in the usage of Data Science techniques and applications. The proposed program will instead target the rigorous underpinnings of Data Science providing a deep mathematical perspective into the underpinnings of the field. This will enable the graduates from this program to gather a more in-depth understanding of not only the usage, but also the development of the methods and the field itself. To the best of our knowledge, the MS in Statistics: Data Science program at Stanford University\(^1\) is the only other program whose curriculum aligns with our proposed training.

For completeness, however, we listed above (see I.a) three current programs in the UNC System that are most similar to the proposed program, noting that they are very distinct in their learning objectives and target audiences. Indeed, all three of the degrees, i.e., the App. State MS in Applied Data Analytics, the UNCC DSBA and the NC State MSA, have a pronounced emphasis towards business applications; this is true of most of a growing number of Data Science and/or Analytics programs across the nation. This is not surprising, as commercialization of analytics tools and techniques has been primarily driven by business applications. The proposed degree, on the other hand, will develop education capabilities for data science over a much broader disciplinary spectrum, including in the sciences and engineering disciplines. The need for such capabilities was

---

emphasized in a 2017 report by the National Academies of Sciences, Engineering and Medicine\(^2\) which states:

“Key concepts related to developing data acumen include the following:

- Mathematical foundations,
- Computational thinking,
- Statistical thinking,
- Data management,
- Data description and curation,
- Data modeling,
- Ethical problem solving,
- Communication and reproducibility, and
- Domain-specific considerations.”

With its strong programs in math, statistics, and computer science, NC State is well positioned to lead the nation in developing unique formal training in data science that covers all of the key concepts above, including domain-specific considerations. We note that NC State recently created a new PhD degree in Geospatial Analytics\(^3\), an interdisciplinary research program, that applies analytics to a specific discipline. This request to plan draws from existing NC State expertise to create a complementary educational program in Data Science with a science and engineering focus. We also expect that graduates of the proposed program will be qualified for further research in Geospatial Analytics or a range of other research programs in other science/engineering disciplines.

With respect to the existing NC State MSA program, we believe that the new degree does not represent an unnecessary duplication but rather a complementary educational offering that strengthens NC State’s offerings in the vibrant Data Science ecospace. Specifically, the new MSFDS program will differ from the MSA in several dimensions:

- **Educational approach:** Our approach is science-driven in that MSFDS students will interact significantly with research active faculty in the field of Data Science. Consequently, they will be exposed to the latest developments in this fast-developing field. By contrast, the MSA is largely business-driven and most instructors do not hold regular NC State faculty positions.

- **Focus and objectives:** MSFDS graduates will receive a well-rounded education in the foundations of data science that will go beyond application of existing methods or software and enable them to make strategic decisions about problem formulations, refine overall solution approaches, as well as adapt and optimize methodologies depending on specific application domains in science and engineering. The MSA, on the other hand, is more concerned with developing expertise in existing methods and concepts.

\(^2\) [http://www.nap.edu/24886](http://www.nap.edu/24886)

\(^3\) [https://cnr.ncsu.edu/geospatial/academics/phd-in-geospatial-analytics/](https://cnr.ncsu.edu/geospatial/academics/phd-in-geospatial-analytics/)
- **Content:** The proposed MSFDS degree is organized around standard academic courses that are, and will be, available to students in other disciplines and programs. This allows significant flexibility to students in the degree program. By contrast, the MSA does not use courses but modules; these modules are strictly reserved for the students in that program.

- **Delivery modalities:** MSFDS students will have the option of completing the program either full-time (i.e., in 3-4 semesters) or part-time, and either on-campus or online. MSA employs a three-semester (Summer II, Fall, and Spring), cohort-based model and is not available via distance education.

- **Prospective students:** Prospective MSFDS students will mostly come from the quantitative sciences and computer science. On the other hand, the largest group of students in the MSA arrives with backgrounds in business, economics, and finance.

We also note that the departments of Statistics and Computer Science currently offer Data Science concentrations within their Master’s programs. These concentrations are attached to disciplinary degrees, as opposed to the proposed multidisciplinary degree, and are thus very different in nature. Nevertheless, to simplify and clarify the various degree options pertaining to Data Science at NC State, we propose to terminate these concentrations once the new degree is in place.

e. Admission. List the following:

i. Admissions requirements for proposed programs (indicate minimum requirements and general requirements).

Given the interdisciplinary nature of the proposed program, we expect to attract talented students with a variety of backgrounds in the quantitative sciences, computer science and engineering.

Admissions to the MS program will follow all NC State Graduate School criteria including:

- Minimum undergraduate GPA of 3.0
- GRE scores (within the last five years), with admissions standards similar to that for other students in the Math, Statistics, and Computer Science masters degree programs
- iBT TOEFL scores of at least 80 overall (18 in each section) for international applicants.

In addition, we expect our applicants to (i) hold an undergraduate degree in a field connected to the quantitative sciences, computer science or engineering, and (ii) demonstrate analytical and computational skills through appropriate coursework, professional experience or undergraduate research.

Documents to be submitted for admission (listing)

- Official transcripts from all colleges/universities attended
- Personal statement
f. Degree requirements. List the following:

i. Total hours required. State requirements for Major, Minor, General Education, etc.

A minimum of 30 semester credit hours is required. At least 18 credit hours must be graduate credits earned while the student is enrolled in the graduate program. At least 18 credit hours of letter-graded courses ("A," "B," "C," etc.) must be included in the program. These must be NC State or inter-institutional courses. No more than 12 credit hours may be used to satisfy degree requirements for another Master’s degree program at NC State (unless the student did not complete the other program).

ii. Other requirements (e.g. residence, comprehensive exams, thesis, dissertation, clinical or field experience, “second major,” etc.).

None

g. Enrollment. Estimate the total number of students that would be enrolled in the program during the first year of operation and in each delivery mode (campus, online, site, etc.)

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Campus</th>
<th>Online</th>
<th>Site</th>
<th>Full-Time</th>
<th>Part-Time</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>15</td>
<td>10</td>
<td></td>
<td>Campus: 15</td>
<td>Online: 10</td>
</tr>
</tbody>
</table>

h. For graduate programs only, please also answer the following:

<table>
<thead>
<tr>
<th>Grades required</th>
<th>Students are expected to maintain a 3.000 GPA or above. Grades below C- do not count towards the completion of the requirements of the proposed degree.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount of transfer credit accepted</td>
<td>Transfers of credits will be governed by the posted rules of the Graduate School.</td>
</tr>
<tr>
<td>Language and/or research requirements</td>
<td>There are no specific language or research requirements.</td>
</tr>
<tr>
<td>Any time limits for completion</td>
<td>Students must complete all requirements for the master’s degree within 6 calendar years of the first course included in the degree.</td>
</tr>
</tbody>
</table>
i. For all programs, provide a degree plan showing the sequence of courses to be taken each year. List courses by title and number and indicate those that are required. Include an explanation of numbering system. Indicate new courses proposed. A possible format is offered below as an example. If your institution uses a different format that provides the required information, it may be submitted instead.

The proposed degree is organized around 7 core courses which all students in the program will have to pass; these include two each in Computer Science, Mathematics and Statistics and one in machine learning:

- Statistics core: (6 credit hours) ST 503 (Fundamentals of Linear Models and Regression), ST 517 (Applied Statistics)
- Mathematics core: (6 credit hours) MA 523 (Linear Transformation and Matrix Theory), MA 797 (Convex Optimization in Data Science)
- Computer science core: (6 credit hours) CSC 505 (Algorithms), CSC 540 (Databases)
- Machine learning core: (3 credit hours) choose one of: ST 563 (Statistical Learning) or CSC 522 (Automated Learning).

All the above courses are already in existence (MA 797 has been offered two times as a special topics course and has been submitted for approval as a regular course, MA 542).

The curriculum is completed through 3 additional courses (9 credit hours) chosen from a list of approved graduate electives for the degree (see below). The students will be given the opportunity to choose a concentration, if they so desire, in computer science, mathematics, statistics, or specific science or engineering application domains. In the case where a concentration is chosen, the three electives must be chosen in the corresponding field.

<table>
<thead>
<tr>
<th>Computer Science electives</th>
</tr>
</thead>
<tbody>
<tr>
<td>CSC 520                Artificial Intelligence I</td>
</tr>
<tr>
<td>CSC 541                Advanced Data Structures</td>
</tr>
<tr>
<td>CSC 720                Artificial Intelligence II</td>
</tr>
<tr>
<td>CSC 722                Advanced Topics in Machine Learning</td>
</tr>
<tr>
<td>CSC 742                Database Management Systems</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mathematics electives</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA 540                  Uncertainty Quantification</td>
</tr>
<tr>
<td>MA 580                  Numerical Analysis I</td>
</tr>
<tr>
<td>MA 784                  Nonlinear Equations and Unconstraint Optimization</td>
</tr>
<tr>
<td>MA 798                  Inverse Problems</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Statistics electives</th>
</tr>
</thead>
<tbody>
<tr>
<td>ST 534                    Applied Time Series</td>
</tr>
<tr>
<td>ST 537                    Applied Multivariate and Longitudinal Data Analysis</td>
</tr>
<tr>
<td>ST 540                    Applied Bayesian Analysis</td>
</tr>
<tr>
<td>ST 558                    Data Science for statisticians</td>
</tr>
</tbody>
</table>
II. Faculty

a. (For undergraduate and master’s programs) List the names, ranks and home department of faculty members who will be directly involved in the proposed program. The official roster forms approved by SACSCOC may be submitted. For master’s programs, state or attach the criteria that faculty must meet in order to be eligible to teach graduate level courses at your institution.

<table>
<thead>
<tr>
<th>Faculty Name</th>
<th>Rank</th>
<th>Tenure Home</th>
<th>College</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alen Alexanderian</td>
<td>Assistant Prof.</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Patrick Combettes</td>
<td>Professor</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Pierre Gremaud</td>
<td>Professor</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Ilse Ipsen</td>
<td>Professor</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Arvind Saibaba</td>
<td>Assistant Prof.</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Ralph Smith</td>
<td>Professor</td>
<td>Mathematics</td>
<td>COS</td>
</tr>
<tr>
<td>Souman Lahiri</td>
<td>Professor</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Arnab Maity</td>
<td>Associate Prof.</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Ryan Martin</td>
<td>Associate Prof.</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Herle McGowan</td>
<td>Teaching Assoc.</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Justin Post</td>
<td>Teaching Assoc.</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Brian Reich</td>
<td>Professor</td>
<td>Statistics</td>
<td>COS</td>
</tr>
<tr>
<td>Min Chi</td>
<td>Assistant Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Rada Chirkova</td>
<td>Professor</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Steffen Heber</td>
<td>Associate Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Collin Lynch</td>
<td>Assistant Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Kemafor Ogan</td>
<td>Associate Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Thomas Price</td>
<td>Assistant Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Nagiza Samatova</td>
<td>Professor</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Matthias Stallmann</td>
<td>Professor</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Blair Sullivan</td>
<td>Associate Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
<tr>
<td>Raju Vatsavai</td>
<td>Associate Prof.</td>
<td>Computer Science</td>
<td>COE</td>
</tr>
</tbody>
</table>

Membership in the Graduate Faculty is governed by REG 02.40.01.

b. (For doctoral programs) List the names, ranks, and home department of each faculty member who will be directly involved in the proposed program. The official roster forms approved by SACSCOC may be submitted. Provide complete information on each faculty member’s education, teaching and research experience, research funding, publications, and experience directing student research including the number of theses and dissertations directed.

N/A

c. Estimate the need for new faculty for the proposed program over the first four years. If the teaching responsibilities for the proposed program will be absorbed in part or in whole by the present faculty, explain how this will be done without weakening existing programs.
Two faculty positions will be created to develop this degree program, provide teaching and advising capacity for the students that will be enrolled, and offer new courses. Hiring the new faculty will ensure that all core courses in the new program are regularly taught and that course sizes remain at reasonable levels to avoid affecting the quality of this program. These additional resources will be easily supported by the expected new enrollments. However, if the growth in enrollment exceeds our expectations, it may be necessary to hire additional tenure-track or teaching faculty.

d. Explain how the program will affect faculty activity, including course load, public service activity, and scholarly research.

The program will rely exclusively on existing courses or on courses in advanced stages of development. No significant impact is therefore expected on faculty teaching load (unless enrollment growth exceeds our expectations). Increased enrollment will be accommodated through additional teaching assistantships attached to the proposed program (refer to the attached budget). All core courses but one and most electives are already available online. It is however expected that faculty involved in the program will have to update some of the online material, mostly before the program’s start but also on a continuing basis through the life of the program. Funds have been budgeted to that purpose (refer to Part III.c and the attached budget).

III. Delivery Considerations. Provide assurances of the following (not to exceed 250 words per lettered item):

a. Access (online, site-based distance education, and off-campus programs). Students have access to academic support services comparable to services provided to on-campus students and appropriate to support the program, including admissions, financial aid, academic advising, delivery of course materials, and placement and counseling.

Engineering Online is one of the top ranked online engineering graduate programs in the country. Students receive excellent assistance with their needs, including help with registration, academic advising, assistance from instructors, professional quality recordings of lectures, a help line for technical problems, electronic access to all course materials, arrangement of exam proctors, and access to all software and computing resources available to on campus students. Admissions are handled the same as for on campus students, through an online web portal. Financial aid is available through the university's Financial Aid office. Student services are gathered into an online, self-service hub (https://studentservices.ncsu.edu/). Delivery of course materials also is handled online, through the Moodle learning management system and Mediasite, accessible via a web portal at https://wolfware.ncsu.edu/. Academic advising is provided by the Directors of Graduate Program for each individual program, as is the case for on-campus students.

The teaching will also be supported by five additional teaching assistants. These assistants will be assigned to courses being taken by distance education students and will be part of the academic support for those students, by holding office hours (reachable by phone or videoconference for distance students), answering questions by email or message board, etc. These additional resources will be easily supported by the expected new enrollments.
b. **Curriculum delivery** (online and site-based distance education only). The distance education technology to be used is appropriate for the program and compatible with its nature and objectives. The content, methods and technology for each online course provide for adequate interaction between instructor and students and among students.

The online courses will be identical to the corresponding on-campus courses and will be delivered to distance students via either Engineering Online (Computer Science courses) or DELTA (Distance Education and Learning Technology Applications; Math and Statistics courses). These online courses are already available to distance students in the Computer Science, Mathematics, and Statistics programs. Specifically, the online courses will use the Mediasite platform for classroom and content capture and streaming to distance students, and the Moodle course management system for interaction between instructor and students.

c. **Faculty development** (online and site-based distance education only). Faculty engaged in program delivery receive training appropriate to the distance education technologies and techniques used.

Both Engineering Online and DELTA regularly offer workshops, seminars, and training sessions on distance education technologies and techniques, including Mediasite and Moodle. Faculty engaged in online course delivery will be required to complete such training the first time they offer an online course and periodically thereafter.

d. **Security** (online and site-based distance education only). The institution authenticates and verifies the identity of students and their work to assure academic honesty/integrity. The institution assures the security of personal/private information of students enrolled in online courses.

As mentioned above, the online courses are already available to students in the Computer Science, Mathematics, and Statistics programs, and meet the University’s requirements regarding authentication, academic integrity, security, and privacy by applying appropriate best practices. The new program will work with the corresponding departments to ensure that any new online courses will follow these same practices.

### IV. Library

a. Provide a statement as to the adequacy of present library holdings for the proposed program to support the instructional and research needs of this program.

The existing library infrastructure at NC State is comprehensive and state-of-the-art. The expansive visualization facilities, literature, data collection, and staff of the Hunt and D.H. Hill libraries provide an outstanding environment and resources for study in this field.

b. If applicable, state how the library will be improved to meet new program requirements for the next four years. The explanation should discuss the need for books, periodicals, reference material, primary source material, etc. What additional library support must be added to areas supporting the proposed program?
The existing library infrastructure is comprehensive and will be able to provide us with the necessary resources for the foreseeable future.

c. Discuss the use of other institutional libraries.

Inter-institutional library resources are readily available through existing relationships and agreements with other university libraries within the UNC system as well as private institutions, such as Duke, and will be leveraged in coursework and research projects for this program.

d. For doctoral programs, provide a systematic needs assessment of the current holdings to meet the needs of the program.

N/A.

V. Facilities and Equipment

a. Describe facilities available for the proposed program.

D.H. Hill and Hunt Libraries on campus provide multiple workstations, collaborative spaces, and visualization studios for teaching and research.

b. Describe the effect of this new program on existing facilities and indicate whether they will be adequate, both at the commencement of the program and during the next decade.

We expect to be able to absorb the addition of 30 students taking various combinations of existing on-campus sections with current resources.

c. Describe information technology and services available for the proposed program.

The students will have access to all the necessary software through NC State’s site licenses. Online courses and corresponding web access and proctoring will be handled through NC State’s DELTA and Engineering Online services.

d. Describe the effect of this new program on existing information technology and services and indicate whether they will be adequate, both at the commencement of the program and during the next decade.

Given the resources already in place, we do not expect this program to have a significant impact on the existing IT infrastructure and services at least for the first few years. If enrollment ultimately exceeds expectations, this may need to be re-evaluated.

VI. Administration

a. Describe how the proposed program will be administered, giving the responsibilities of each department, division, school, or college. Explain any inter-departmental or inter-unit administrative plans. Include an organizational chart showing the "location" of the proposed new program.
The proposed MS program will be administered by a Program Director. It is expected that the Director will have Computer Science, Mathematics or Statistics as his/her tenure home. The Director will be compensated through 1 summer month of salary and a yearly 1 course buyout. The Director will be assisted by a Graduate Service Coordinator (0.5 FTE). These additional resources will be easily supported by the expected new enrollments.

b. For joint programs only, include documentation that, at minimum, the fundamental elements of the following institutional processes have been agreed to by the partners:

- Admission process
- Registration and enrollment process for students
- Committee process for graduate students
- Plan for charging and distributing tuition and fees
- Management of transcripts and permanent records
- Participation in graduation
- Design of diploma

VII. Additional Program Support

a. Will additional administrative staff, new master’s program graduate student assistantships, etc. be required? If so, 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 Graduate Service Coordinator (0.5 FTE) will assist the Graduate Program Director. In addition, the teaching will be supported by three teaching assistantships (0.5 FTE each), one in each of Computer Science, Mathematics and Statistics. The program will also make $20K available for course buyout to relevant faculty fellows interested in developing or updating courses for the program. These additional resources will be easily supported by the expected new enrollments.

VIII. Accreditation and Licensure

a. Where appropriate, describe how all licensure or professional accreditation standards will be met, including required practica, internships, and supervised clinical experiences.

N/A.
b. Indicate the names of all accrediting agencies normally concerned with programs similar to the one proposed. Describe plans to request professional accreditation.

N/A.

c. If the new degree program meets the SACSCOC definition for a substantive change, what campus actions need to be completed by what date in order to ensure that the substantive change is reported to SACSCOC on time?

N/A

d. If recipients of the proposed degree will require licensure to practice, explain how program curricula and title are aligned with requirements to “sit” for the licensure exam.

N/A.

IX. Supporting Fields

a. Discuss the number and quality of lower-level and cognate programs for supporting the proposed degree program.

There are no lower-level programs supporting this program. Computer Science, Mathematics and Statistics will be valuable in supporting this program in terms of faculty serving as instructors and advisors to students.

b. Are other subject-matter fields at the proposing institution necessary or valuable in support of the proposed program? Is there needed improvement or expansion of these fields? To what extent will such improvement or expansion be necessary for the proposed program?

The recognized strengths of NC State in quantitative sciences and engineering will be valuable to the proposed program which will both benefit from them and contribute to them.

X. Additional Information. Include any additional information deemed pertinent to the review of this new degree program proposal.

XI. Budget

a. Complete and insert the Excel budget template provided showing incremental continuing and one-time costs required each year of the first four years of the program. Supplement the template with a budget narrative for each year.

b. Based on the campus’ estimate of available existing resources or expected non-state financial resources that will support the proposed program (e.g., federal support, private sources, tuition revenue, etc), will the campus:
i. Seek enrollment increase funds or other additional state appropriations (both one-time and recurring) to implement and sustain the proposed program? If so, please elaborate.

Enrollment increase funds are requested to sustain this program. Combined with differential tuition, the funds generated by this program are more than sufficient to pay the projected costs.

ii. Require differential tuition supplements or program-specific fees? If so, please elaborate.

   1. State the amount of tuition differential or program-specific fees that will be requested.

      A Request for Authorization of Premium Tuition was filed through the appropriate channels at NC State during Fall 2018. Our request of a $2,800 per semester premium tuition has been approved by the NC State Board of Trustees.

   2. Describe specifically how the campus will spend the revenues generated.

      As shown in the attached budget, differential tuition funds will cover compensation for the Graduate Program Director and the Graduate Services Coordinator, part of the faculty fellow funds as well as some smaller program related expenses. Five Teaching Assistants will be hired to help with the instructional duties in this program. A portion of the differential tuition is reserved for financial aid for students. In addition, two faculty positions will be created to develop this degree program, provide teaching and advising capacity for the students that will be enrolled, and offer new courses.

   3. Does the campus request the tuition differential or program-specific fees be approved by the Board of Governors prior to the next Tuition and Fee cycle?

      The Premium Tuition request approved by the NC State Board of Trustees will be submitted to the UNC-SO simultaneously with the Request to Establish in hopes that they will be approved by the Board of Governors at the same time.

c. If enrollment increase funding, differential tuition, or other state appropriations noted in the budget templates are not forthcoming, can the program still be implemented and sustained and, if so, how will that be accomplished? Letters of commitment from the Chancellor and/or Chief Academic Officer should be provided.

      The program cannot be implemented without the support noted in the budget templates.

XII. Evaluation Plans
a. What student learning outcomes will be met by the proposed program and how will student proficiency be measured? These items may be updated as necessary to meet student and program needs.

<table>
<thead>
<tr>
<th>Program Student Learning Outcomes</th>
<th>Measurement Instrument</th>
<th>Criteria for Proficiency (score, percentage, level of performance, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design efficient data modeling and processing methods by using mathematical and algorithmic tools</td>
<td>Selected problems on the Final exams in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Construct conceptual data models, optimize query languages, and implement principles of information integrity, security and confidentiality</td>
<td>Selected problems on the Final exams in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Quantify appropriate measures of uncertainty associated with the methods of analysis</td>
<td>Selected problems on the Final exams in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Perform core predictive/descriptive data mining tasks and design and implement strategies for real-world data mining problems</td>
<td>Selected problems on the Final exams in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Develop appropriate data structures and algorithm design techniques including recursion, divide-and-conquer, distributed and parallel optimization, and dynamic programming for analysis of emerging data types</td>
<td>Projects in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Apply statistical learning principles to a variety of data analysis problems</td>
<td>Projects in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
<tr>
<td>Use relevant software packages and tools and gain insight into how knowledge discovery and data use occurs in practice</td>
<td>Projects in corresponding courses</td>
<td>A score of 80% or higher</td>
</tr>
</tbody>
</table>

b. The plan and schedule to evaluate the proposed new degree program prior to the completion of its fourth year of operation (to include types of measurement, frequency, and scope of program review).

The program will initially be assessed after Year 1 by consulting with the initial cohort of students, as well as faculty involved to determine if the various elements of the program are achieving not only the assessment goals, but also to ensure that students and faculty believe that the program is functioning as designed. The program will again be assessed at Years 2, 3, and 4 to examine student
progress and assess the effect any modifications may have had after the Year 1 and subsequent reviews. At the end of Year 4, we will have a continuous assessment plan in place to coincide with the Graduate School external program assessment schedule to assess the program’s objectives and student outcomes on a rotating basis as required by the Provost’s Office.

XIII. Attachments. Attach the final approved Letter of Intent as the first attachment following this document.

This proposal to establish a new program has been reviewed and approved by the appropriate campus committees and authorities.

<table>
<thead>
<tr>
<th>Position Title</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chancellor</td>
<td>[Signature]</td>
<td>1/15/2020</td>
</tr>
<tr>
<td>Chancellor (Joint Partner Campus)</td>
<td>[Signature]</td>
<td>1/15/2020</td>
</tr>
<tr>
<td>Provost</td>
<td>[Signature]</td>
<td>1/15/2020</td>
</tr>
</tbody>
</table>
Degree Name Foundations of Data Science  
ON-CAMPUS STUDENT CREDIT-HOUR (SCH) PRODUCTION OVER FOUR YEARS*

INSTRUCTIONAL Enrollment increase only

<table>
<thead>
<tr>
<th>Year</th>
<th>Full-time</th>
<th>Credits</th>
<th>SCH</th>
<th>Part-time</th>
<th>Credits</th>
<th>SCH</th>
<th>Total SCH</th>
<th>SCH each year</th>
<th>Category #I &amp; III</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>15</td>
<td>18</td>
<td>270</td>
<td>0</td>
<td>9</td>
<td>0</td>
<td>270</td>
<td>$148,770.00</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>20</td>
<td>18</td>
<td>360</td>
<td>0</td>
<td>9</td>
<td>0</td>
<td>528</td>
<td>$290,928.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>total</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>14</td>
<td>12</td>
<td>168</td>
<td>0</td>
<td>9</td>
<td>0</td>
<td>666</td>
<td>$366,966.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>total</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>0</td>
<td>18</td>
<td>0</td>
<td></td>
<td>9</td>
<td>0</td>
<td>53</td>
<td>$449,616.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>totals</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>fourth-yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>total</td>
<td>$1,256,280.00</td>
<td></td>
</tr>
</tbody>
</table>

* Colleges will receive 50% of INSTRUCTIONAL SALARY enrollment increase $ from Provost
$/SCH INSTRUCTIONAL Requirement calculated as the average of Cat I (576.98) and III (525.21) and assumes SCHs split 50:50. This represents potential new budget available for Colleges to invest.
## Degree Name - Foundations of Data Science

### DE STUDENT CREDIT-HOUR (SCH) PRODUCTION OVER FOUR YEARS

<table>
<thead>
<tr>
<th>Year</th>
<th>On-Campus credits</th>
<th>SCH</th>
<th>DE credits</th>
<th>SCH</th>
<th>total SCH each year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>18</td>
<td>0</td>
<td>10</td>
<td>9</td>
<td>90</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$35,910.00</td>
</tr>
<tr>
<td>2</td>
<td>18</td>
<td>0</td>
<td>14</td>
<td>9</td>
<td>126</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$126</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$86,184.00</td>
</tr>
<tr>
<td>3</td>
<td>18</td>
<td>0</td>
<td>17</td>
<td>9</td>
<td>153</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$153</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$140,049.00</td>
</tr>
<tr>
<td>4</td>
<td>18</td>
<td>0</td>
<td>20</td>
<td>9</td>
<td>180</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$180</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$187,929.00</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$450,072.00</td>
</tr>
</tbody>
</table>

Note: Assumes 50% in-state (fundable) and 50% out-of-state (non-fundable).
College actually receive 80% of $/SCH Total Academic Requirement (Instructional Salary plus Other @ 44.89%) less 11.28% to Benefits Pool. Calculated as the average of Cal I (835.99) and III (760.98) with SCHs split 50:50 but then benefits charged only to salary lines (i.e. did not use 11.28%).
# Degree Name - Foundations of Data Science

DE OUT-OF_STATE STUDENT TUITION GENERATED OVER FOUR YEARS

<table>
<thead>
<tr>
<th>Category # I &amp; III</th>
<th>On-year</th>
<th>credits</th>
<th>SCH</th>
<th>DE credits</th>
<th>SCH</th>
<th>total SCH each year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Campus</td>
<td>18</td>
<td>0</td>
<td>10</td>
<td>9</td>
<td>90</td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>0</td>
<td>0</td>
<td>24</td>
<td>9</td>
<td>216</td>
</tr>
<tr>
<td></td>
<td>In-state</td>
<td>50%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$</td>
<td>752.11</td>
<td></td>
<td></td>
<td></td>
<td>$33,845</td>
</tr>
<tr>
<td>2</td>
<td>first-yr</td>
<td>18</td>
<td>0</td>
<td>14</td>
<td>9</td>
<td>126</td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>18</td>
<td>0</td>
<td>10</td>
<td>9</td>
<td>90</td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>0</td>
<td>0</td>
<td>24</td>
<td>9</td>
<td>216</td>
</tr>
<tr>
<td></td>
<td>$</td>
<td>81,228</td>
<td></td>
<td></td>
<td></td>
<td>$131,995</td>
</tr>
<tr>
<td>3</td>
<td>first-yr</td>
<td>18</td>
<td>0</td>
<td>17</td>
<td>9</td>
<td>153</td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>18</td>
<td>0</td>
<td>12</td>
<td>9</td>
<td>108</td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td>0</td>
<td>18</td>
<td>10</td>
<td>9</td>
<td>90</td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>0</td>
<td>18</td>
<td>39</td>
<td>9</td>
<td>351</td>
</tr>
<tr>
<td></td>
<td>$</td>
<td>131,995</td>
<td></td>
<td></td>
<td></td>
<td>$131,995</td>
</tr>
<tr>
<td>4</td>
<td>first-yr</td>
<td>18</td>
<td>0</td>
<td>20</td>
<td>9</td>
<td>180</td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>18</td>
<td>0</td>
<td>17</td>
<td>9</td>
<td>153</td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td>0</td>
<td>18</td>
<td>12</td>
<td>9</td>
<td>108</td>
</tr>
<tr>
<td></td>
<td>fourth-yr</td>
<td>0</td>
<td>18</td>
<td>10</td>
<td>3</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>totals</td>
<td>0</td>
<td>59</td>
<td></td>
<td></td>
<td>471</td>
</tr>
<tr>
<td></td>
<td>$</td>
<td>177,122</td>
<td></td>
<td></td>
<td></td>
<td>$177,122</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>1128</td>
<td></td>
<td></td>
<td></td>
<td>$424,190</td>
</tr>
</tbody>
</table>

Note: Assumes 50% in-state (fundable) and 50% out-of-state (non-fundable).
College actually receive 80% of $/SCH Total Academic Requirement (Instructional Salary plus Other @ 44.89%) less 11.28% to Benefits Pool. Calculated as the average of Cat I (835.99) and III (760.98) with SCHs split 50:50 but then benefits charged only to salary lines (i.e. did not use 11.28%).
For 19-20, purpose 101 was $752.11 per graduate non-fundable SCH. (Of which DELTA allocated 80%, net of benefits at 11.28%, or $533.82 to colleges per graduate non-fundable SCH.)
**Degree Name - Foundations of Data Science**

TOTAL STUDENT CREDIT-HOUR (SCH) PRODUCTION OVER FOUR YEARS*

Internal use only

Ref: [http://oipr.ncsu.edu/ir/fin](http://oipr.ncsu.edu/ir/fin)

<table>
<thead>
<tr>
<th>Year</th>
<th>Full-time</th>
<th>Credits</th>
<th>SCH</th>
<th>Part-time</th>
<th>Credits</th>
<th>SCH</th>
<th>Total SCH Each Year</th>
<th>Category # I &amp; III</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>15</td>
<td>18</td>
<td>270</td>
<td>10</td>
<td>9</td>
<td>360</td>
<td>$218,524.95</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td>14</td>
<td>9</td>
<td>360</td>
<td>458,339.88</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td>20</td>
<td>18</td>
<td>360</td>
<td>14</td>
<td>9</td>
<td>126</td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>14</td>
<td>12</td>
<td>168</td>
<td>10</td>
<td>9</td>
<td>90</td>
<td></td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>34</td>
<td>528</td>
<td>24</td>
<td>216</td>
<td>744</td>
<td>$458,339.88</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
<td>17</td>
<td>9</td>
<td>450</td>
<td>639,010.31</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td>25</td>
<td>18</td>
<td>450</td>
<td>17</td>
<td>9</td>
<td>153</td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>18</td>
<td>12</td>
<td>216</td>
<td>12</td>
<td>9</td>
<td>108</td>
<td></td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>10</td>
<td>9</td>
<td>90</td>
<td></td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>43</td>
<td>666</td>
<td>39</td>
<td>351</td>
<td>1017</td>
<td>$639,010.31</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td>12</td>
<td>9</td>
<td>540</td>
<td>814,666.91</td>
<td></td>
</tr>
<tr>
<td></td>
<td>first-yr</td>
<td>30</td>
<td>18</td>
<td>540</td>
<td>20</td>
<td>9</td>
<td>180</td>
<td></td>
</tr>
<tr>
<td></td>
<td>second-yr</td>
<td>23</td>
<td>12</td>
<td>276</td>
<td>17</td>
<td>9</td>
<td>153</td>
<td></td>
</tr>
<tr>
<td></td>
<td>third-yr</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>12</td>
<td>9</td>
<td>108</td>
<td></td>
</tr>
<tr>
<td></td>
<td>fourth-yr</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>10</td>
<td>3</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td></td>
<td>totals</td>
<td>53</td>
<td>816</td>
<td>59</td>
<td>471</td>
<td>1287</td>
<td>$814,666.91</td>
<td></td>
</tr>
</tbody>
</table>

Total

3408 $2,130,542.04

$/SCH Combined (DE Total Academic Requirement and On-Campus Instructional Requirement).
Colleges receive 80% of DE Total Academic Req $ and 50% of On-Campus Instructional Salary $.
## SUMMARY OF ESTIMATED ADDITIONAL COSTS FOR PROPOSED PROGRAM

**INSTITUTION**
NC State University

**Program (CIP, Name Level)**

**Degree(s) to be Granted**

**Projected annual Full-Time (18 credits)**
15

**Projected annual part-time (9 credits)**
10

**Projected annual DE SCH**
90

**Differential tuition requested per student per academic yr**
$5,600

**Projected annual differential tuition**
$150,706

**Projected annual differential tuition for financial aid**
$34,720

**Differential tuition remainder**
$115,986

**Assumptions**

1. **Enrollment**
   - admissions continuing
   - full-time
   - part-time
   - total new SCH
   - Enrolment increase funds Purpose 101
   - Source of Funds
   - YEAR 1

2. **Student support**
   - TAships
   - Out of state admissions

### Cost Description

<table>
<thead>
<tr>
<th>Description</th>
<th>Number</th>
<th>Provost Enrollment Increase $</th>
<th>DELTA Enrollment Increase $**</th>
<th>Non-Fundable DE Tuition</th>
<th>Contracts &amp; Grants</th>
<th>Other (Premium)</th>
<th>Additional Funding Needed***</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AVAILABLE BUDGET</strong></td>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$143,062</td>
</tr>
<tr>
<td><strong>12XX SPA salary</strong></td>
<td>0.500</td>
<td>-</td>
<td>-</td>
<td>10,000</td>
<td>100,000</td>
<td>0</td>
<td>0</td>
<td>25,000</td>
</tr>
<tr>
<td>Graduate Service Coordinator</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 12XX</strong></td>
<td>0.500</td>
<td></td>
<td>15,000</td>
<td>10,000</td>
<td>100,000</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>13XX EPA salaries</strong></td>
<td>0.200</td>
<td>-</td>
<td>41,667</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>director of graduate program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>faculty fellow</td>
<td>0.100</td>
<td>-</td>
<td>4,529</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Position title</strong></td>
<td>0.000</td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Student Assistants @ $22K</td>
<td>2.000</td>
<td>-</td>
<td>22,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 13XX</strong></td>
<td>2.300</td>
<td>-</td>
<td>22,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>18XX Fringes</strong></td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty/Staff @ 27%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Student Assistants @ 9.5%</td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 18XX</strong></td>
<td></td>
<td>-</td>
<td>4,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>23,403</td>
</tr>
<tr>
<td><strong>2-5XX Operating</strong></td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copying/Postage/Office Supplies</td>
<td>4,500</td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>-</td>
<td>-</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 2-5XX</strong></td>
<td></td>
<td>-</td>
<td>4,500</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>6XX Graduate Student Support Plan (GSSP)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RA/TA Health Insurance</td>
<td>2</td>
<td>-</td>
<td>2,504</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5,008</td>
</tr>
<tr>
<td>In-State Tuition</td>
<td>2</td>
<td>-</td>
<td>9,095</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>18,190</td>
</tr>
<tr>
<td>Tuition Remission</td>
<td>1</td>
<td>-</td>
<td>17,326</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>17,326</td>
</tr>
<tr>
<td>Tuition Remission Matching @ 25%</td>
<td></td>
<td>-</td>
<td>11,599</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 6XX</strong></td>
<td></td>
<td></td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>40,524</td>
</tr>
<tr>
<td><strong>TOTAL COSTS</strong></td>
<td></td>
<td></td>
<td>$23,250</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$183,623</td>
</tr>
</tbody>
</table>

*Funding is done 1 year in the areas so enrollment increase generated in Yr 1 is available starting in Yr 2. 50% of INSTRUCTIONAL SALARY enrollment increase funding distributed to Colleges. Colleges must commit these funds to the program.

** Funding is done 1 year in the areas so 50% of Total Academic Requirement enrollment increase generated in Yr 1 is available starting in Yr 2 from DELTA.

***Negotiated with College Dean(s).

Value of G22 cannot exceed value of G12.

Year 1. DEE program enhancement fee (PEF) should be 16 * $1500 = $24,000 - $19,000 = $5000. $5000 for the two colleges. The PEF must be used for instruction covered by tuition. Therefore, it has not been included in these budget calculations.

### Assumptions

<table>
<thead>
<tr>
<th>Description</th>
<th>Rate</th>
<th>Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>RA/TA Health Insurance @</td>
<td>2,504</td>
<td>[<a href="https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/">https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/</a>]</td>
</tr>
<tr>
<td>In-State Tuition @</td>
<td>5,095</td>
<td>[<a href="https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/">https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/</a>]</td>
</tr>
<tr>
<td>Tuition Remission</td>
<td>17,326</td>
<td>[<a href="https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/">https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/</a>]</td>
</tr>
<tr>
<td>Tuition Remission Matching @ 25% of TR</td>
<td>4,332</td>
<td>[<a href="https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/">https://studentcollections.ncsu.edu/your-money/tuition-fees/graduate-students/</a>]</td>
</tr>
</tbody>
</table>
### SUMMARY OF ESTIMATED ADDITIONAL COSTS FOR PROPOSED PROGRAM

**INSTITUTION**: NC State University  
**Program (CIP, Name Level)**:  
**Desire(s) to be Granted**:  
**Projected annual Full-Time (18 credits)**: 20  
**Projected annual part-time (12 credits)**: 14  
**Projected annual DE SCH**: 216  
**Differential tuition requested per student per academic yr**: $5,600  
**Projected annual differential tuition**: $230,094  
**Projected annual differential tuition for financial aid**: $34,720  
**Differential tuition remainder**: $195,374

#### Assumptions

<table>
<thead>
<tr>
<th>Source of Funds</th>
<th>YEAR 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cost Description</strong></td>
<td><strong>Number</strong></td>
</tr>
<tr>
<td><strong>AVAILABLE BUDGET</strong></td>
<td></td>
</tr>
<tr>
<td><strong>12XX SPA salary</strong></td>
<td>1.000</td>
</tr>
<tr>
<td>Graduate Services Coordinator</td>
<td></td>
</tr>
<tr>
<td>TOTAL 12XX</td>
<td>1.000</td>
</tr>
<tr>
<td><strong>13XX EPA salaries</strong></td>
<td></td>
</tr>
<tr>
<td>director of graduate programs</td>
<td>0.200</td>
</tr>
<tr>
<td>faculty rent</td>
<td>0.500</td>
</tr>
<tr>
<td>faculty hire 1</td>
<td>0.000</td>
</tr>
<tr>
<td>Graduate Student Assistants @ 25%</td>
<td>3.000</td>
</tr>
<tr>
<td>TOTAL 13XX</td>
<td>3.700</td>
</tr>
<tr>
<td><strong>18XX Fringes</strong></td>
<td></td>
</tr>
<tr>
<td>Faculty/Staff @ 27%</td>
<td>6.100</td>
</tr>
<tr>
<td>Graduate Student Assistants @ 9.5%</td>
<td>2.000</td>
</tr>
<tr>
<td>TOTAL 18XX</td>
<td>10.190</td>
</tr>
<tr>
<td><strong>2-5XXX Operating</strong></td>
<td></td>
</tr>
<tr>
<td>Copying/Postal/Office Supplies</td>
<td>-</td>
</tr>
<tr>
<td>Travel</td>
<td>-</td>
</tr>
<tr>
<td>General Services</td>
<td>-</td>
</tr>
<tr>
<td>Other</td>
<td>-</td>
</tr>
<tr>
<td>TOTAL 2-5XX</td>
<td>-</td>
</tr>
<tr>
<td><strong>6XX Graduate Student Support Plan (GSSP)</strong></td>
<td></td>
</tr>
<tr>
<td>RA/TA Health Insurance</td>
<td>3</td>
</tr>
<tr>
<td>In-State Tuition</td>
<td>3</td>
</tr>
<tr>
<td>TA/RA Remission</td>
<td>1</td>
</tr>
<tr>
<td>TOTAL 6XX</td>
<td>11,599</td>
</tr>
<tr>
<td><strong>TOTAL COSTS</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>73,789</td>
</tr>
</tbody>
</table>

*50% of INSTRUCTIONAL SALARY enrollment increase funding from year 1 distributed to Colleges. Colleges must commit these funds to the program.  
**80% of Total Academic Requirement enrollment increase funding from year 1 from DELTA.  
**Negotiated with College Deans**  

Value in OSS cannot exceed value in 812  

Year 2: COE program enhancement fee (PEF) should be 34 * $1950 = 66,140 + 14 * $456.12 = $67,386 for the two colleges. The PEF is not used for instruction covered by tuition.  
Therefore, it has not been included in these budget calculations.

#### Assumptions

<table>
<thead>
<tr>
<th>Source of Funds</th>
<th><strong>Rate</strong></th>
<th><strong>Link</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>RA/TA Health Insurance</td>
<td>$2,504</td>
<td><a href="https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/">https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/</a></td>
</tr>
<tr>
<td>In-State Tuition</td>
<td>$9,095</td>
<td><a href="https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/">https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/</a></td>
</tr>
<tr>
<td>Remission [off]</td>
<td>$17,326</td>
<td><a href="https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/">https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/</a></td>
</tr>
<tr>
<td>Remission Matching [25% of TR]</td>
<td>$4,332</td>
<td><a href="https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/">https://studentaffairs.nscu.edu/our-money/financial-aid/graduate-students/</a></td>
</tr>
</tbody>
</table>
### SUMMARY OF ESTIMATED ADDITIONAL COSTS FOR PROPOSED PROGRAM

**INSTITUTION**

NC State University  
Date: 12-Aug-19

<table>
<thead>
<tr>
<th>Program (CIP, Name Level)</th>
<th>Date: 12-Aug-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree(s) to be Granted</td>
<td>Program Year: Year 3 (2011X-201X)</td>
</tr>
</tbody>
</table>

- Projected annual Full-Time (18 credits) 25  
- Projected annual part-time (12 credits) 16  
- Projected DE SCH 351  
- Differential tuition requested per student per academic yr $5,600  
- Projected annual differential tuition $311,953  
- Projected annual differential tuition for financial aid $47,459  
- Differential tuition remainder $264,484

#### Assumptions

1. **Enrollment**
   - **full-time**: admissions 25, continuing 18, Student Credit Hours 966  
   - **part-time**: admissions 17, continuing 22, Student Credit Hours 351  
   - **TOTAL new SCH**: 1017  
   - **Enrollment increase funds Purpose 101**: $639,910

2. **Student support**
   - **TAships**: 0  
   - **Out of state admissions**: 0

#### Cost Description

<table>
<thead>
<tr>
<th>Cost Description</th>
<th>Number</th>
<th>Proven Enrollment Increase **</th>
<th>DELTA Enrollment Increase ***</th>
<th>Non-Fundable DE Tuition</th>
<th>Contracts &amp; Grants</th>
<th>Other (Premium)</th>
<th>Additional Funding Needed ***</th>
<th>Total</th>
<th>Total New This Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AVAILABLE BUDGET</strong></td>
<td>145,464</td>
<td>$68,047</td>
<td>105,956</td>
<td>$0</td>
<td>264,464</td>
<td></td>
<td>$584,461</td>
<td></td>
<td>$221,022</td>
</tr>
<tr>
<td>12XX 1% SPA salary</td>
<td>1,000</td>
<td>10,000</td>
<td></td>
<td>40,000</td>
<td>50,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL 12XX</td>
<td>1,000</td>
<td>10,000</td>
<td></td>
<td>40,000</td>
<td>50,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13XX 1% SPA salary</td>
<td>0,200</td>
<td>10,000</td>
<td></td>
<td>41,667</td>
<td>41,667</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>director of graduate programs</td>
<td>0,500</td>
<td>23,000</td>
<td>81,000</td>
<td>20,000</td>
<td>20,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>faculty fellow</td>
<td>1,000</td>
<td>23,000</td>
<td></td>
<td>9,000</td>
<td>113,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>faculty hire 1</td>
<td>0,000</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Student Assistants @ $22K</td>
<td>4,000</td>
<td>22,000</td>
<td>69,000</td>
<td>88,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL 13XX</td>
<td>5,700</td>
<td>23,000</td>
<td>81,000</td>
<td>136,867</td>
<td>292,667</td>
<td></td>
<td>135,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18XX Fringes</td>
<td>6,210</td>
<td>24,570</td>
<td>29,860</td>
<td>60,660</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Student Assistants @ 9.5%</td>
<td>0</td>
<td>2,090</td>
<td>8,270</td>
<td>8,360</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL 18XX</td>
<td>6,210</td>
<td>24,570</td>
<td>38,150</td>
<td>66,020</td>
<td>32,600</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2-6XX Operating</td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copying/Postage/Office Supplies</td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Services</td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 2-6XX</strong></td>
<td>41</td>
<td>5,959</td>
<td></td>
<td>6,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6% Graduate Student Support Plan (GSSP)</td>
<td>4</td>
<td>0 $3,204</td>
<td>7,512</td>
<td>10,016</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RATA Health Insurance</td>
<td>4</td>
<td>0 $3,204</td>
<td>7,512</td>
<td>10,016</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-State Tuition</td>
<td>4</td>
<td>0 $3,204</td>
<td>7,512</td>
<td>10,016</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition Remission</td>
<td>2</td>
<td>0 $17,326</td>
<td>17,326</td>
<td>36,380</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition Remission Matching @ 25%</td>
<td>0</td>
<td>0 $23,925</td>
<td>52,123</td>
<td>81,048</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL 6XX</td>
<td>0</td>
<td>0 $23,925</td>
<td>52,123</td>
<td>81,048</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL COSTS</strong></td>
<td>29,251</td>
<td>68,974</td>
<td>105,570</td>
<td>264,940</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Notes**:  
  - *%50 of INSTRUCTIONAL SALARY enrollment increase funding from Yr 2 distributed to Colleges. Colleges must commit these funds to the program.*  
  - **80% of Total Academic Requirement enrollment increase funding from year 2 from DELTA**  
  - **Negotiated with College Dean(s)**  
  - Value in GSSP cannot exceed value in B12  
  - Year 3: OOE program enhancement fee (PEF) should be 43 * $1503 + 39 * $456.12 = $82,288 for the two colleges. The PEF $ should not be used for instruction covered by tuition. Therefore, it has not been included in these budget calculations.

#### Assumptions

| RATA Health Insurance @ | $2,504 | [Link](https://student.services.ncsu.edu/your-money/tuition-and-fees/graduate-students/) |
| In-State Tuition @      | $3,095  | [Link](https://student.services.ncsu.edu/your-money/tuition-and-fees/graduate-students/) |
| Tuition Remission @ (diff) | $17,326 | [Link](https://student.services.ncsu.edu/your-money/tuition-and-fees/graduate-students/) |
| Tuition Remission Matching @ 25% of TR | $4,332 | [Link](https://student.services.ncsu.edu/your-money/tuition-and-fees/graduate-students/) |
### SUMMARY OF ESTIMATED ADDITIONAL COSTS FOR PROPOSED PROGRAM

**INSTITUTION**: NC State University  
**Program (CIP, Name Level)**:  
**Degree(s) to be Granted**: Program Year, Year 4 (201X-201X)  
**Projected annual Full-Time (18 credits)**: 30  
**Projected annual part-time (12 credits)**: 23  
**Projected annual DE SCH**: 471  
**Differential tuition requested per student per academic yr**: $5,600  
**Projected annual differential tuition**: $339,894  
**Projected annual differential tuition for financial aid**: $58,660  
**Differential tuition remainder**: $335,234

### Assumptions

#### 1. Enrollment

<table>
<thead>
<tr>
<th></th>
<th>admissions</th>
<th>continuing</th>
<th>Student Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>30</td>
<td>23</td>
<td>816</td>
</tr>
<tr>
<td>part-time</td>
<td>20</td>
<td>39</td>
<td>471</td>
</tr>
<tr>
<td><strong>TOTAL new SCH</strong></td>
<td><strong>1287</strong></td>
<td><strong>814,867</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Enrollment increase funds Purpose 101</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
</tr>
<tr>
<td><strong>$814,867</strong></td>
</tr>
</tbody>
</table>

#### 2. Student support

- TA ships: 0
- Out of state admissions: 0

### Source of Funds

<table>
<thead>
<tr>
<th></th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New</strong></td>
<td><strong>142,398</strong></td>
<td><strong>142,398</strong></td>
</tr>
</tbody>
</table>

### Cost Description

<table>
<thead>
<tr>
<th>Cost Description</th>
<th>Number</th>
<th>Provost &amp; DE Tuition</th>
<th>Delta</th>
<th>Additional Funding Needed***</th>
<th>Total</th>
<th>Total New This Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>AVAILABLE BUDGET</td>
<td></td>
<td>$183,483</td>
<td>$112,039</td>
<td>$141,608</td>
<td>$0</td>
<td>$335,234</td>
</tr>
<tr>
<td>12XX SPA salary</td>
<td>1.000</td>
<td>27,500</td>
<td>23,500</td>
<td>0</td>
<td>51,000</td>
<td>1,000</td>
</tr>
<tr>
<td>13XX Epa salaries</td>
<td>1.000</td>
<td>27,500</td>
<td>23,500</td>
<td>0</td>
<td>51,000</td>
<td>1,000</td>
</tr>
<tr>
<td>18XX Fringes</td>
<td>1.000</td>
<td>27,500</td>
<td>23,500</td>
<td>0</td>
<td>51,000</td>
<td>1,000</td>
</tr>
<tr>
<td>2-5XX Operating</td>
<td>1.000</td>
<td>27,500</td>
<td>23,500</td>
<td>0</td>
<td>51,000</td>
<td>1,000</td>
</tr>
<tr>
<td>6XX Graduate Student Support Plan (GSSP)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RATA Health Insurance</td>
<td>5</td>
<td>12,520</td>
<td>12,520</td>
<td>0</td>
<td>25,040</td>
<td>12,520</td>
</tr>
<tr>
<td>In-State Tuition</td>
<td>5</td>
<td>45,475</td>
<td>45,475</td>
<td>0</td>
<td>90,950</td>
<td>45,475</td>
</tr>
<tr>
<td>Tuition Remission</td>
<td>3</td>
<td>51,978</td>
<td>51,978</td>
<td>0</td>
<td>104,956</td>
<td>51,978</td>
</tr>
<tr>
<td>Tuition Remission Matching @ 25%</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL 6XX</strong></td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL COSTS</strong></td>
<td>92,263</td>
<td>112,078</td>
<td>133,000</td>
<td>338,585</td>
<td>0</td>
<td>679,926</td>
</tr>
</tbody>
</table>

*50% of INSTRUCTIONAL SALARY enrollment increase funding from Yr. 3 distributed to Colleges. Colleges must commit these funds to the program.
**60% of Total Academic Requirement enrollment increase funding from year 3 from Delta.
***Negotiated with College Deans.
Value in (646 cannot exceed value in (12).
Year 4 : COE program enhancement fee (PEF) should be $53 * $1600 + 59 * $456.12 = $108,411 for the two colleges. The PEF $ cannot be used for instruction covered by tuition. Therefore, it has not been included in these budget calculations.

---

**Assumptions**

- **Rate**: [Link](https://studentaffairservices.nscu.edu/your-money/tuition-and-fees/graduate-students/)
- **Link**: [Link](https://studentaffairservices.nscu.edu/your-money/tuition-and-fees/graduate-students/)
# Degree Name - Foundations of Data Science

## Summary of Costs

### SUMMARY OF TOTAL COSTS EACH YEAR

<table>
<thead>
<tr>
<th>Period</th>
<th>Provost Enrollment Increase $</th>
<th>DELTA Enrollment Increase $**</th>
<th>Non-Fundable DE Tuition</th>
<th>Contracts &amp; Grants</th>
<th>Other (Premium Tuition)</th>
<th>Additional Funding Needed***</th>
<th>Cumulative Totals</th>
<th>Total New Each Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>$</td>
<td>$ 73,769</td>
<td>$ 28,728</td>
<td>$ 2,672</td>
<td>$ 107,058</td>
<td>$ 53,015</td>
<td>$ 183,623</td>
<td>$ 183,623</td>
</tr>
<tr>
<td>Year 2</td>
<td>$</td>
<td>$ 29,251</td>
<td>$ 68,974</td>
<td>$ 105,570</td>
<td>$ 264,940</td>
<td>$ 468,735</td>
<td>$ 88,588</td>
<td>$ 196,525</td>
</tr>
<tr>
<td>Year 3</td>
<td>$</td>
<td>$ 92,263</td>
<td>$ 112,078</td>
<td>$ 133,000</td>
<td>$ 338,585</td>
<td>$ 675,926</td>
<td>$ 207,190</td>
<td>$ 207,190</td>
</tr>
</tbody>
</table>

### SUMMARY OF NEW COSTS EACH YEAR

<table>
<thead>
<tr>
<th>Period</th>
<th>Provost Enrollment Increase $</th>
<th>DELTA Enrollment Increase $**</th>
<th>Non-Fundable DE Tuition</th>
<th>Contracts &amp; Grants</th>
<th>Other (Premium Tuition)</th>
<th>Additional Funding Needed***</th>
<th>Total New Each Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>$</td>
<td>$ 73,789</td>
<td>$ 28,728</td>
<td>$ 2,672</td>
<td>$ 107,058</td>
<td>$ 53,015</td>
<td>$ 183,623</td>
</tr>
<tr>
<td>Year 2</td>
<td>$</td>
<td>$ 44,538</td>
<td>$ 102,898</td>
<td>$ 97,919</td>
<td>$ 59,963</td>
<td>$ (53,015)</td>
<td>$ 88,588</td>
</tr>
<tr>
<td>Year 3</td>
<td>$</td>
<td>$ 63,012</td>
<td>$ 27,430</td>
<td>$ 73,645</td>
<td>$ 97,919</td>
<td>$ -</td>
<td>$ 196,525</td>
</tr>
<tr>
<td>Year 4</td>
<td>$</td>
<td>$ 112,078</td>
<td>$ 338,585</td>
<td>$ 675,926</td>
<td>$ -</td>
<td>$ -</td>
<td>$ 207,190</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$ 92,263</td>
<td>$ 112,078</td>
<td>$ 133,000</td>
<td>$ 338,585</td>
<td>$ -</td>
<td>$ 675,926</td>
<td>$ 207,190</td>
</tr>
</tbody>
</table>

### PERMANENT FUNDS REQUESTED AT STEADY STATE (Yr 4)

<table>
<thead>
<tr>
<th></th>
<th>Provost enrollment increase $</th>
<th>DELTA enrollment increase $</th>
<th>Non-Fundable DE Tuition</th>
<th>Contracts &amp; Grants</th>
<th>Premium Tuition</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proven enrollment increase $</td>
<td>$ 92,263</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DELTA enrollment increase $</td>
<td>$ 112,078</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Fundable DE Tuition</td>
<td>$ 133,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracts &amp; Grants</td>
<td>$ 338,585</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>$ 675,926</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### SUMMARY OF TOTAL PURPOSE 101 FUNDS GENERATED

<table>
<thead>
<tr>
<th>Period</th>
<th>Provost Enrollment Increase $</th>
<th>DELTA Enrollment Increase $**</th>
<th>Non-Fundable DE Tuition</th>
<th>Premium Tuition Generated</th>
<th>Total New Each Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>0</td>
<td>0</td>
<td>$ 33,845</td>
<td>$ 150,706</td>
<td>$ 184,551</td>
</tr>
<tr>
<td>Year 2</td>
<td>$ 148,770</td>
<td>$ 35,910</td>
<td>$ 81,228</td>
<td>$ 230,094</td>
<td>$ 311,451</td>
</tr>
<tr>
<td>Year 3</td>
<td>$ 290,928</td>
<td>$ 86,184</td>
<td>$ 131,995</td>
<td>$ 311,953</td>
<td>$ 509,809</td>
</tr>
<tr>
<td>Year 4</td>
<td>$ 366,966</td>
<td>$ 140,049</td>
<td>$ 177,122</td>
<td>$ 393,894</td>
<td>$ 568,422</td>
</tr>
<tr>
<td>Total</td>
<td>$ 806,664</td>
<td>$ 262,143</td>
<td>$ 424,190</td>
<td>$ 1,086,647</td>
<td>$ 1,522,105</td>
</tr>
</tbody>
</table>

Program Gain (Loss) Yr 4

$ 402,105
## Degree Name - Foundations of Data Science

### Table 1: Estimated Annual Budget for the Program

<table>
<thead>
<tr>
<th>Description</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Percentage</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Costs (Total costs to deliver the program)</td>
<td>$181,623</td>
<td>$272,210</td>
<td>$468,735</td>
<td>$675,926</td>
<td>56%</td>
<td></td>
</tr>
<tr>
<td>Library Costs (estimated @ 11.495% of purpose 101 funds)</td>
<td>$25,096</td>
<td>$32,640</td>
<td>$73,390</td>
<td>$93,564</td>
<td>1) typical range 40% to 60% by YR 4</td>
<td></td>
</tr>
<tr>
<td>General Institutional Support (estimated @ 54.05% of purpose 101 funds)</td>
<td>$118,111</td>
<td>$247,733</td>
<td>$434,385</td>
<td>$440,527</td>
<td>2) can not exceed 80% for DE only programs</td>
<td></td>
</tr>
<tr>
<td>DELTA specific instructional support (estimated @ 20% of DE purpose 101 funds)</td>
<td>$7,182</td>
<td>$17,237</td>
<td>$28,010</td>
<td>$37,586</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provost Office Strategic Investment Funds (estimated @ 50% of On-Campus Instructional Salary)</td>
<td>0</td>
<td>$74,365</td>
<td>$145,464</td>
<td>$183,463</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ESTIMATED ANNUAL TOTAL COST</strong></td>
<td>$334,011</td>
<td>$654,255</td>
<td>$1,000,984</td>
<td>$1,430,386</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Table 2: Projected Annual Requirements ($ Generated)

<table>
<thead>
<tr>
<th>Description</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Percentage</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Master's SCH generated</td>
<td>360</td>
<td>744</td>
<td>1,017</td>
<td>1,287</td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations Estimate to Campus Library (11.495% of purpose 101 funds)</td>
<td>0</td>
<td>$25,996</td>
<td>$52,640</td>
<td>$73,390</td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations Estimate to Campus Institutional Support (54.05% of purpose 101 funds)</td>
<td>0</td>
<td>$118,113</td>
<td>$247,733</td>
<td>$345,365</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Academic Requirements Generated*</td>
<td>0</td>
<td>$287,453</td>
<td>$594,069</td>
<td>$812,054</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated Premium Tuition</td>
<td>$150,706</td>
<td>$320,094</td>
<td>$311,953</td>
<td>$393,804</td>
<td>$193,837</td>
<td>1) must be x by YR 4</td>
</tr>
<tr>
<td><strong>ESTIMATED TOTAL ANNUAL FUNDING AVAILABLE</strong></td>
<td>$150,706</td>
<td>$660,757</td>
<td>$1,206,395</td>
<td>$1,624,724</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Total Academic Requirement Generated = # credits generated x 798.48 (798.48 is avg on MI and MII Total Academic Requirement)
Budget Guidelines for New Distance Education Graduate Programs (2014-2015)

Suggest developing a preliminary budget as a supplement to Appendix A and F
Appendix C Section XI Budget: Insert worksheets labeled Year, 1, 2, 3, and 4 into the budget section. Add a narrative explaining any major
Appendix G Section 8 Financial Support Insert worksheets yr 1, yr 2, yr 2, yr 4, and UNC GA summary
Hide sections in yellow before pasting into Appendix C and G
The template is not locked. Add/delete rows/columns as needed. Modify formulas as needed.
See comments associated with individual cells in worksheets
The complete Excel Budget Template is routed within NCSU for reviews.

SCH Production over four years worksheet
This worksheet shows the SCH generated which is then used to calculate revenue based on formula funding. Only include NEW students. Do not include students who are in off-model programs.
Category: refer to the web site for the enrollment category of courses (for example engineering courses are typically Category IV)
http://upa.ncsu.edu/sites/upa.ncsu.edu/files/PDF/ga_funding_category_to_course_code_0.pdf
Total SCH each Year: refer to the website for $ value of purpose 101 funding Table 2 column 2. http://upa.ncsu.edu/ir/fin/2013-2014-funding-
If your program is significantly divided among several programs add extra rows to represent other categories and corresponding SCH.
Alternatively, develop a weighted $/SCH value for budget purposes.
Based on the student credit hours reported in Appendix C Section II.C, for Year 1 record:
number of full time students each year (only include NEW students not students who are moving from an existing program)
typical credit hours per year for full time students (18 credit hours for graduate programs)
number of part time students each year (only include NEW students not students who are moving from an existing program)
typical credit hours per year for part time students (9 credit hours for graduate programs)
For years 2, 3, and 4 record similar data.
First -year represents new students
Second, third, fourth-year represents continuing students
In most graduate programs full time students would complete the program in 2 years.
Assume no attrition from the program

Year 1 Budget worksheet.
Assumption 1: Enrollment is automatically calculated from SCH worksheet.
Assumption 2: Student support: Include TA/RA or other support
SPA Salary: List position title, not personnel names
EPA Salaries: List position title, not personnel names
2-SXX Operating: Add rows as need describing costs to operate the program. This may include items such as: special supplies, travel,
GSSP provides funding for health insurance and tuition for eligible students (depends on funding source and appointment type). See:
http://www.ncsu.edu/grad/support-plan/index.php
Source of Funds: years 1, 2, and 3 are initial development of program and year 4 should represent steady state cost
Reallocations from College: indicate expenses to be covered by college
Enrollment increase: purpose 101 formula funding. Percentage allocated to program to be negotiated.
Contracts & Grants: indicate the source(s) of funds
Other: Other possible sources of funds include DE (distance education), CITI (campus initiated tuition increase) and GSSP. Add columns to
the spreadsheet as needed.

Year 2, 3, and 4 worksheets
Assume no inflation.
Summary worksheet
This worksheet is automatically generated from the previous worksheets. (If you have modified the previous worksheets then this worksheet
may also need modifying)

UNC-GA Summary Worksheet
This worksheet is automatically generated. (If you have modified the previous worksheets then this worksheet may also need modifying.)
Tuition receipts are based on an average $/SCH for full time and part time NC resident students. This can be modified with either an estimate
of all out of state tuition or a weighted value based a proportion of in-state to out-of-state.
Estimated Total Appropriation is the difference between the Estimated Total Requirements and the Tuition Receipts.
Campus Initiated Tuition is not calculated. This would need to be added for approved program.
MEMORANDUM

TO: W. Randolph Woodson  
    Chancellor  
    NC State University

FROM: Mladen A. Vouk  
    Vice Chancellor for Research and Innovation  
    NC State University

SUBJECT: Recommendation to approve the request to establish the Belk Center for Community College Leadership and Research (BELK) under Regulation 10.10.04

DATE: November 20, 2019

In keeping with NC State Regulation 10.10.04, this memo requests your approval of the request by the College of Education (CoED) to establish the Belk Center for Community College Leadership and Research (BELK). BELK’s mission is to bring together executive leadership development and actionable research to increase student success in community colleges.

BELK was approved for planning on September 18, 2018, and is funded by a generous philanthropic gift of more than $10 million dollars from the John M. Belk Endowment. The CoED has a long-standing interest in adult and community college education, as well as research is this burgeoning and increasingly important field. Indeed, community colleges face significant challenges due to a declining population of experienced leaders and constrained resources. The Belk Center is committed to provide research, knowledge, and skills to support community college presidents and their institutions in improving student success outcomes and enhancing institutional performance.

BELK has already established itself as a leader in its area of focus, and is an important resource for the citizens of North Carolina and the nation. I request your approval of the proposal to establish this Center.

MAV/mh

cc: Mary Ann Danowitz, Dean, College of Education  
Audrey J. Jaeger, Executive Director, BELK  
Paola Sztajn, Associate Dean for Research  
Jonathan Horowitz, Associate Vice Chancellor for Research  
Larisa Slark, Centers and Institutes Specialist
MEMORANDUM

TO: Mladen Vouk  
   Vice Chancellor for Research and Innovation

FROM: W. Randolph Woodson  
       Chancellor

SUBJECT: Recommendation to approve the request to establish the Belk Center for Community College Leadership and Research (BELK) under Regulation 10.10.04

DATE: November 21, 2019

In response to your Memorandum dated, November 20, 2019, authorization is hereby granted to forward the request to establish the Belk Center for Community College Leadership and Research (BELK) to the Board of Trustees for approval.

WRW/mh

cc: Mary Ann Danowitz, Dean, College of Education  
   Audrey J. Jaeger, Executive Director, BELK  
   Paola Sztajn, Associate Dean for Research  
   Jonathan Horowitz, Associate Vice Chancellor for Research  
   Larisa Slark, Centers and Institutes Specialist
North Carolina State University

**BELK CENTER FOR COMMUNITY COLLEGE LEADERSHIP AND RESEARCH**

Request for Authorization to Establish

**Strategic Opportunity**

North Carolina's long-term vitality is largely dependent on the development and growth of a workforce that is highly skilled. Today, the state has one of the most vibrant high-end knowledge economies in the country. The rates of population, job, and wage growth this decade have made it one of the fastest growing states in both the South and the nation. However, North Carolina's growing prosperity is not shared with all segments of North Carolina’s population. Research suggests that those who are born poor in North Carolina are among the nation's most limited when it comes to economic opportunities. North Carolina’s community colleges are a critical driver in preparing and diversifying the workforce. At the same time, community colleges face significant challenges with a declining population in their service area and constrained resources. The proposed Belk Center for Community College Leadership and Research (Belk Center) is committed to equipping exceptional community college leaders with the tools and approaches to address these urgent needs. This is a critical time in the history of North Carolina’s community colleges as 35 of the 58 community college presidents have been in office less than three years. Through a strategic partnership with the North Carolina Association of Community College Presidents, the Belk Center will provide research, knowledge, and skills to support presidents and their institutions in improving student success outcomes and enhancing institutional performance.

**Mission**

*The Belk Center for Community College Leadership and Research at North Carolina State University's College of Education will develop and sustain exceptional community college leaders who are committed to advancing college access, the social and economic mobility of their colleges’ students, and the economic competitiveness of their regions. The Center conducts and disseminates research to address current and emerging student success challenges facing community college leaders and policymakers in North Carolina and beyond.*
The Belk Center has three major focal points of activity:

1. **Conduct and Disseminate Applied Research to Support Knowledge Development and Evidence-Based Decisions Regarding Community Colleges, Their Leadership, and Their Performance**

In line with NC State’s land grant mission and its “Think and Do” motto, the Belk Center’s research addresses critical problems of practice that matter to the state and its citizens. Creating research capacity that focuses on action and applied research of relevance to the field of practice is a focal point of activity for the Belk Center. The Belk Center produces new knowledge that is utilized to improve student success outcomes at institutions across the state and country. The Belk Center works with its community college partners to identify research issues and questions that are critical to community colleges. The Belk Center develops and disseminates research findings to produce timely, accessible, and actionable information that executive leaders can use to make informed improvements at their colleges. Further, the Belk Center has incorporated the work of the National Initiative for Leadership and Institutional Effectiveness (NILIE). NILIE provides actionable data to support institutions in developing strategies to enhance institutional effectiveness and improve student success. For the past 25 years, NILIE accomplished this by using a campus climate assessment process that is tailored to each institution’s individual needs and goals. NILIE has engaged over 120 community colleges in the past 5 years with its Personnel Assessment of the College Environment (PACE) Survey and supports North Carolina community colleges through its Home State Initiative (HSi) which serves small, rural schools with declining enrollments.

**Belk Center** research informs and improves practice in the field, including the identification of best practices that move the needle in college completion and post-college success. One critical issue is influencing teaching and learning professional development in the state and analyzing where the “leaks” are in the college transfer pipeline that are barriers to increasing baccalaureate completion. The Center is also evaluating the relative success of statewide efforts such as developmental education redesign, early college and dual enrollment, and the delivery of the Finish Line Grants emergency aid program that is led by the Department of Commerce and Office of the Governor.

The Center’s work with Reinforced Instruction for Student Excellence (RISE), NC Guided Pathways to Success (NCGPS), and Finish Line Grants has connected the Belk Center with all 58 community colleges in North Carolina in a specific research related project or evaluation process. The Belk Center also works on specific, tailored projects with individual colleges. This list of colleges evolves and changes, some current partners include: Catawba Valley Community College (teaching and learning; SkillsUSA), Durham Technical Community College (teaching and learning), Lenoir Community College (teaching and learning), Forsyth Technical Community College (FOCUS - recruitment strategy), Wake Technical Community College (Wake Invests in Women; NILIE; Finish First; Equity), Pitt Community College (NILIE), Edgecombe
Community College (NILIE), Piedmont Community College (NILIE), and Wilkes Community College (SkillsUSA).

Seeking additional grants to support research continues to be a priority for the Center. Research focus areas include student completion and transfer outcomes, labor market outcomes, teaching and learning, rural issues and social/economic mobility, equity, and organizational climate. For example, the Belk Center collaborates with the North Carolina Student Success Center (NCSSC) on a $1.2 million Gates Foundation-funded grant that was received in the summer of 2018 and focuses on teaching, learning, and equity.

2. Provide Community College Presidents and Trustees with the Knowledge and Skills Needed to Achieve Higher Levels of Student Success at Their Colleges

A second focal point of activity for the Belk Center is the creation of leadership development programs. Informed by our research and connecting our research to practice, the Belk Center offers leadership development for community college presidents and trustees through the Presidents’ Academy and Trustees’ Institute. The creation of this research-informed professional development includes a collaborative process with the North Carolina Association of Community College Presidents (NCACCP), the North Carolina Association of Community College Trustees (NCACCT), the North Carolina Community College System Office (NCCCS), and the NCSSC. The Belk Center also offers professional development opportunities for other community college leaders, as directed by the NCACCP and NCSSC, to support the work of increasing student success outcomes in North Carolina.

Center leadership development programs include:

- **Presidents’ Academy:** The Presidents’ Academy programs are designed to develop the knowledge and skills community college presidents need to lead their institutions to higher levels of equitable college access and outcomes, student learning, credential completion, and strong labor market outcomes for their students. Technical assistance organizations, such as Achieving the Dream and the Aspen Institute’s College Excellence Program, provide expert resource personnel and program delivery. The Belk Center also works with the NCCCS to provide focused leadership development for new presidents. This occurs in face-to-face venues, as well as on-line modules jointly developed with EducationNC (EdNC). Modules address topics such as system level governance, financing community colleges, statewide performance metrics, president and board chair communication, etc.

- **Trustees’ Institute:** The Trustees’ Institute develops programs targeted at assisting community college trustees in learning about their role in supporting higher levels of institutional performance. Also, the Trustees’ Institute emphasizes the role of the board of trustees in the selection and evaluation of the college president, strategic planning, and the use of evidence-based decision making. The Trustees’ Institute work in collaboration with the NCACCT and the NCCCS. The Belk Center utilizes current meetings to facilitate
leadership development opportunities for trustees, including regular NCACCT gatherings, and develops an annual Trustees’ Institute with teams of trustees from each college and their presidents. Initial feedback on these efforts has been extremely positive and helped shape upcoming engagements.

3. **Strengthening the Preparation of the Next Generation of Executive Leaders for North Carolina’s Community Colleges**

Over the past four years, NC State’s College of Education has redesigned and tested its Doctor of Education program in Community College Leadership. The doctoral degree focuses on developing transformational leaders in community colleges who have the tools and vision needed to lead community colleges to improved student outcomes.

Doctoral students focus their dissertations on critical challenges confronting community colleges, and dissertation committees include research faculty, as well as experienced community college executive leaders. The curriculum is offered in an executive format and is completed in 3.5 to 4 years while students continue their full-time professional careers.

Doctoral cohorts typically meet in Charlotte or Raleigh and are mentored by full-time university faculty and accomplished community college executive leaders. Each doctoral course in the cohort is either team-taught or integrates executive community college leaders. Syllabi for each course include specific content linking course material to American Association of Community College (AACC) Standards, Aspen Competences, and/or Aspen Leadership Curricular modules.

The Belk Center provides additional support to the Community College Leadership Doctoral Program through data and writing coaches, travel funding, and executive mentoring. These supports are unique to NC State and build on the strong curriculum. The academic program resides in the Educational Leadership, Policy, and Human Development and this additional support is offered through the Belk Center. The redesigned doctoral program was developed in partnership with the Aspen Institute’s College Excellence Program.

**Contribution to the University’s Mission**

As a research and public service unit, aligned with NC State’s land-grant mission, the Belk Center is uniquely positioned to address real-world problems in a real-time manner. The Center’s scholars bring foundational knowledge in research and extensive knowledge of practice to support community colleges in the myFutureNC statewide attainment goal. The work of myFutureNC has pushed North Carolina’s community colleges into the forefront of the statewide education and economic discussion. myFutureNC is a “statewide nonprofit organization focused on educational attainment and is the result of cross-sector collaboration between North Carolina leaders in education, business, and government.” With the endorsement of the Governor, legislators, all sectors of education, Chamber of
Commerce, and many other entities, North Carolina is positioned to reach its goal of 2 million North Carolinians with a high-quality postsecondary degree or credential by 2030. The Belk Center is an integral partner with the North Carolina Association of Community College Presidents as they define their role in the statewide goal. The Belk Center provides research and executive leadership development that will help North Carolina close the educational attainment gap.

**Closing the Gap**

Less than half of North Carolinians aged 25-44 hold a postsecondary degree or high-quality credential at a time in which nearly 70% of new jobs require education beyond a high school diploma. North Carolina’s community colleges are in a prime position to fill the 400,000 worker gap in credentials that is expected if the state does nothing over the next 10 years to change this trajectory. In addition, “educational opportunities are not equitably distributed across the state: far fewer North Carolina students from economically disadvantaged backgrounds earn postsecondary credentials than do students with greater economic stability” (myFutureNC.org). Again, this positions NC community colleges as leaders and one of the state’s greatest assets to address the equity gap in credentials.

When it comes to this economic opportunity gap, North Carolina faces a critical choice: will it build its 21st century economy by continuing to import talent from outside the state—thus continuing the trend of growing income inequality that has left many of its residents behind—or will it invest in a “grow-our-own” talent strategy, so that economic expansion can be a rising tide that lifts all boats? The Belk Center contends that the state of North Carolina can close the opportunity gap for its citizens and lead the South in the growth of a robust high-skills workforce if it focuses on developing talent from within its own state population, rather than importing workers from the outside. North Carolina’s community colleges represent the one resource that serves all segments of the population at the intersection of school systems, higher education, and employers. These institutions can serve as an ever-expanding gateway to prosperity and self-sufficiency for tens of thousands of the state’s citizens who otherwise will be left with little hope of economic mobility.

The Belk Center is uniquely positioned to support community colleges in claiming and delivering on the additional high-value credentials that have been identified by the myFutureNC Commission for North Carolina in 2030.

**Building a Talent Pipeline**

Community colleges serve as a critical talent pipeline for employers in search of workers with needed job skills. To achieve this goal, North Carolina will need exceptional executives and trustees leading the state’s community colleges. The Center’s research efforts to institute systemic change pivots from more traditional approaches—which are often jargon-laden and slow to reach decision-makers— to modes of scholarship that are timely, accessible and digestible. The research we conduct addresses community college practitioner needs and provides actionable data that leaders can use to make informed improvements at their institutions. This innovative approach to applied educational research positions NC State to better support, and deepen connections with, North Carolina community colleges.
Leadership development programs delivered through the Belk Center offer presidents the knowledge and skills in areas such as: (1) working with employers and aligning training programs with labor market demand, (2) creating partnerships with school systems and universities to see that greater numbers of high school students continue their education and acquire in-demand job skills, and (3) leading their institutions to higher levels of post-secondary credential completion. Leadership development for trustees focuses on: (1) understanding the critical role community colleges play in the broader state economy and (2) hiring and supporting presidents to lead transformational change in their community.

Existing Synergies and Partnerships

As a land-grant institution, NC State shares the mission of North Carolina’s community colleges to democratize higher education by making it accessible to everyone regardless of race, ethnicity, income status, and other potential barriers. The Belk Center fills a critical need by providing data, new knowledge, and resources to support leaders in their decision making. No other center focuses on action and applied research that has immediate relevance to the field of community college practice. North Carolina State University will lead the nation in community college leader preparation and research through the Belk Center.

The College of Education is the home for faculty that support education at all levels, and the Belk Center seeks to bridge those educational divides. For example, community colleges work closely with their county public school superintendents. Leadership development for community colleges must include skills, tools, and resources that support these leaders in working with their local educators. As all the key legislative, education, and business entities have supported myFutureNCs goal of 2 million high-quality credentials by 2030, the Belk Center supports community colleges in their efforts to partner with superintendents to reach the statewide myFutureNC goal. Collaborating with colleagues like Dr. Bonnie Fusarelli is a natural connection for the Belk Center. Dr. Fusarelli’s work on educational leadership and policy, educational equity, and organizational change make her a critical partner in work that connects community colleges to their K-12 partners.

Belk Center staff and faculty are also working with faculty outside of the College of Education who share common goals. For example, Dr. Carolyn Bird, Professor and Family Resource Management Specialist in the College of Agricultural and Life Sciences (CALS), has expertise in working with families in rural areas. This population is central to the community college community. The majority of community colleges in the state are in rural counties and serve economically disadvantaged students. As the Belk Center works to support community college leaders, an integral connection to the success of the community college is the health and well-being of the communities in which they are located. Dr. Bird’s expertise provides the Belk Center with an important link to families and communities. At the same time, the Belk Center seeks to engage all levels of faculty and types of expertise. Dr. Joy Morgan, Instructor in CALS, is working NC State’s Office of Assessment and the Executive Director of the Center on research that examines the needs, challenges, and successes of rural students. The Belk Center seeks to build relationships with Colleges and Administrative Units across NC State, ranging from the Enrollment Management and Services division in the Provost’s
Office on collaborative research addressing transfer (credit efficiency and pathways) to the College of Design faculty and Associate Dean, Dr. Celen Pasalar, on design thinking.

The work of the Belk Center supports current cross-college collaborations. The College of Education and College of Engineering are working toward a seamless partnership through an online Masters in Engineering Education for community college faculty who are seeking a graduate degree that will provide both required disciplinary and pedagogical knowledge and skills. This partnership will help NC State better serve our community colleges through the credentialing of faculty who will also then be aware of the curriculum at NC State and can better serve their community college students as they seek to transfer to NC State and other universities across the University of North Carolina (UNC) system.

The Belk Center collaborates with Carolina Demography, which is part of the Carolina Population Center at UNC-Chapel Hill. Carolina Demography is a well-developed resource that has the data capacity to support our executive leadership development, as well as applied research initiatives. The Belk Center collaborates with Carolina Demography to provide population-related data to community college presidents and trustees. The Belk Center also works closely with the UNC System Office. Several UNC System Office (UNC-SO) vice presidents have been engaged with the Belk Center on transfer research. This research crosses academic, data analytics, and policy entities at the UNC-SO.

In addition to partners within NC State and the UNC SO, the Belk Center seeks expertise and partnership with community college researchers at the state, national, and international level. The Belk Center serves as a home for affiliated researchers. Faculty outside of NC State hold a Research Affiliate title and work with the Belk Center to accomplish its goals. For example, Dr. Pamela Eddy, distinguished scholar at the University of William and Mary, is working with the Belk Center to develop a research agenda around executive leadership development. As the most notable scholar in the area of presidential leadership, Dr. Eddy and the Belk Center team have identified a long-term research strategy focused on understanding how presidents lead their institutions to increased student success outcomes. Faculty and colleagues from UNC-Charlotte, Portland State University, Columbia University, University of Utah, and other universities have committed to sharing their knowledge and expertise to support Belk Center initiatives.

The Postsecondary Career and Technical Research Fellows program, sponsored by the ECMC Foundation, is housed in the Belk Center, which extends the reach of the Center across the state and country. This $2 million grant sponsors 15 to 20 Career and Technical Education (CTE) Research Fellows annually at the postdoctoral, dissertation, and doctoral level. The purpose of this project is to provide professional development, mentoring, and support for research projects by CTE Fellows that examine student success in terms of student learning, completion, equity, and labor market outcomes, or how postsecondary career and technical education can address significant issues such as creating economic mobility. Fellows execute one major research project that will be disseminated through research presentations and publications. The project has an advisory board that includes experts from business, community colleges, proprietary career and technical schools, and universities. Representation includes companies such as Siemens Energy, community colleges such as
Harper College (Illinois), career and technical schools such as the Aviation Institute of Maintenance, and researchers from universities such as the University of Illinois, Urbana-Champaign and the University of Georgia. The current Fellows represent major research universities across the country including UCLA, Vanderbilt, UNLV, University of Alabama, and Kansas State University. A complete list of fellows is available at https://cte-fellows.ced.ncsu.edu/2019-research-fellows/. The project also strengthens the Center’s work in the state as some researchers, mentors (https://cte-fellows.ced.ncsu.edu/community-of-experts#RM), and/or fellows also reside in North Carolina. Due to the small community of professionals researching postsecondary CTE, some of our partners play a variety of roles on the project such as Dr. Mark D’Amico from the UNC-Charlotte, who serves as an advisory board member, sponsors a fellow, and serves as a mentor. This project is creating a network of research experts that will continue to support community college-related CTE research projects and the development of researchers.

**Center Leadership, Responsible Administrator, and Support for Faculty & Students**

The *Belk Center* will be administered by the College of Education at NC State and report to the Dean. Dr. Audrey J. Jaeger, Alumni Distinguished Graduate Professor, serves as the *Belk Center’s* Executive Director. Dr. Jaeger has been at NC State for more than 18 years. She directs the National Initiative for Leadership and Institutional Effectiveness (NILIE) within the College of Education and has served on dozens of college and universities committees. Dr. Jaeger is a University Faculty Scholar and has led the Envisioning Excellence for Community College Leadership initiative for the past four years and secured the funding from the Belk Endowment. Dr. Jaeger implements the mission of the *Belk Center* through the following activities:

- Provides leadership and ensure operational success;
- Serves as an influential voice on community college leadership and student success;
- Develops a state and national reputation for the *Belk Center* as a key resource for the delivery of community college leadership and research;
- Provides financial leadership and supervision of staff;
- Convenes an external advisory board to provide support and expertise in the development of the *Belk Center*; and
- Engages with the John M. Belk Endowment on a regular basis.

The National Advisory Board monitors the *Belk Center’s* progress. In particular, the Advisory Board consists of current and former community college presidents, non-profit leaders whose work supports community colleges, and community college system leaders. Information about the membership of the board can be found at this [link](#). In particular, the Advisory Board:

- Provides guidance to the Executive Director to ensure continuous improvement of the *Belk Center*;
- Assures executive leadership development offerings are in line with current demand;
- Provides research agenda recommendations that meet the needs of the field;
- Serves as an advocate to key external stakeholders to increase the visibility of the *Belk Center*
● Supports the Belk Center in developing new funding streams; and  
● Attends the annual Dallas Herring Lecture and National Advisory Board Meeting.

The Belk Center is committed to the preparation of future faculty through its postdoctoral scholar positions. Center postdocs have individual development plans (IDPs), engage with NC State’s PostDoc Association, and receive significant mentoring from the Executive Director. The Center also includes junior faculty to support work related to the Center’s mission. One line of inquiry gaining attention is cost studies. This work at the Center involves Dr. Brooks Bowden, former assistant professor in the College of Education who recently moved to the University of Pennsylvania, and Dr. Cameron Sublett formerly of Pepperdine University. The Belk Center supports research scholars whose interests align with the mission of the Center.

The Belk Center supports students enrolled in the doctoral program in Community College Leadership with data and writing coaches, professional development, and some scholarship opportunities through the Belk Endowment grant. Data collected from prospective students indicates these support mechanisms serve as a recruitment tool.

Organizational Structure

The Executive Director of the Center serves as an expert on community college leadership and student success, while developing a reputation across the state and nation for the delivery of community college research. The Executive Director reports to the Dean of the College of Education and has administrative authority of the operation of the Belk Center, including fiscal management, policy decisions, and management of research projects and appointment of the technical and administrative staff.

The Executive Director consults with the leadership team that includes the Director of Academic Programs, Director of Executive Leadership Programs, Director of Strategic Initiatives and Communication, and Professors of Practice on the mission, vision, and values of the Center. In addition, the leadership team facilitates decisions on policies and procedures, faculty affiliation, sustainability, and other key operational decisions (See Appendix A for Belk Center Organizational Chart).

Director of Academic Programs

Support the following activities of the Belk Center:
● Work with the Center Executive Director to plan and implement Center projects; and  
● Oversee and coordinate with other Center staff regarding events and initiatives related to academic programs.

Professors of Practice

Support the following activities of the Belk Center:
● Work with Center leadership to plan and implement Center projects, including the Presidents’ Academy and Trustee Institute;
Mentor graduate students;
Teach/Co-Teach courses as needed; and
Serve on dissertation committees.

Director of Executive Leadership Development
Support the following activities of the Belk Center:
- Coordinate executive leadership development activities;
- Work with Center leadership to develop fee-for-service leadership development opportunities; and
- Support the Executive Director with budget and financially related projects.

Director of Strategic Initiatives and Communication
Support the following activities of the Belk Center:
- Coordinate activities and initiatives that cross over executive leadership development and research;
- Work with Executive Director on communications; human relations; and development; and
- Coordinate reporting and evaluation for the Center.

Assistant Director of Research
Support the following activities of the Belk Center:
- Work with Center Executive Director on research activities;
- Oversee the National Initiative for Leadership and Institutional Effectiveness;
- Initiate and develop research grants; and
- Coordinate outside evaluation projects.

Post-Docs (Senior Research Associates)
Support the following activities of the Belk Center:
- Work with the Center Executive Director to support the research pillars; and
- Manage projects, as assigned.

Graduate Research Associates
Support the activities of the Belk Center:
- Work with the Assistant Director of Research Director and Center leadership to undertake research projects that align with the Center research pillars; and
- Manage projects, as assigned.

Program Specialist
Support the activities of the Belk Center:
- Support the day-to-day activities of the Executive Director;
- Support functions of the Center relating to schedules, building, and other areas; and
- Manage Center related projects, as directed by the Executive Director.

Faculty Roles
Senior Fellows: faculty at NC State that secure grant funding administered through the Belk Center.
Faculty Scholars: faculty at NC State that coordinate a project for the Belk Center.
Faculty Affiliates: faculty at organizations other than NC State that coordinate a project for the Belk Center.

Leadership Affiliates: community college professionals that support the work of the Belk Center.

**Business Plan**

Budget estimates for the first year as well as four additional years are provided in Appendix B. Belk Center activities are supported by grants and contracts totaling more than $13 million. Recurring administrative positions are covered through year 4 and will be supported thereafter by grants and contracts. Funding for positions for strategic initiatives will be dependent on revenue generated and the requirements of the grants received. Starting in Year 5, the composition and work of the Center will be supported through new grants.

The Belk Endowment required NC State to offer a sustainability plan in year 5 of the grant (noted as year 4 on Appendix B). The College of Education offered $791,788 to support various activities and salaries. The majority of these revenues were expected to come from distance education funds generated by the Community College Leadership Doctoral Program. In addition, the Belk Center houses the National Initiative for Leadership and Institutional Effectiveness, which supports graduate students and part of the Executive Director’s salary through revenues of approximately $200,000 each year. These funds and interest generated from the Belk Endowment Grant will cover all expenses in year 4. Operational expenses will also be supported by returned Facilities and Administrative Costs (F&A). Currently, 48% of Center-generated F&A that is returned to the College of Education reverts back to the Center, and will continue beyond the grant based on Center generated external funding.

The Belk Center offers executive professional development currently supported by grant funding. Center staff are developing a fee for service for professional development offered in year 3 and continuing post Belk Endowment grant funding. These services will be similar to the revenues generated by NILIE, which offers survey services to community colleges.

The College of Education and John M. Belk Endowment have provided support for Center space, which was secured at 706 Hillsborough Street. A 5-year lease has been fully executed. The space currently houses 7 full-time staff (two additional expected by 2019), 10 graduate students, and 6 faculty. Initial set-up expenses were provided by the College of Education to furnish the space as well as attain capital equipment including technology (3-Series 4K Digital Media Presentation System 350).
### Appendix B

#### Belk Center for Community College Leadership & Research

<table>
<thead>
<tr>
<th>Category</th>
<th>Yr 1</th>
<th>Yr 2</th>
<th>Yr 3</th>
<th>Yr 4</th>
<th>Yr 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RECURRING PERSONNEL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Director (% of faculty salary)</td>
<td>50,000</td>
<td>52,500</td>
<td>55,125</td>
<td>57,881</td>
<td>60,775</td>
<td></td>
</tr>
<tr>
<td>Executive Assistant</td>
<td>42,000</td>
<td>44,100</td>
<td>46,305</td>
<td>48,620</td>
<td>51,051</td>
<td></td>
</tr>
<tr>
<td>Estimated Accounting</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>3,615</td>
<td>48,796</td>
<td></td>
</tr>
<tr>
<td>Estimated HR</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>19,853</td>
<td>20,846</td>
<td></td>
</tr>
<tr>
<td>Communication Personnel</td>
<td>45,000</td>
<td>47,250</td>
<td>49,613</td>
<td>52,093</td>
<td>54,698</td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>45,210</td>
<td>47,471</td>
<td>49,844</td>
<td>60,081</td>
<td>77,935</td>
<td></td>
</tr>
<tr>
<td><strong>Total Recurring Personnel</strong></td>
<td>182,210</td>
<td>191,321</td>
<td>200,887</td>
<td>242,143</td>
<td>314,101</td>
<td>1,130,662</td>
</tr>
<tr>
<td><strong>OTHER PERSONNEL - Strategic Initiatives Positions Grant Funded</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Directors (4)</td>
<td>218,000</td>
<td>228,900</td>
<td>250,345</td>
<td>262,862</td>
<td>276,005</td>
<td></td>
</tr>
<tr>
<td>Postdocs (2)</td>
<td>120,000</td>
<td>126,000</td>
<td>132,300</td>
<td>138,915</td>
<td>145,861</td>
<td></td>
</tr>
<tr>
<td>Professor of Practice (2)</td>
<td>150,000</td>
<td>157,500</td>
<td>165,375</td>
<td>173,644</td>
<td>182,326</td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>161,040</td>
<td>169,092</td>
<td>180,847</td>
<td>189,889</td>
<td>199,383</td>
<td></td>
</tr>
<tr>
<td>Graduate Students (Tuition, Fees, Fringe &amp; Health)</td>
<td>160,000</td>
<td>168,000</td>
<td>176,400</td>
<td>185,220</td>
<td>194,481</td>
<td></td>
</tr>
<tr>
<td><strong>Total Other Personnel</strong></td>
<td>809,040</td>
<td>849,492</td>
<td>905,267</td>
<td>950,530</td>
<td>998,056</td>
<td>4,512,385</td>
</tr>
<tr>
<td><strong>OPERATIONAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office Supplies</td>
<td>8,200</td>
<td>8,610</td>
<td>9,041</td>
<td>9,493</td>
<td>9,967</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>80,000</td>
<td>84,000</td>
<td>88,200</td>
<td>92,610</td>
<td>97,241</td>
<td></td>
</tr>
<tr>
<td>Rent</td>
<td>103,000</td>
<td>108,150</td>
<td>113,558</td>
<td>119,235</td>
<td>125,197</td>
<td></td>
</tr>
<tr>
<td>Telephone, connectivity, technology</td>
<td>32,172</td>
<td>33,781</td>
<td>35,470</td>
<td>48,763</td>
<td>51,201</td>
<td></td>
</tr>
<tr>
<td>Marketing &amp; Communication</td>
<td>50,000</td>
<td>52,500</td>
<td>55,125</td>
<td>57,881</td>
<td>60,775</td>
<td></td>
</tr>
<tr>
<td><strong>Total Operational</strong></td>
<td>273,372</td>
<td>287,041</td>
<td>301,393</td>
<td>327,982</td>
<td>344,382</td>
<td>1,534,169</td>
</tr>
<tr>
<td><strong>Total Estimated Expenditures (Personnel &amp; Operational)</strong></td>
<td>1,264,622</td>
<td>1,327,853</td>
<td>1,407,546</td>
<td>1,520,655</td>
<td>1,656,540</td>
<td>7,177,216</td>
</tr>
</tbody>
</table>

#### SOURCES OF FUNDING

<table>
<thead>
<tr>
<th>Source</th>
<th>Yr 1</th>
<th>Yr 2</th>
<th>Yr 3</th>
<th>Yr 4</th>
<th>Yr 5</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nat’l Initiative for Leadership &amp; Inst. Effectiveness (NILIE)</td>
<td>190,000</td>
<td>190,000</td>
<td>200,000</td>
<td>210,000</td>
<td>222,000</td>
<td></td>
</tr>
<tr>
<td>Institutes &amp; Workshops</td>
<td>-</td>
<td>-</td>
<td>75,000</td>
<td>150,000</td>
<td>200,000</td>
<td></td>
</tr>
<tr>
<td>Belk Endowment Grant*</td>
<td>2,720,000</td>
<td>2,720,000</td>
<td>2,720,000</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>F&amp;A**</td>
<td>9,663</td>
<td>50,426</td>
<td>49,255</td>
<td>34,427</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>ORI***</td>
<td>5,522</td>
<td>28,815</td>
<td>28,146</td>
<td>19,673</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Expected future grant funding</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>791,788</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>College Matching (from grant; depending on enrollment)</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>College Support for Connectivity (during grant period)</td>
<td>7,636</td>
<td>8,018</td>
<td>8,419</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>College Personnel Support (during the grant period)</td>
<td>60,811</td>
<td>63,852</td>
<td>67,045</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>Total Sources of Funding</strong></td>
<td>2,993,632</td>
<td>3,061,110</td>
<td>3,147,864</td>
<td>1,205,887</td>
<td>1,722,000</td>
<td>12,130,493</td>
</tr>
</tbody>
</table>

*By naming the Center the Belk Endowment has shown it’s long term commitment to the Center, which will be determined over the course of the next 2 years.

**Calculated based on actual for Year 1 and as proposed in grant for following years; Center will receive 48% of approximate 22% that comes to the college (approximately 10.6% of F&A generated)

***Calculated based on actual for Year 1 and as proposed in grant for following years; Center will receive 50% of 12% that comes to ORI (approximately 6% of F&A generated)
MEMORANDUM

TO: W. Randolph Woodson
    Chancellor
    NC State University

FROM: Mladen A. Vouk
      Vice Chancellor for Research and Innovation
      NC State University

SUBJECT Recommendation to continue the Water Resources Research Institute of the University of North Carolina (WRRI) under Regulation 10.10.04

DATE: January 24, 2020

The Water Resources Research Institute of the University of North Carolina (WRRI) was established by the UNC System Board of Governors in July 1964. The Institute is one of 54 state water institutes that were authorized by the federal Water Resources Research Act of 1964 to administer and promote federal/state partnerships in research and information transfer on water-related issues. WRRI is a multi-campus Institute of the University of North Carolina System.

In accord with Regulation 10.10.04, a periodic (five-year) review of WRRI was conducted in Spring 2019 by a panel of experts selected by the US Geological Survey (USGS) of the US Department of the Interior. The consensus review provided by the Review Team indicates that the "Institute is performing at an outstanding level and is eligible for continued support". Indeed, the USGS called-out for commendation the work of the Director, Deputy Director and NC State University for the continuing long-term effort to build an inclusive, effective state-wide program that addresses water issues of interest to government agencies and the public.

Given the effectiveness of ongoing operations within the Institute, the NC State Office of Research and Innovation and the Provost's Office request continuance of WRRI as a multi-campus Institute based at NC State University as sanctioned by the Board of Trustees. I request your approval of this recommendation.

MAV/mh

cc: Susan White, Executive Director, WRRI
    Jonathan Horowitz, Associate Vice Chancellor for Research
    Larisa Slark, Centers and Institutes Specialist
MEMORANDUM

TO: Mladen Vouk
   Vice Chancellor for Research and Innovation

FROM: W. Randolph Woodson
       Chancellor

SUBJECT: Recommendation to continue the Water Resources Research Institute of the University of North Carolina (WRRI) under Regulation 10.10.04

DATE: January 27, 2020

In response to your Memorandum dated January 24, 2020, authorization is hereby granted to forward the request to continue Water Resources Research Institute of the University of North Carolina (WRRI) to the Board of Trustees for approval.

WRW/mh

cc: Susan White, Executive Director, WRRI
    Jonathan Horowitz, Associate Vice Chancellor for Research
    Larisa Slark, Centers and Institutes Specialist
Designation of Time Limited Option for Distinguished Professorships

Background: Donors who endow a distinguished professorship at NC State University may elect to pursue matching funds available through the state’s Distinguished Professors Endowment Trust Fund (DPETF). In accordance with state statutes, as well as University of North Carolina system and NC State University policies, the NC State University Board of Trustees (BoT) is authorized to designate that endowed distinguished professorships seeking DPETF matching funds may be time limited.

We request this designation from the BoT when a donor agreement indicates intent that a distinguished professorship be awarded, or potentially awarded, at a rank other than professor (i.e. assistant, associate professor) and/or for a period other than an individual’s full career.

This designation provides the university with the maximum flexibility in awarding the distinguished professorship over time. Still, the overwhelming majority of NC State’s distinguished professorships are offered to professors for the duration of their career at NC State.

Recommended Action: We request designation of the following distinguished professorships which may be time limited:

James W. Owens Distinguished Chair, Executive Vice Chancellor and Provost (managing unit), $2.667M endowment

Policy References:
UNC Policy 600.2.3 - Distinguished Professors Endowment Trust Fund
NCSU Policy 01.05.01 – Board of Trustees Bylaws
NCSU Regulation 05.20.17 – Professorships of Distinction
Conferral of Academic Tenure:

The information regarding conferral of academic tenure is included in the Closed Session Materials - Tab 7.4A.
REPORTS
Intercollegiate Athletics Annual Report
2018 - 2019

Dr. Lisa Zapata
Interim Vice Chancellor and Dean
Division of Academic and Student Affairs

Katie Graham
Assistant Dean and Associate Athletic Director
Academic Support Program for Student-Athletes

Annual Reporting Requirement
UNC System Office Policy 1100.1, related to intercollegiate athletics, “requires that chancellors submit an annual report to the Board of Trustees of the constituent institutions with a copy to the president, who will report to the Board of Governors.”

Reporting Requirements
- Undergraduate Student-Athlete Admission Profiles
- Graduate Student-Athlete Enrollment
- Undergraduate Student-Athlete Enrollment
- NCAA Academic Progress Rate
- NCAA Graduation Success Rate

Freshmen Enrollment Profile
Fall 2018 and Spring 2019
### Recruited Freshmen Student-Athletes

<table>
<thead>
<tr>
<th></th>
<th>Total Enrolled</th>
<th>Avg. Core HS GPA</th>
<th>Avg. SAT</th>
<th>Avg. ACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Athletes</td>
<td>157</td>
<td>3.79</td>
<td>1131</td>
<td>25</td>
</tr>
<tr>
<td>Men's Basketball</td>
<td>3</td>
<td>*</td>
<td>*</td>
<td>*</td>
</tr>
<tr>
<td>Women's Basketball</td>
<td>3</td>
<td>*</td>
<td>*</td>
<td>*</td>
</tr>
<tr>
<td>Football</td>
<td>43</td>
<td>3.39</td>
<td>1079</td>
<td>22</td>
</tr>
</tbody>
</table>

### Minimum Course and Admission Requirements

- **Minimum Course Requirements (MCR)**
  - Completion of specific courses at high school level prior to enrollment
- **Minimum Admission Requirements (MAR)**
  - Minimum high school GPA and test scores

### MCR and MAR Exceptions

<table>
<thead>
<tr>
<th></th>
<th>Enrolled</th>
<th>MCR Exceptions</th>
<th>MAR Exceptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>First-Time Freshmen</td>
<td>4,845</td>
<td>10</td>
<td>6</td>
</tr>
<tr>
<td>Recruited Freshmen Student-Athletes</td>
<td>157</td>
<td>5</td>
<td>6</td>
</tr>
</tbody>
</table>

### Graduate Student-Athlete Enrollment
**Graduate Enrollment**

- **Men's Football**:
  - 2014-15: 1
  - 2015-16: 2
  - 2016-17: 4
  - 2017-18: 6
  - 2018-19: 5
  - Total: 18

- **Men's Track & CC**:
  - 2014-15: 2
  - 2015-16: 2
  - 2016-17: 1
  - 2017-18: 4
  - 2018-19: 5
  - Total: 14

- **Men's Basketball**:
  - 2014-15: 1
  - 2015-16: 1
  - 2016-17: 2
  - 2017-18: 3
  - 2018-19: 7
  - Total: 16

- **Women's Track & CC**:
  - 2014-15: 1
  - 2015-16: 1
  - 2016-17: 2
  - 2017-18: 2
  - 2018-19: 1
  - Total: 7

- **Men's Wrestling**:
  - 2014-15: 1
  - 2015-16: 2
  - 2016-17: 1
  - 2017-18: 2
  - 2018-19: 4
  - Total: 14

- **Women's Basketball**:
  - 2014-15: 1
  - 2015-16: 1
  - 2016-17: 3
  - 2017-18: 4
  - 2018-19: 4
  - Total: 11

- **Women's Volleyball**:
  - 2014-15: 1
  - 2015-16: 2
  - 2016-17: 1
  - 2017-18: 4
  - 2018-19: 4
  - Total: 11

**Graduate Programs**
- Applied Statistics and Data Management
- Communications
- Global Luxury Management
- Industrial Engineering
- Liberal Studies
- Physiology
- Sport Management
- Sport and Entertainment Venue Management
- Textiles
- Youth Development and Leadership

**Undergraduate Student-Athlete Majors and Progress**
Top 10 Undergraduate Majors

1. Business Administration
2. Mechanical & Aerospace Engineering
3. Biological Sciences
4. Computer Science
5. Electrical & Computer Engineering
6. Psychology
7. Animal Science
8. Forestry
9. Civil Engineering
10. Communication

Undergraduate Top Majors

1. Business Administration
2. Mechanical & Aerospace Engineering
3. Biological Sciences
4. Computer Science
5. Electrical & Computer Engineering
6. Psychology
7. Animal Science
8. Forestry
9. Civil Engineering
10. Communication
11. Criminal Justice
12. Accounting
13. Environmental Science
14. Geography
15. Human Development
16. Nursing
17. Public Health
18. Social Work
19. Sociology
20. Speech-Language Pathology

Student-Athlete Top Majors

1. Business Administration
2. Sport Management
3. Communication
4. Psychology
5. Biological Sciences
6. Nutrition Science
7. Civil Engineering
8. Criminal Justice
9. Accounting
10. Electrical & Computer Engineering
11. Industrial Engineering
12. Political Science

Average Cumulative GPA

[Graph showing average cumulative GPA over years]
Academic Progress Rate

- Team-based metric that tracks the eligibility and retention of student-athletes each term.
- **How APR is calculated:**
  - Each student-athlete receiving athletically related financial aid earns one point for being academically eligible and one point for returning the next term or graduating.
  - A team's total points are divided by points possible and then multiplied by 1,000 to equal the team's Academic Progress Rate.
  - The rolling four-year APR is used to determine accountability.

Single-Year Academic Progress Rate

<table>
<thead>
<tr>
<th>Multi-Year APR</th>
<th>2017-18</th>
<th>NC State FBS Avg</th>
<th>NC State FBS Avg</th>
</tr>
</thead>
<tbody>
<tr>
<td>Men's Sports</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Basketball</td>
<td>977</td>
<td>976</td>
<td></td>
</tr>
<tr>
<td>Basketball</td>
<td>944</td>
<td>949</td>
<td>962</td>
</tr>
<tr>
<td>Cross Country</td>
<td>996</td>
<td>988</td>
<td>992</td>
</tr>
<tr>
<td>Football</td>
<td>932</td>
<td>929</td>
<td>933</td>
</tr>
<tr>
<td>Golf</td>
<td>982</td>
<td>928</td>
<td>954</td>
</tr>
<tr>
<td>Soccer</td>
<td>984</td>
<td>977</td>
<td>954</td>
</tr>
<tr>
<td>Swimming</td>
<td>993</td>
<td>984</td>
<td>963</td>
</tr>
<tr>
<td>Tennis</td>
<td>981</td>
<td>968</td>
<td>951</td>
</tr>
<tr>
<td>Track &amp; Field</td>
<td>955</td>
<td>974</td>
<td>961</td>
</tr>
<tr>
<td>Wrestling</td>
<td>951</td>
<td>979</td>
<td>961</td>
</tr>
</tbody>
</table>

- Metric created by the NCAA to measure graduation progress of student-athletes.
- **Includes:**
  - First-time, full-time freshmen
  - Students who enter midyear
  - Transfers into institution
- **Excludes:**
  - Students who leave institution in good standing prior to graduation with athletics eligibility remaining
- Reported as a 4-class average

Graduation Success Rate
### Graduation Success Rate
2009 - 2012

<table>
<thead>
<tr>
<th>Men's Sports</th>
<th>Women's Sports</th>
</tr>
</thead>
<tbody>
<tr>
<td>NC State</td>
<td>D1 Avg.</td>
</tr>
<tr>
<td>Baseball</td>
<td>100</td>
</tr>
<tr>
<td>Basketball</td>
<td>83</td>
</tr>
<tr>
<td>CC/Track</td>
<td>100</td>
</tr>
<tr>
<td>Golf</td>
<td>100</td>
</tr>
<tr>
<td>Gymnastics</td>
<td>86</td>
</tr>
<tr>
<td>Golf</td>
<td>90</td>
</tr>
<tr>
<td>Soccer</td>
<td>95</td>
</tr>
<tr>
<td>Swimming</td>
<td>90</td>
</tr>
<tr>
<td>Tennis</td>
<td>100</td>
</tr>
<tr>
<td>Swimming</td>
<td>73</td>
</tr>
<tr>
<td>Volleyball</td>
<td>74</td>
</tr>
</tbody>
</table>

NC State 87%
D1 Avg 88%
Graduation Update 2020
Louis Hunt
Senior Vice Provost
Enrollment Management and Services

Growth in Degrees Awarded 2010-2019

Source: Department of Registration and Records, 1/30/2020

↑15% in all Bachelor’s Degrees
↑33% in all Master’s Degrees
↑44% in all Doctoral Degrees
Freshman Graduation Rates 2002-2015

Source: Department of Registration and Records (2002-2015)

Six-Year Freshman Graduation Rates by Gender

Source: Department of Registration and Records (2002-2013)
Six-Year Freshman Graduation Rates of Tier 1 and Tier 2


Six-Year Freshman Graduation Rates of Underrepresented Students

(African American, Native American, and Hispanic)

Source: University Planning and Analysis (1999-2005); Department of Registration and Records (2006-2012) http://www2.aoa.ncsu.edu/UPA/Internaldatabase/intentionat_cone2011_ethnic.htm
**Six-Year Graduation Rates**

**UNC System and Peer Comparisons**

Source: North Carolina GA, Retention, Graduation, and Persistence Rates of First-Time Full-Time Freshmen, 2013

[Citation URL]

**Graduation Rate Projections**

Based on First-Term GPA Performance

Source: Enrollment Management and Services, 10/30/2020
QUESTIONS?

ldhunt@ncsu.edu
Pack the Polls Ambassador Program

In collaboration with Leadership and Civic Engagement, we have created the Pack the Polls Ambassador program. This program allows students who have a passion for voting and voter engagement to team up and educate students on the importance of voting. There will be a kick-off event on February 7th to promote the program and get students excited about voting.

Wellness Wednesdays

Teaming up with Wellness and Recreation, our Wellness department held a Wellness Wednesday event on Centennial Campus. This event promoted Well Rec programs and resources as well as educated students of the importance of wellness. Sharing these resources with students will help to bring awareness to the forefront of our university and allow us to improve students on-campus experience while they are here at NC State.

Graduation Picture Initiative

Students will now be able to get free photos taken for their graduation. This resource will now be held with the Graduation Robe Closet and allows students to have something to commemorate their time here at NC State.

Howl-n-Hoop Collaboration

In the effort of continuing a tradition like CampOut. Student Government, UAB, Alumni Association Student Ambassador Program, IRC, and Athletics hosted an event pre- Primetime with the Pack with games, photo opportunities for the Brick Traditions app, and prizes.

Respect the Pack: The Series

Director of Diversity Outreach Zakiya Covington created a program for Spring Connect Students and is currently working on a program that these students can attend that discusses diversity. The fall admitted students have an opportunity to attend symposiums to connect with other students but we want to extend this program to spring admitted students. These programs will address all aspects of diversity across the university.

Student Organization Registration Commission

Following an Executive Order, Student Government members sat down with student organization members and Student Involvement to discuss the student organization registration
process. Previously, this process has taken several months to complete and has been time consuming on the part of student organizations. We have shortened and streamlined the process without sacrificing student safety and now have over 650 registered student organizations.

Advisory Council
Student Government has looked upon past members of student government and professionals here at NC State to create and Advisory Council. This council will help to bring institutional knowledge back to student government and will assist members of SG in whatever way they need. This council is comprised of members from all branches and will serve in the absence of our Student Government Advisor.

I-Connect Spring Planning
With the need for a cultural competency training arising, working with the Office of Institutional Equity and Diversity, we will be making a trip to the University of Illinois At Urbana-Champagne to research the impact of this program. After the culmination of this trip, we will work together to bring this workshop here to NC State.

Coming Up for Students:
- ASG Spring Initiative
- Restructure of Appropriations Process
- Elections for the 100th Session
- Judicial Branch reinstatement
- Accessibility Excursion
- Open Syllabi Archive
- Wellness Resources in the OnCampus App

Executive Branch Goals
As a branch with 10 Directors, we want to work together this year to build community and relationships here at NC State. Our directors have been working this summer to create and curate ideas and programs that relate to We promise to serve as allies to all students, connect the Student Body to Student Government, collaborate with students, administration, faculty, and staff through inclusive, sustainable efforts that can be continued beyond just this year.

Updates as of 02/20
January 20, 2019

North Carolina State University
The Graduate School
1020 Main Campus Drive
Room 2300A
Raleigh, N 27695-7102

To: Dean Peter Harries, Graduate School
From: Dr. Julie Swann, Department Head, Industrial and Systems Engineering
Re: Request for Degree Program Name Change

This proposal requests to change the name of the existing Master of Supply Chain Engineering and Management (MSCEM) degree program to the Master of Engineering Management (MEM) degree program. I am submitting the request on behalf of faculty involved with the program including Dr. Julie Ivy (Professor in Industrial and Systems Engineering), Dr. Russell King (Foscue Professor and Distinguished Professor in ISE), Dr. Don Warsing (Associate Professor of Operations and Supply Chain Management in Poole College of Management), and others. I also endorse the request. The name change request has been reviewed with the Deans in the Colleges of Engineering and Management and relevant Associate Deans in the two colleges. All were supportive of the name change for the program.

Background: The existing degree program MSCEM (CIP 52.0203, 14SCEMMR/20SCEMMR) was approved as a collaboration between the College of Engineering (COE) and the Poole College of Management (PCOM) in approximately 2014. Poor timing and a narrow focus area led to low student interest. The colleges chose to suspend admitting new students in 2016. All students who entered have graduated, so there is not a teach-out plan for current students.

The name change would broaden the appeal and audience of the program to attract more students and better align with other similar programs nationally. This would allow the program to be more recognizable to both students and potential employers. In addition, the program would be consistent with nomenclature used by various ranking reports including the US News and World Report, which ranks Engineering Management programs annually. The degree requirements are consistent with those of other MEM programs throughout the country. Supply chain remains an area of concentration within the degree but the name change will also provide flexibility for future concentrations to be developed. Faculty and staff who participated in designing the program or have newly developed interests in it will determine how best to market the program in the future, using the name with the broad appeal and high recognition. There is already interest from several organizations who have heard about the potential name change. Discussions are also ongoing with the College of Engineering on timing and plan for marketing and readmittance.

Justification
Changing the name of the graduate degree to Master of Engineering Management is appropriate because:

- Master of Engineering Management is a recognized name for a degree that is often collaborative between engineering and management including at universities such as Purdue, Texas A&M, Arizona State, Duke, and Penn State.
• Interest in Engineering Management is high and it is a valuable degree to both engineers and management professionals.

• Enrollment in graduate programs in supply chain management is dropping, so revising the name to be consistent with nationally accepted and ranked names is likely to increase interest in the program.

• Master of Engineering Management is a name that is sufficiently broad to allow supply chain engineering and management to be contained within it while allowing a framework under which other concentrations could be added in the future to respond to market needs (e.g., healthcare).

Please do not hesitate to contact me if you have questions (ljswann@ncsu.edu or 919-515-6423).

Sincerely,

Julie L. Swann
A. Doug Allison Distinguished Professor and Head
Request for Degree Name Change to Engineering Management
North Carolina State University

This request has been reviewed and approved by the appropriate campus committees and authorities.

Endorsed By:

Julie L. Swann
Head, Department/Director of Graduate Program (Printed Name and Signature) Date

Seb Heese
Head, Department/Director of Graduate Program (Printed Name and Signature) Date

Recommended By:

Ranji Ranjithan
Chair, College Graduate Studies Committee (Printed Name and Signature) Date

Steven Allen
Chair, College Graduate Studies Committee (Printed Name and Signature) Date

Endorsed By:

College Dean (Printed Name and Signature) Date

Recommended By:

Vice Provost, DELTA (if DE degree) (Printed Name and Signature) Date

Approved By:

Dean of the Graduate School (Printed Name and Signature) Date

Recommended By:

Dean's Council (Printed Name and Signature) Date

Approved By:

Executive Vice Chancellor and Provost (Printed Name and Signature) Date

Approved By:

Chancellor (Printed Name and Signature) Date

(revised August 2015)
To: Dr. Jeffery P. Braden, Dean  
College of Humanities and Social Sciences

From: Professor Karen Bullock, PhD, MSW  
College of Humanities and Social Sciences, Department of Social Work, Head

Re: Name Change from Department of Social Work to School of Social Work

Date: October 4, 2019

Dear Dean Braden,

I write to request a name change for the Department of Social Work to the School of Social Work. This change will not require any changes in the names of CIP codes of any of the Department’s degrees.

The reasons for the proposed name change, which has the unanimous support of the departmental faculty, are as follows:

(1) To align the academic unit’s reputation and the success of the professional degree program(s) with our peer institutions. We have earned the reputation of a nationally “top 100 ranked” graduate program, according to U.S. News & World Report and other ranking sources. Given the academic success and the projections to continue such achievements, the name change with such prominence and stature among its peer institutions of higher education, and the discipline overall is a major. All of the top 50 social work programs in the US are “Schools” of Social Work. The requested name change will help improve NC State’s Social Work programs’ prominence and distinction. Nationwide, professional programs in social work are known as “Schools,” as with Law Schools and Architecture Schools.

(2) To attract more highly qualified students to apply to our program. Some applicants have voiced concerns about earning a master’s degree in social work degree from a program not in a professional school. Many prospective students to whom we offer admission choose UNC-Chapel Hill or UNC-Charlotte because those social work programs (and most other social work programs in the state of North Carolina) carry the name of School rather than Department.

Thank you,

Karen Bullock, PhD, LCSW  
Professor/ Department Head  
Phone: 919-515-0438  
Fax: 919-515-4403
Name Change: Department of Social Work

Jeffery Braden <jpbraden@ncsu.edu>  
To: "provost@ncsu.edu" <provost@ncsu.edu>  
Cc: "Larick, Duane" <dklarick@ncsu.edu>, Reva Dunn <rfdunn@ncsu.edu>, Karen Bullock <kbulloc2@ncsu.edu>, Deanna Dannels <dpdannel@ncsu.edu>, Amy Jinnette <arjinnet@ncsu.edu>

Warwick:

Attached you will find a formal letter requesting permission to change the name of the Department of Social Work to the School of Social Work. The letter provides a justification for the change. No programs, personnel, funding, administrative, or other changes are requested as part of the name change beyond the costs of updating the name in communications (e.g., stationery, website changes, pamphlets).

This request was reviewed and endorsed for consideration by the Associate Deans of Academic Affairs under Dr. Dannels's leadership.

Thank you for your consideration. Please let me know if you have any questions, etc.

Jeff

Jeffery P. Braden, PhD  
Dean and Professor of Psychology  
106 Caldwell Hall  
Campus Box 8101  
Raleigh, NC 27695-8101  
Phone: 919.515.2468  
Fax: 919.515.9419  
email: jeff_braden@ncsu.edu

All electronic mail messages in connection with state business which are sent to or received by this account are subject to the NC Public Records Law and may be disclosed to third parties.
North Carolina State University
Routing for On-Campus Approval of a Department Name Change

This request has been reviewed and approved by the appropriate campus committees and authorities.

Recommended By: ___________________________ Date 12/13/19
Council of Deans

Approved By: ___________________________ Date 12/13/19
Executive Vice Chancellor and Provost

Approved By: ___________________________ Date 11/8/19
Chancellor
NC State University  
Certificate Proposal Form

Certificate Title: **Graduate Certificate in AISC Design and Verification**  
New: X  
Revision: □

Classification of Instructional Programs (CIP) Discipline # (6 digits): **14.1001**  
*Please ensure that you select the appropriate CIP code for your certificate program. Please consult this website for more information about CIP codes: [https://nces.ed.gov/ipeds/cipcode/default.aspx?v=55](https://nces.ed.gov/ipeds/cipcode/default.aspx?v=55)*

Certificate Type:  
On-Campus: □  Distance: □  On-Campus & Distance: X

Proposed Effective Date: **Spring 2020**

Director of the Certificate Program: **Paul Franzon**  
Program Coordinator (if different from Director): **N/A**  
Graduate Services Coordinator: **Fenile Jones**  
College: **College of Engineering**  
Department/Program: **Electrical and Computer Engineering**

Catalog Description:

<table>
<thead>
<tr>
<th>Year</th>
<th>On-Campus</th>
<th>Distance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuing</td>
<td>Yr. 1-0</td>
<td>Yr. 1-0</td>
</tr>
<tr>
<td>New</td>
<td>Yr. 1-5</td>
<td>Yr. 1-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 2-3</td>
<td>Yr. 2-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-5</td>
<td>Yr. 3-7</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-8</td>
<td>Yr. 4-10</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-10</td>
<td>Yr. 3-8</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-12</td>
<td>Yr. 4-10</td>
</tr>
</tbody>
</table>

Attachments:

- □ Proposal Document
- □ Statement of other departments likely to be affected and summary of consultation with those departments
- □ Program-level assessment
- □ Campus Routing Form
- □ Signature Page
Graduate Certificate in ASIC Design and Verification

Program Justification
The Electrical and Computer Engineering (ECE) department proposes to offer a Graduate Certificate Program (GCP) in ASIC Design and Verification (ADV).

ASIC stands for “Application Specific Integrated Circuit”. It refers to a digital silicon chip designed and optimized for a small range of functions. ASIC Design and Verification courses have long been a strong feature of our MS offerings in ECE. Every year over 100 on-campus students and several EOL students take this combination. By creating a Graduate Certificate in this area, we hope to signal to a broader community that NCSU is a market leader in the teaching of these technologies. In addition, there are a number of employers that will pay for their employees to take graduate certificates but not a full MS degree and we hope to capture more of that market.

It will be available to both on-campus students and distance education students through Engineering Online (EOL).

Program Objectives
1. In this certificate program, students will learn advanced concepts, methods and tools underlying the design and verification of digital ASICs.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

Program of Study
The ADV GCP requires a total of 12 credit hours consisting of four graduate-level Electrical and Computer Engineering courses taken for a letter grade. (EOL = course offered via EOL as well to residential students)

I. All students must complete the following four courses:
   • ECE 564 ASIC and FPGA Design with Verilog (EOL)
   • ECE 745 ASIC Verification (EOL)
   • ECE 748 ASIC Verification with Universal Verification Methodology (EOL)
   • ECE 546 VLSI Design (EOL) or ECE 720 Electronic System Level and Physical Design (EOL)

Note, ECE 720 and ECE 745 require ECE 564. ECE 748 requires ECE 745. All these courses are offered every year. All these courses have required projects.

Admission Requirements
Students must meet ONE of the following requirements for admission into the ADV Graduate Certificate Program:

• Have a BS degree in Electrical or Computer Engineering from a regionally accredited four-year college or university, and have an overall GPA of at least 3.0 on a 4-point scale.
• Have a BS or a BA degree in the sciences or engineering from a regionally accredited four-year college or university with an overall GPA of at least 3.0 on a 4-point scale. The student needs to have taken and passed the background courses appropriate for their proposed plan of study. The requirements will be the same as for an MS student as per our application website [https://www.ece.ncsu.edu/grad/apply/](https://www.ece.ncsu.edu/grad/apply/)

• Be a degree-seeking student in good standing in an NC State University graduate program in the sciences or engineering.

• Premium tuition is charged on this certificate, students who are currently pursuing other degrees and/or certificates will not be admitted to this certificate until they complete those other programs. Once they are enrolled in this certificate, credit hours will be subject to the Electrical and Computer Engineering MS tuition premium\(^1\), until the certificate is received.

**Application and Completion Process**

An application for acceptance into the GCP is required for all new students. Students must complete the Graduate School application, found at [https://grad.ncsu.edu/apply/](https://grad.ncsu.edu/apply/).


New applications will be reviewed at the department/program level.

Registration procedures, registration dates and course availability for each semester can be found on the NCSU Registration and Records webpage at [http://www.ncsu.edu/registrar/](http://www.ncsu.edu/registrar/). Additional information regarding the ADV GCP can be found on the Electrical and Computer Engineering ([http://www.ece.ncsu.edu](http://www.ece.ncsu.edu)) website. Questions regarding the ADV GCP can be directed to the certificate coordinator. Information regarding Engineering Online can be found at [http://engineeringonline.ncsu.edu](http://engineeringonline.ncsu.edu).

**Admission to Other Graduate Programs**

Academic success in the ADV GCP might have a strong bearing on admission to a graduate degree program. However, completion of a graduate certificate program *in no way* guarantees entry into a graduate degree program, which must be done through a separate application process.

**Academic Performance Requirements**

• The ADV GCP requires a total of 12 credit hours.

• To receive a Graduate Certificate, a student must maintain a minimum 3.00 grade point average (GPA) on Graduate Certificate coursework taken at NCSU. All grades on courses taken towards the GCP in courses numbered 500 and above are included in the GPA. Any courses taken at the 400 level and below are not eligible for certificate credit.

• All courses taken for certificate credit must be completed with a grade of “B-” or better.

\(^1\) Premium tuition is charged based on a student's program of study, not individual courses the student takes, and this policy is outside the department's control. For instance, ECE Masters students pay the ECE premium even if in a given semester they take one, two, or three courses outside the ECE department. Similarly, once a student is admitted to the ADV GCP and the certificate is added to their program of study, they will be charged the premium. We plan to include this information on the certificate website so that students make an informed decision.
- All courses at the 500- or 700-level taken for certificate credit must be letter-graded. Credit-only courses cannot be used for certificate credit.

- Transfer credit from other institutions is not allowed for the GCP. All coursework must be registered through NC State University.

- Up to three (3) credit hours of NOS coursework, if not already used in another graduate program, may be transferred into the GCP. All transfer credit must carry a grade of B or better.

- Graduate Certificate courses taken by students who are enrolling after completion of a degree program may be double-counted towards that degree (1) to the extent that the courses unique to the degree remain at 18 hours for a Masters degree or 36 hours for a PhD degree and (2) subject to the course requirements of that degree.

- All GCP requirements must be completed within four (4) calendar years, beginning with the date the student commences courses applicable to the GCP. In addition, students must maintain continuous enrollment every semester until all coursework is completed. A one-semester leave of absence may be granted if the student is unable to enroll in a course due to extenuating circumstances. The leave of absence must be approved in writing by the ECE DGP before the start of the semester.

**Program Administration**
The ADV GCP will be administered by the Director of Graduate Programs in the Department of Electrical and Computer Engineering, in cooperation with the NCSU Engineering Online program for distance-education students.

All certificate courses are existing courses in Electrical and Computer Engineering. The implementation and presentation of the certificate is not expected to require effort outside the normal academic activities of the course instructors. No additional staff or resources are required to support the administration of this program.

**Enrollment Projection**

<table>
<thead>
<tr>
<th></th>
<th>Yr 1</th>
<th>Yr 2</th>
<th>Yr 3</th>
<th>Yr 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>On campus</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
<tr>
<td>Distance Education</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
</tbody>
</table>

These projections are based on (1) discussions with industry members of the Electrical and Computer Engineering Strategic Advisory Board and (2) repeated unsolicited requests and questions received by our program, and taking into account the different pace of on-campus vs. online students.

**Tuition and Fees**
The department will seek approval for a tuition structure that is identical to that of the Electrical and Computer Engineering Master’s program, i.e., that includes the tuition premium. Tuition premium is charged based on the student’s program.

**Faculty Participants**
All faculty who teach courses listed in the Certificate will participate in the ADV GCP.
Departments likely to be affected

No other department is affected.

Outcomes Assessment Plan

Objectives

1. In this certificate program, students will learn advanced concepts, methods and tools underlying the design and verification of digital ASICs.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

Outcomes

1. By the time they complete this certificate program, graduates should be able to:
   • Apply the methods and tools learned during the certificate studies to tackle ADV problems and tasks
   • Use relevant software packages and tools to tackle ADV problems and tasks
2. At the time they complete this certificate program, graduates are expected to:
   • Be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals
   • Be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals
   • Be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals
   • Be satisfied with the frequency and timeliness of courses offered for the certificate
   • Be satisfied with the quality of teaching in certificate courses
   • Be satisfied with the overall educational experience of the certificate program

Objective 1 will be measured by having students upload class project reports to a specially constructed Moodle or similar site. A sample of these will be evaluated against the following rubric:

• To what extent do the project reports demonstrate that students learned to apply concepts, methods and tools to tackle ADV problems and tasks? (1=Not at all, 5=high).
• To what extent do the project reports demonstrate that students learned relevant software packages to tackle ADV problems and tasks? (1=Not at all, 5=high).

Objective 2 will measure student satisfaction of their experience in the certificate by questions on the Graduate School’s graduating student exit survey.
Objective 1. Students will learn advanced concepts, methods and tools underlying the design and verification of digital ASICs.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apply the concepts, methods, and tools learned during the certificate studies to tackle ADV problems and tasks</td>
<td>Student project reports</td>
<td>Uploaded project reports</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>Use relevant software packages to tackle ADV problems and tasks</td>
<td>Student project reports</td>
<td>Uploaded project reports</td>
<td>Bi-Annually</td>
</tr>
</tbody>
</table>

Note: Each of the certificate courses have a required class.

Objective 2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>To be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>To be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>To be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>To be satisfied with the frequency and</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>timeliness of courses offered for the certificate</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>---------------------------------------------</td>
<td>----------------</td>
<td>------------</td>
</tr>
<tr>
<td>To be satisfied with the quality of teaching in certificate courses</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Bi-Annually</td>
</tr>
<tr>
<td>To be satisfied with the overall educational experience of the certificate program</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Graduate Certificate in ASIC Design and Verification
North Carolina State University

This request has been reviewed and approved by the appropriate campus committees and authorities.

Endorsed By: Paul D. Franzon
DGP ECE
paull@ncsu.edu
919-513-0531

Head, Department/Director of Graduate Program (Printed Name and Signature) 11/21/18

Recommended By:

Chair, College Graduate Studies Committee (Printed Name and Signature) 11/16/18

Endorsed By:

College Dean
(Printed Name and Signature) 11-16-2018

Recommended By:

Vice Provost, DELTA (if DE degree) 1/15/19
(Printed Name and Signature)

Approved By:

Dean of the Graduate School 8/22/19
(Printed Name and Signature)

Recommended By:

Dean's Council 8/26/19
(Printed Name and Signature)

Approved By:

Executive Vice Chancellor and Provost 9/27/19
(Printed Name and Signature)

Approved By:

Chancellor 11/13/19
(Printed Name and Signature)

(revised August 2015)
NC State University
Certificate Proposal Form

Certificate Title: Graduate Certificate in Computer Engineering
New: X
Revision: □

Classification of Instructional Programs (CIP) Discipline # (6 digits): 14.0901
*Please ensure that you select the appropriate CIP code for your certificate program. Please consult this website for more information about CIP codes: https://nces.ed.gov/ipeds/cipcode/default.aspx?v=55

Certificate Type:
On-Campus: □ Distance: □ On-Campus & Distance: X

Proposed Effective Date: Fall 2019

Director of the Certificate Program: Paul Franzon
Program Coordinator (if different from Director): N/A
Graduate Services Coordinator: Renile Jones
College: College of Engineering
Department/Program: Electrical and Computer Engineering

Catalog Description:
The Graduate Certificate in Computer Engineering provides students with advanced academic credentials in Computer Engineering. The program is intended for professional development and may be tailored to individual requirements.

Enrollment:
Continuing
On-Campus: Yr. 1-0 Yr. 2-3 Yr. 3-5 Yr. 4-8
Distance: Yr. 1-0 Yr. 2-5 Yr. 3-7 Yr. 4-10
New
On-Campus: Yr. 1-5 Yr. 2-7 Yr. 3-10 Yr. 4-12
Distance: Yr. 1-5 Yr. 2-5 Yr. 3-8 Yr. 4-10

Attachments:
□ Proposal Document
□ Statement of other departments likely to be affected and summary of consultation with those departments
□ Program-level assessment
□ Campus Routing Form
□ Signature Page
Graduate Certificate in Computer Engineering

Program Justification
The Electrical and Computer Engineering (ECE) department proposes to offer a Graduate Certificate Program (GCP) in Computer Engineering (CPE). This program is primarily intended for individuals who wish to increase their knowledge and skills in Computer Engineering either for future career opportunities or in preparation for graduate studies. Students who complete the certificate will gain in-depth knowledge in Computer Engineering concepts, methods and tools. We anticipate that professionals interested in the CPE GCP will enroll as distance education students through Engineering Online (EOL). Many Computer Engineering courses are already being offered through EOL as part of the existing Master of Computer Engineering distance education degree program. The CPE GCP will also be available to on-campus graduate students in the sciences and engineering who want to expand their knowledge of the field.

Program Objectives
1. In this certificate program, students will learn advanced concepts, methods and tools of Computer Engineering and apply them to a variety of computer engineering problems and tasks.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

Program of Study
The CPE GCP requires a total of 12 credit hours of graduate-level Computer Engineering courses taken for a letter grade. There is no prescribed list of courses for the certificate; students may take a combination of courses tailored to their interests and needs, subject to course prerequisites.

The following courses are permitted to be counted towards the degree.

- Any course listed in the ECE Graduate handbook in Appendices A, B or C as falling into the “CPE” major or the “EE/CPE” major, EXCEPT for the following courses:
  o Special topics courses, i.e. courses with numbers starting with ECE 592, ECE 791 or ECE 792
  o 600 and 800 level course including ECE 600, 633, 634, 650, 695, 699, 833, 834, 895, 896 or 899

A list of courses the currently satisfy these rules are as follows:

CPE COURSES
ECE(CSC) 506 - Architecture Of Parallel Computers
ECE 517 - Object-Oriented Design and Development
ECE 546 – VLSI Systems Design
ECE(CSC) 547 - Cloud Computing Technology
ECE 560 – Embedded System Architectures
ECE 561 - Embedded System Analysis and Optimization  
ECE 563 - Computer Design and Technology  
ECE 564 - ASIC and FPGA Design with Verilog  
ECE 566 - Compiler Optimization and Scheduling  
ECE(CSC) 570 - Computer Networks  
ECE(CSC) 573 - Internet Protocols  
ECE(CSC) 574 - Computer And Network Security  
ECE(CSC) 575 - Introduction To Wireless Networking  
ECE(CSC) 576 - Networking Services: Qos, Signaling, Processes  
ECE(CSC) 577 - Switched Network Management  
ECE(CSC)(OR) 579 - Introduction To Computer Performance Modeling  
ECE 705 - Memory Systems  
ECE 706 - Advanced Parallel Computer Architecture  
ECE 720 - Electronic System Level and Physical Design  
ECE 721 - Advanced Microarchitecture  
ECE 745 - ASIC Verification  
ECE(CSC) 773 - Advanced Topics In Internet Protocols  
ECE(CSC) 774 - Advanced Network Security  
ECE(CSC) 775 - Advanced Topics In Wireless Networking  
ECE(CSC) 776 - Design & Performance Evaluation Of Network Systems & Services  
ECE(CSC) 777 - Telecommunications Network Design  

CPE Online  
ECE (CSC) 506 - Architecture of Parallel Computers  
ECE (CSC) 517 - Object-Oriented Design and Development  
ECE 546 - Vlsi Design Systems  
ECE 560 - Embedded System Architectures  
ECE 561 - Embedded System Optimization  
ECE 564 - Asic and Fpga Design with Verilog  
ECE (Csc) 570 - Computer Networks  
ECE (CSS) 573 - Internet Protocols  
ECE (CSC) 574 - Computer and Network Security  
ECE (CSC) 575 - Introduction to Wireless Networking  
ECE (CSC) 576 - Networking Services: Qos, Signaling, Processes  
ECE (CSC, OR) 579 - Introduction to Computer Performance Modeling  
ECE 706 - Advanced Parallel Computer Architecture  
ECE 720 - Electronic System Level And Physical Design  
ECE 745 - Application Specific Integrated Circuit Verification  
ECE 773 - Advanced Topics in Internet Protocols
**Admission Requirements**

Students must meet **ONE** of the following requirements for admission into the CPE Graduate Certificate Program:

- Have a BS degree in Electrical or Computer Engineering from a regionally accredited four-year college or university, and have an overall GPA of at least 3.0 on a 4-point scale.
- Have a BS degree in the sciences or engineering from a regionally accredited four-year college or university with an overall GPA of at least 3.0 on a 4-point scale.
- Be a degree-seeking student in good standing in an NC State University graduate program in the sciences or engineering.
- Premium tuition is charged on this certificate, students who are currently pursuing other degrees and/or certificates will not be admitted to this certificate until they complete those other programs. Once they are enrolled in this certificate, credit hours will be subject to the Electrical and Computer Engineering MS tuition premium\(^1\), until the certificate is received.

**Application and Completion Process**

An application for acceptance into the GCP is required for all new students. Students must complete the Graduate School application, found at [https://grad.ncsu.edu/apply/](https://grad.ncsu.edu/apply/).


New applications will be reviewed at the department/program level.

Registration procedures, registration dates and course availability for each semester can be found on the NCSU Registration and Records webpage at [http://www.ncsu.edu/registrar/](http://www.ncsu.edu/registrar/). Additional information regarding the EE GCP can be found on the Electrical and Computer Engineering ([http://www.ece.ncsu.edu](http://www.ece.ncsu.edu)) website. Questions regarding the EE GCP can be directed to the certificate coordinator. Information regarding Engineering Online can be found at [http://engineeringonline.ncsu.edu](http://engineeringonline.ncsu.edu).

**Admission to Other Graduate Programs**

Academic success in the EE GCP might have a strong bearing on admission to a graduate degree program. However, completion of a graduate certificate program **in no way** guarantees entry into a graduate degree program, which must be done through a separate application process.

**Academic Performance Requirements**

- The EE GCP requires a total of 12 credit hours.

---

\(^1\) Premium tuition is charged based on a student's program of study, not individual courses the student takes, and this policy is outside the department's control. For instance, ECE Masters students pay the ECE premium even if in a given semester they take one, two, or three courses outside the ECE department. Similarly, once a student is admitted to the CPE GCP and the certificate is added to their program of study, they will be charged the premium. We plan to include this information on the certificate website so that students make an informed decision.
To receive a Graduate Certificate, a student must maintain a minimum 3.00 grade point average (GPA) on Graduate Certificate coursework taken at NCSU. All grades on courses taken towards the GCP in courses numbered 500 and above are included in the GPA. Any courses taken at the 400 level and below are not eligible for certificate credit.

All courses taken for certificate credit must be completed with a grade of "B-" or better.

All courses at the 500- or 700-level taken for certificate credit must be letter-graded. Credit-only courses cannot be used for certificate credit.

Transfer credit from other institutions is not allowed for the GCP. All coursework must be registered through NC State University.

Up to three (3) credit hours of NDS coursework, if not already used in another graduate program, may be transferred into the GCP. All transfer credit must carry a grade of B or better.

Graduate Certificate courses taken by students who are enrolling after completion of a degree program may be double-counted towards that degree (1) to the extent that the courses unique to the degree remain at 18 hours for a Masters degree or 30 hours for a PhD degree and (2) subject to the course requirements of that degree.

All GCP requirements must be completed within four (4) calendar years, beginning with the date the student commences courses applicable to the GCP. In addition, students must maintain continuous enrollment every semester until all coursework is completed. A one-semester leave of absence may be granted if the student is unable to enroll in a course due to extenuating circumstances. The leave of absence must be approved in writing by the ECE DGP before the start of the semester.

Program Administration
The CPE GCP will be administered by the Director of Graduate Programs in the Department of Electrical and Computer Engineering, in cooperation with the NCSU Engineering Online program for distance-education students.

All certificate courses are existing courses in Electrical and Computer Engineering. The implementation and presentation of the certificate is not expected to require effort outside the normal academic activities of the course instructors. No additional staff or resources are required to support the administration of this program.

Enrollment Projection

<table>
<thead>
<tr>
<th></th>
<th>Yr 1</th>
<th>Yr 2</th>
<th>Yr 3</th>
<th>Yr 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>On campus</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
<tr>
<td>Distance Ed</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
</tbody>
</table>

These projections are based on (1) discussions with industry members of the Electrical and Computer Engineering Strategic Advisory Board and (2) repeated unsolicited requests and questions received by our program, and take into account the different pace of on-campus vs. online students.
Tuition and Fees
The department will seek approval for a tuition structure that is identical to that of the Electrical and Computer Engineering Masters program, i.e., that includes the tuition premium. Tuition premium is charged based on the student’s program.

Faculty Participants
All faculty who teach graduate-level Computer Engineering courses will participate in the CPE GCP.

Departments likely to be affected
No other departments are likely to be affected by the proposed graduate certificate.

Outcomes Assessment Plan

Objectives

1. The certificate program will provide a graduate level working knowledge of current Computer Engineering concepts and methods.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

Outcomes

1. By the time they complete this certificate program, graduates should be able to:
   - Identify and describe the major principles, methods, and tools of one field of Computer Engineering
   - Apply the methods and tools learned during the certificate studies to tackle computational problems and tasks
   - Use relevant software packages and tools in their own professional activities

2. At the time they complete this certificate program, graduates are expected to:
   - Be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals
   - Be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals
   - Be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals
   - Be satisfied with the frequency and timeliness of courses offered for the certificate
- Be satisfied with the quality of teaching in certificate courses
- Be satisfied with the overall educational experience of the certificate program

Objective 1. Students will learn advanced concepts, methods and tools of Computer Engineering and apply them to a variety of computational problems tasks.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify and describe the major principles, methods, and tools of one field of Computer Engineering</td>
<td>Final exams in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>Apply the concepts and methods learned during the certificate studies to tackle computational problems and tasks</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>Use relevant software packages and tools in their own professional activities</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
</tbody>
</table>

Objective 2. The certificate program will provide an educational experience that satisfies the expectations of its graduates

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>To be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the appropriateness</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>Requirement</td>
<td>Method</td>
<td>Department</td>
<td>Frequency</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------</td>
<td>--------------------------------------------------</td>
<td>---------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>To be satisfied with the frequency and timeliness of courses offered for the certificate</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the quality of teaching in certificate courses</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the overall educational experience of the certificate program</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
</tbody>
</table>
Graduate Certificate in Computer Engineering  
North Carolina State University  

This request has been reviewed and approved by the appropriate campus committees and authorities.

**Endorsed By:**  

[Signature]  
10/31/18  
Head, Department/ Director of Graduate Program (Printed Name and Signature)  
Date

**Recommended By:**  

[Signature]  
11/16/18  
Chair, College Graduate Studies Committee (Printed Name and Signature)  
Date

**Endorsed By:**  

[Signature]  
11/6/2018  
College Dean (Printed Name and Signature)  
Date

**Recommended By:**  

[Signature]  
1/15/17  
Vice Provost, DELTA (if DE degree) (Printed Name and Signature)  
Date

**Approved By:**  

[Signature]  
8/22/17  
Dean of the Graduate School (Printed Name and Signature)  
Date

**Recommended By:**  

[Signature]  
8/26/19  
Dean's Council (Printed Name and Signature)  
Date

**Approved By:**  

[Signature]  
9/27/19  
Executive Vice Chancellor and Provost (Printed Name and Signature)  
Date

**Approved By:**  

[Signature]  
11/23/19  
Chancellor (Printed Name and Signature)  
Date

(revised August 2015)
NC State University
Certificate Proposal Form

Certificate Title: Graduate Certificate in Electrical Engineering
    New: X
    Revision: □

Classification of Instructional Programs (CIP) Discipline # (6 digits): 14.1001
    *Please ensure that you select the appropriate CIP code for your certificate program. Please consult this website for more information about CIP codes: https://nces.ed.gov/ipeds/cipcode/default.aspx?y=55

Certificate Type:
    On-Campus: □  Distance: □  On-Campus & Distance: X

Proposed Effective Date: Fall 2019

Director of the Certificate Program: Paul Franzon
Program Coordinator (if different from Director): N/A
Graduate Services Coordinator: Fenile Jones
College: College of Engineering
Department/Program: Electrical and Computer Engineering

Catalog Description:

The Graduate Certificate in Electrical Engineering provides students with advanced academic credentials in Electrical Engineering. The program is intended for professional development and may be tailored to individual requirements.

<table>
<thead>
<tr>
<th>Enrollment</th>
<th>On-Campus</th>
<th>Distance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuing</td>
<td>Yr. 1-0</td>
<td>Yr. 1-0</td>
</tr>
<tr>
<td></td>
<td>Yr. 2-3</td>
<td>Yr. 2-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-5</td>
<td>Yr. 3-7</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-8</td>
<td>Yr. 4-10</td>
</tr>
<tr>
<td>New</td>
<td>Yr. 1-5</td>
<td>Yr. 1-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 2-7</td>
<td>Yr. 2-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-10</td>
<td>Yr. 3-8</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-12</td>
<td>Yr. 4-10</td>
</tr>
</tbody>
</table>

Attachments:

☐ Proposal Document
☐ Statement of other departments likely to be affected and summary of consultation with those departments
☐ Program-level assessment
☐ Campus Routing Form
☐ Signature Page
Graduate Certificate in Electrical Engineering

Program Justification
The Electrical and Computer Engineering (ECE) department proposes to offer a Graduate Certificate Program (GCP) in Electrical Engineering (EE). This program is primarily intended for individuals who wish to increase their knowledge and skills in Electrical Engineering either for future career opportunities or in preparation for graduate studies. Students who complete the certificate will gain in-depth knowledge in Electrical Engineering concepts, methods and tools. We anticipate that professionals interested in the EE GCP will enroll as distance education students through Engineering Online (EOL). Many Electrical Engineering courses are already being offered through EOL as part of the existing Master of Electrical Engineering distance education degree program. The EE GCP will also be available to on-campus graduate students in the sciences and engineering who want to expand their knowledge of the field.

Program Objectives
1. In this certificate program, students will learn advanced concepts, methods and tools of Electrical Engineering and apply them to a variety of electrical engineering problems and tasks.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

Program of Study
The EE GCP requires a total of 12 credit hours of graduate-level Electrical Engineering courses taken for a letter grade. There is no prescribed list of courses for the certificate; students may take a combination of courses tailored to their interests and needs, subject to course prerequisites.

The following courses are permitted to be counted towards the degree.

- Any course listed in the ECE Graduate handbook in Appendices A, B or C as falling into the “EE” major or the “EE/CPE” major, EXCEPT for the following courses:
  o Special topics courses, i.e. courses with numbers starting with ECE 592, ECE 791 or ECE 792
  o 600 and 800 level course including ECE 600, 633, 634, 650, 695, 699, 833, 834, 895, 896 or 899

The EE courses that currently satisfy these rules are:

**EE COURSE**
ECE 511 - Analog Electronics
ECE 513 – Digital signal processing
ECE 515 -Digital Communications
ECE 516 – Systems Control Engineering
ECE 522 (BME) – Medical Instrumentation
ECE 523 - Photonics and Optical Communications
ECE 524 - Radio System Design
ECE 530 - Physical Electronics (Required For Nep Majors)
ECE 531 - Principles of Transistor Devices
ECE 532 - Principles of Microwave Circuits
ECE 533 - Power Electronics Design & Packaging
ECE 534 - Power Electronics
ECE(MAE) 535 - Design Of Electromechanical Systems
ECE 540 - Electromagnetic Fields
ECE 542 - Neural Networks
ECE 544 - Design of Electronic Packaging and Interconnects
ECE 546 - VLSI System Design
ECE 549 - RF Design For Wireless
ECE 550 - Power System Operation and Control
ECE 551 - Smart Electric Power Distribution Systems
ECE 552 - Renewable Electric Energy Systems
ECE 553 - Semiconductor Power Devices
ECE 555 - Computer Control of Robots
ECE 556 - Mechatronics
ECE 557 - Principles of Mos Transistors
ECE 558 - Digital Imaging Systems
ECE (CHE) 568 - Conventional and Emerging Nanomanufacturing Techniques and Their Applications In Nanosystems
ECE 581 - Electronic Power System Protection
ECE 582 - Wireless Communication Systems
ECE 583 - Electronic Power Engineering Practicum I
ECE 584 - Electronic Power Engineering Practicum II
ECE 585 - The Business of the Electric Utility Industry
ECE 586 - Communications and SCADA Systems for Smart Grid
ECE (MSE)(PY) 589 - Solid State Solar And Thermal Harvesting
ECE 712 - Integrated Circuit Design For Wireless Communications
ECE 718 - Computer-Aided Circuit Analysis
ECE 719 - Microwave Circuit Design Using Scattering Parameters
ECE 722 - Electronic Properties of Solid State Materials
ECE 723 - Optical Properties of Semiconductors
ECE 724 - Electronic Properties of Solid State Devices
ECE 725 - Quantum Engineering
ECE 726 - Advanced Feedback Control
ECE 732 - Dynamics and Control of Electric Machines
ECE 733 - Digital Electronics
ECE 734 - Power Management Integrated Circuits
ECE 736 – Power System Stability and Control
ECE 739 - Integrated Circuit Technology & Fabrication Laboratory
ECE 751 - Detection and Estimation Theory
ECE 752 - Information Theory
ECE 753 – Computational Methods for Power Systems
ECE 756 - Advanced Mechatronics
ECE 759 – Pattern Recognition
ECE 762 - Advanced Digital Communications Systems
ECE 763 – Computer Vision
ECE 766 - Signal Processing For Communications and Networking
ECE 767 - Error-Control Coding

EE Online

ECE 511- Analog Electronics
ECE 513 - Digital Signal Processing
ECE 514 - Random Processes
ECE 515 - Digital Communications
ECE 516 - Systems Control Engineering
ECE 530 - Physical Electronics
ECE 534 - Fundamentals of Power Electronics and Utility Applications
ECE (MAE) 535 - Design Of Electromechanical Systems
ECE 542 - Neural Networks
ECE 544 - Design of Electronic Packaging and Interconnects
ECE 546 - VlsI Design Systems
ECE 549 - Rf Design For Wireless
ECE 550 - Power System Operation and Control
ECE 551 - Smart Electric Power Distribution Systems
ECE 552 - Renewable Electric Energy Systems
ECE 556 - Agent-Based Mechatronics Systems
ECE 568 - Conventional and Emerging Nanomanufacturing Techniques and Their Applications In Nanosystems
ECE 581 - Electric Power System Protection
ECE 583 - Electric Power Engineering Practicum I
ECE 584 - Electric Power Engineering Practicum II
ECE 585 - The Business of yhe Electric Utility Industry
ECE 586 - Communication and Scada Systems for Smart Grid
ECE 589 - Solid State Solar and Thermal Energy Harvesting
ECE 712 - Integrated Circuit Design For Wireless Communications
ECE 719 - Advanced Microwave Design
ECE 723 - Optical Properties of Semiconductors
ECE 732 - Dynamics and Control of Electric Machines
Admission Requirements
Students must meet ONE of the following requirements for admission into the EE Graduate Certificate Program:

- Have a BS degree in Electrical or Computer Engineering from a regionally accredited four-year college or university, and have an overall GPA of at least 3.0 on a 4-point scale.
- Have a BS degree in the sciences or engineering from a regionally accredited four-year college or university with an overall GPA of at least 3.0 on a 4-point scale.
- Be a degree-seeking student in good standing in an NC State University graduate program in the sciences or engineering.
- Premium tuition is charged on this certificate, students who are currently pursuing other degrees and/or certificates will not be admitted to this certificate until they complete those other programs. Once they are enrolled in this certificate, credit hours will be subject to the Electrical and Computer Engineering MS tuition premium\(^1\), until the certificate is received.

Application and Completion Process
An application for acceptance into the GCP is required for all new students. Students must complete the Graduate School application, found at [https://grad.ncsu.edu/apply/](https://grad.ncsu.edu/apply/).


New applications will be reviewed at the department/program level.

Registration procedures, registration dates and course availability for each semester can be found on the NCSU Registration and Records webpage at [http://www.ncsu.edu/registrar/](http://www.ncsu.edu/registrar/). Additional information regarding the EE GCP can be found on the Electrical and Computer Engineering (http://www.ece.ncsu.edu) website. Questions regarding the EE GCP can be directed to the certificate coordinator. Information regarding Engineering Online can be found at [http://engineeringonline.ncsu.edu](http://engineeringonline.ncsu.edu).

\(^1\) Premium tuition is charged based on a student’s program of study, not individual courses the student takes, and this policy is outside the department’s control. For instance, ECE Masters students pay the ECE premium even if in a given semester they take one, two, or three courses outside the ECE department. Similarly, once a student is admitted to the ECE GCP and the certificate is added to their program of study, they will be charged the premium. We plan to include this information on the certificate website so that students make an informed decision.
Admission to Other Graduate Programs
Academic success in the EE GCP might have a strong bearing on admission to a graduate degree program. However, completion of a graduate certificate program in no way guarantees entry into a graduate degree program, which must be done through a separate application process.

Academic Performance Requirements
- The EE GCP requires a total of 12 credit hours.
- To receive a Graduate Certificate, a student must maintain a minimum 3.00 grade point average (GPA) on Graduate Certificate coursework taken at NCSU. All grades on courses taken towards the GCP in courses numbered 500 and above are included in the GPA. Any courses taken at the 400 level and below are not eligible for certificate credit.
- All courses taken for certificate credit must be completed with a grade of “B-” or better.
- All courses at the 500- or 700-level taken for certificate credit must be letter-graded. Credit-only courses cannot be used for certificate credit.
- Transfer credit from other institutions is not allowed for the GCP. All coursework must be registered through NC State University.
- Up to three (3) credit hours of NDS coursework, if not already used in another graduate program, may be transferred into the GCP. All transfer credit must carry a grade of B or better.
- Graduate Certificate courses taken by students who are enrolling after completion of a degree program may be double-counted towards that degree (1) to the extent that the courses unique to the degree remain at 18 hours for a Masters degree or 30 hours for a PhD degree and (2) subject to the course requirements of that degree.
- All GCP requirements must be completed within four (4) calendar years, beginning with the date the student commences courses applicable to the GCP. In addition, students must maintain continuous enrollment every semester until all coursework is completed. A one-semester leave of absence may be granted if the student is unable to enroll in a course due to extenuating circumstances. The leave of absence must be approved in writing by the ECE DGP before the start of the semester.

Program Administration
The EE GCP will be administered by the Director of Graduate Programs in the Department of Electrical and Computer Engineering, in cooperation with the NCSU Engineering Online program for distance-education students.

All certificate courses are existing courses in Electrical and Computer Engineering. The implementation and presentation of the certificate is not expected to require effort outside the normal academic activities of the course instructors. No additional staff or resources are required to support the administration of this program.

Enrollment Projection
<table>
<thead>
<tr>
<th></th>
<th>On campus</th>
<th>Distance Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yr 1</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Yr 2</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>Yr 3</td>
<td>15</td>
<td>15</td>
</tr>
<tr>
<td>Yr 4</td>
<td>20</td>
<td>20</td>
</tr>
<tr>
<td>Yr 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yr 6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yr 7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yr 8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yr 9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yr 10</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


These projections are based on (1) discussions with industry members of the Electrical and Computer Engineering Strategic Advisory Board and (2) repeated unsolicited requests and questions received by our program, and take into account the different pace of on-campus vs. online students.

**Tuition and Fees**
The department will seek approval for a tuition structure that is identical to that of the Electrical and Computer Engineering Masters program, i.e., that includes the tuition premium. Tuition premium is charged based on the student’s program.

**Faculty Participants**
All faculty who teach graduate-level Electrical Engineering courses will participate in the EE GCP.

**Departments likely to be affected**
No other departments are likely to be affected by the proposed graduate certificate.

**Outcomes Assessment Plan**

**Objectives**

1. The certificate program will provide a graduate level working knowledge of current Electrical Engineering concepts and methods.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

**Outcomes**

1. By the time they complete this certificate program, graduates should be able to:
   - Identify and describe the major principles, methods, and tools of one field of Electrical Engineering
   - Apply the methods and tools learned during the certificate studies to tackle computational problems and tasks
   - Use relevant software packages and tools in their own professional activities

2. At the time they complete this certificate program, graduates are expected to:
• Be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals
• Be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals
• Be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals
• Be satisfied with the frequency and timeliness of courses offered for the certificate
• Be satisfied with the quality of teaching in certificate courses
• Be satisfied with the overall educational experience of the certificate program

Objective 1. Students will learn advanced concepts, methods and tools of Electrical Engineering and apply them to a variety of computational problems tasks.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify and describe the major principles, methods, and tools of one field of Electrical Engineering</td>
<td>Final exams in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>Apply the concepts and methods learned during the certificate studies to tackle computational problems and tasks</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>Use relevant software packages and tools in their own professional activities</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
</tbody>
</table>

Objective 2. The certificate program will provide an educational experience that satisfies the expectations of its graduates

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>To be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be sufficiently satisfied with the certificate program</td>
<td>Exit survey administered</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>Requirement</td>
<td>Method</td>
<td>Responsible Party</td>
<td>Frequency</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>-----------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Satisfied with the certificate program to recommend it to others with the same professional goals</td>
<td>by Graduate School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the frequency and timeliness of the courses offered for the certificate</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the quality of teaching in certificate courses</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the overall educational experience of the certificate program</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
</tbody>
</table>
Graduate Certificate in Computer Engineering
North Carolina State University

This request has been reviewed and approved by the appropriate campus committees and authorities.

Endorsed By:

[Signature] Paul D. Franseth [Signature]
Head, Department/Director of Graduate Program (Printed Name and Signature)
Date 10/31/18

Recommended By:

[Signature] Vamsi K. Tummala
Chair, College Graduate Studies Committee (Printed Name and Signature)
Date 11/16/18

Endorsed By:

[Signature] Douglas Reeves
College Dean (Printed Name and Signature)
Date 11-16-2018

Recommended By:

[Signature] Thomas H. LeBlanc
Vice Provost, DELTA (if DE degree) (Printed Name and Signature)
Date 11/16/19

Approved By:

[Signature] Peter J. Harrin
Dean of the Graduate School (Printed Name and Signature)
Date 5/22/17

Recommended By:

[Signature] Andrew E. Luken
Dean's Council (Printed Name and Signature)
Date 8/26/19

Approved By:

[Signature] George Hynd
Executive Vice Chancellor and Provost (Printed Name and Signature)
Date 9/27/19

Approved By:

[Signature] Randy Wood
Chancellor (Printed Name and Signature)
Date 11/3/19

(revised August 2015)
NC State University
Certificate Proposal Form

Certificate Title: Graduate Certificate in 5G Technologies
   New: X
   Revision: □

Classification of Instructional Programs (CIP) Discipline # (6 digits): 14.1001
   *Please ensure that you select the appropriate CIP code for your certificate program. Please consult this
website for more information about CIP codes: https://nces.ed.gov/ipeds/cipcode/default.aspx?y=55

Certificate Type:
   On-Campus: □   Distance: □   On-Campus & Distance: X

Proposed Effective Date: Fall 2019

Director of the Certificate Program: Paul Franzon
Program Coordinator (if different from Director): N/A
Graduate Services Coordinator: Fenlie Jones
College: College of Engineering
Department/Program: Electrical and Computer Engineering

Catalog Description:

The Graduate Certificate in 5G Technologies provides students with advanced academic credentials in the
algorithmic, chip, circuit, system and antenna technologies that will underpin 5G Wireless systems.

Enrollment:

<table>
<thead>
<tr>
<th></th>
<th>On-Campus</th>
<th>Distance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contin</td>
<td>Yr. 1-0</td>
<td>Yr. 1-0</td>
</tr>
<tr>
<td>New</td>
<td>Yr. 2-5</td>
<td>Yr. 2-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-5</td>
<td>Yr. 3-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-8</td>
<td>Yr. 4-8</td>
</tr>
<tr>
<td></td>
<td>Yr. 1-0</td>
<td>Yr. 1-5</td>
</tr>
<tr>
<td></td>
<td>Yr. 2-7</td>
<td>Yr. 2-7</td>
</tr>
<tr>
<td></td>
<td>Yr. 3-10</td>
<td>Yr. 3-10</td>
</tr>
<tr>
<td></td>
<td>Yr. 4-12</td>
<td>Yr. 4-12</td>
</tr>
</tbody>
</table>

Attachments:

□ Proposal Document
□ Statement of other departments likely to be affected and summary of consultation with those departments
□ Program-level assessment
□ Campus Routing Form
□ Signature Page
Graduate Certificate in 5G Technologies

Program Justification
The Electrical and Computer Engineering (ECE) department proposes to offer a Graduate Certificate Program (GCP) in 5G Technologies (5GT). “5G” refers to the wireless data communications system that will replace the 4G LTE systems that your phone uses now. However, 5G is not an update on 4G. It is a radically new system, using many different architectures, algorithms, circuits, chips and antenna than the previous system. It is also a major business opportunity creating the need for several new generations of small cell base stations and smart phones. 5G will enable faster streaming to your mobile device than you probably enjoy to your home today.

Right now industry is working out how to build these systems. Thus, there is a high demand for engineers who know what 5G means, how it is different than 4G and how the technological need is different from 4G. We’ve been strongly encouraged by our Strategic Advisory Board to offer this certificate as a way to educate these engineers and stake our claim of early leadership in this area.

This program is primarily intended for individuals who wish to contribute to designing the chips, software and hardware that will be needed for the 5G rollout. It will be available to both residential students and distance education students through Engineering Online (EOL).

Program Objectives
1. In this certificate program, students will learn advanced concepts, methods and tools underlying 5G technologies and apply them to designing 5G hardware/software systems.

Program of Study
The 5GT GCP requires a total of 12 credit hours consisting of four graduate-level Electrical and Computer Engineering courses taken for a letter grade. Courses labeled “EOL” will be offered both as live classes and also through EOL. Those without “EOL” are only offered to on campus students. (Note some of these are planned EOL offerings, not current.).

I. All students must complete the following course:
   • ECE 592 LTE and 5G Communications (EOL)

II. Students must then choose three 5G-related courses, taking at least two courses from a single track:
   • Circuits Track
     a. ECE 511 Analog Electronics (EOL)
     b. ECE 712 Integrated Circuit Design for Wireless Communications (EOL)
     c. ECE 792 Design of Millimeter-Wave Circuits and Systems (EOL)
Microwave Systems and Applied EM Track
a. ECE 524 Radio System Design
b. ECE 549 RF Design for Wireless (EOL)
c. ECE 592 Antennas and Arrays (EOL)

Communications Track
a. ECE 575 - Wireless Networks
b. ECE 766 - Signal Processing for Communications and Networking
c. ECE 570 - Computer Networking (EOL)

Note, due to the timely nature of this technology not all of these courses are regular numbered courses yet but are special topics. We request University permission to go ahead with the Certificate with Special topic courses included so we don’t have to wait the long times it takes to turn these into regularly numbered courses. We are planning to convert the special topics courses to become regular numbered courses.

Admission Requirements
Students must meet ONE of the following requirements for admission into the 5G Graduate Certificate Program:

- Have a BS degree in Electrical or Computer Engineering from a regionally accredited four-year college or university, and have an overall GPA of at least 3.0 on a 4-point scale.
- Have a BS degree in the sciences or engineering from a regionally accredited four-year college or university with an overall GPA of at least 3.0 on a 4-point scale.
- Be a degree-seeking student in good standing in an NC State University graduate program in the sciences or engineering.
- Premium tuition is charged on this certificate, students who are currently pursuing other degrees and/or certificates will not be admitted to this certificate until they complete those other programs. Once they are enrolled in this certificate, credit hours will be subject to the Electrical and Computer Engineering MS tuition premium\(^1\), until the certificate is received.

Application and Completion Process
An application for acceptance into the GCP is required for all new students. Students must complete the Graduate School application, found at https://grad.ncsu.edu/apply/.

Those applicants who are currently enrolled in an NC State graduate degree program need only provide the graduate student Certificate Plan Data Entry form, found at https://grad.ncsu.edu/wp-content/uploads/2015/12/grad-cert-plan-data-entry.pdf.

New applications will be reviewed at the department/program level.

Registration procedures, registration dates and course availability for each semester can be found on the NCSU Registration and Records webpage at http://www.ncsu.edu/registrar/.

---

\(^1\) Premium tuition is charged based on a student’s program of study, not individual courses the student takes, and this policy is outside the department’s control. For instance, ECE Masters students pay the ECE premium even if in a given semester they take one, two, or three courses outside the ECE department. Similarly, once a student is admitted to the ADV GCP and the certificate is added to their program of study, they will be charged the premium. We plan to include this information on the certificate website so that students make an informed decision.
Additional information regarding the 5G GCP can be found on the Electrical and Computer Engineering (http://www.ece.ncsu.edu) website. Questions regarding the 5G GCP can be directed to the certificate coordinator. Information regarding Engineering Online can be found at http://engineeringonline.ncsu.edu.

Admission to Other Graduate Programs
Academic success in the 5G GCP might have a strong bearing on admission to a graduate degree program. However, completion of a graduate certificate program in no way guarantees entry into a graduate degree program, which must be done through a separate application process.

Academic Performance Requirements
- The 5G GCP requires a total of 12 credit hours.
- To receive a Graduate Certificate, a student must maintain a minimum 3.00 grade point average (GPA) on Graduate Certificate coursework taken at NCSU. All grades on courses taken towards the GCP in courses numbered 500 and above are included in the GPA. Any courses taken at the 400 level and below are not eligible for certificate credit.
- All courses taken for certificate credit must be completed with a grade of "B-" or better.
- All courses at the 500- or 700-level taken for certificate credit must be letter-graded. Credit-only courses cannot be used for certificate credit.
- Transfer credit from other institutions is not allowed for the GCP. All coursework must be registered through NC State University.
- Up to three (3) credit hours of NDS coursework, if not already used in another graduate program, may be transferred into the GCP. All transfer credit must carry a grade of B or better.
- Graduate Certificate courses taken by students who are enrolling after completion of a degree program may be double-counted towards that degree (1) to the extent that the courses unique to the degree remain at 18 hours for a Masters degree or 30 hours for a PhD degree and (2) subject to the course requirements of that degree.
- All GCP requirements must be completed within four (4) calendar years, beginning with the date the student commences courses applicable to the GCP. In addition, students must maintain continuous enrollment every semester until all coursework is completed. A one-semester leave of absence may be granted if the student is unable to enroll in a course due to extenuating circumstances. The leave of absence must be approved in writing by the ECE DGP before the start of the semester.

Program Administration
The 5G GCP will be administered by the Director of Graduate Programs in the Department of Electrical and Computer Engineering, in cooperation with the NCSU Engineering Online program for distance-education students.
All certificate courses are existing courses in Electrical and Computer Engineering. The implementation and presentation of the certificate is not expected to require effort outside the normal academic activities of the course instructors. No additional staff or resources are required to support the administration of this program.

**Enrollment Projection**

<table>
<thead>
<tr>
<th></th>
<th>Yr 1</th>
<th>Yr 2</th>
<th>Yr 3</th>
<th>Yr 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>On campus</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
<tr>
<td>Distance Education</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
</tr>
</tbody>
</table>

These projections are based on (1) discussions with industry members of the Electrical and Computer Engineering Strategic Advisory Board and (2) repeated unsolicited requests and questions received by our program, and take into account the different pace of on-campus vs. online students.

**Tuition and Fees**

The department will seek approval for a tuition structure that is identical to that of the Electrical and Computer Engineering Master’s program, i.e., that includes the tuition premium. Tuition premium is charged based on the student’s program.

**Faculty Participants**

All faculty who teach courses listed in the Certificate will participate in the 5G GCP.

**Departments likely to be affected**

ECE 570 is often taught by CSC. Students in this certificate will need to be able to be enrolled in those sections. The DGP of CSC was consulted and agreed to permit that.

**Outcomes Assessment Plan**

**Objectives**

1. The certificate program will provide a graduate level working knowledge of current Computer Engineering concepts and methods.
2. The certificate program will provide an educational experience that satisfies the expectations of its graduates.

**Outcomes**

1. By the time they complete this certificate program, graduates should be able to:
   - Identify and describe the major principles, methods, and tools of one field of 5G systems Engineering
   - Apply the methods and tools learned during the certificate studies to tackle computational problems and tasks
   - Use relevant software packages and tools in their own professional activities
2. At the time they complete this certificate program, graduates are expected to:
   - Be satisfied with the usefulness of the certificate program in enabling them to achieve their professional goals
   - Be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals
   - Be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals
   - Be satisfied with the frequency and timeliness of courses offered for the certificate
   - Be satisfied with the quality of teaching in certificate courses
   - Be satisfied with the overall educational experience of the certificate program

Objective 1. Students will learn advanced concepts, methods and tools of 5G Engineering and apply them to a variety of computational problems tasks.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify and describe the major principles, methods, and tools in</td>
<td>Final exams in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>engineering for 5G</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Apply the concepts and methods learned during the certificate studies</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>to tackle design problems and tasks</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Use relevant software packages and tools in their own professional</td>
<td>Projects in corresponding courses</td>
<td>Students</td>
<td>Annually</td>
</tr>
<tr>
<td>activities</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Objective 2. The certificate program will provide an educational experience that satisfies the expectations of its graduates

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Evidence to be Collected</th>
<th>Source of Evidence</th>
<th>Frequency of Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>To be satisfied with the usefulness of the certificate program in</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>enabling them to achieve their professional goals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Requirement</td>
<td>Survey Method</td>
<td>Responsible Institution</td>
<td>Frequency</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------</td>
<td>-------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>To be sufficiently satisfied with the certificate program to recommend it to others with the same professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the appropriateness of the courses in providing the knowledge or training they anticipate needing for their professional goals</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the frequency and timeliness of courses offered for the certificate</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the quality of teaching in certificate courses</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
<tr>
<td>To be satisfied with the overall educational experience of the certificate program</td>
<td>Exit survey administered by Graduate School</td>
<td>Graduate School</td>
<td>Annually</td>
</tr>
</tbody>
</table>
Graduate Certificate in 5G Technologies
North Carolina State University

This request has been reviewed and approved by the appropriate campus committees and authorities.

Endorsed By: 

Paul D. Franzon
DGP ECE
paul@ncsu.edu
919-513-0501
Date

Head, Department/Director of Graduate Program (Printed Name and Signature)

Recommended By: 

Chair, College Graduate Studies Committee (Printed Name and Signature)

Endorsed By: 

College Dean (Printed Name and Signature)

Recommended By: conditional - see attached

Vice Provost, DELTA (if DE degree) (Printed Name and Signature)

Approved By: 

Dean of the Graduate School (Printed Name and Signature)

Recommended By: 

Dean's Council (Printed Name and Signature)

Approved By: 

Executive Vice Chancellor and Provost (Printed Name and Signature)

Approved By: 

Chancellor (Printed Name and Signature)

(revised August 2015)
Job Prospectus for the Vice Chancellor and Dean, Division of Academic and Student Affairs

NC State University
Raleigh, NC | Winter 2020
The Division of Academic and Student Affairs

The Division of Academic and Student Affairs (DASA) helps students discover connections and community. Here, students live, gather, improve themselves, each other, and their university. DASA is where students seek guidance and support, both in and outside of the classroom. The division serves all students at NC State.

DASA formed in 2012 from the merger of the Division of Undergraduate Academic Programs and the Division of Student Affairs. In the seven years since its inception, the division has quickly become an integral part of the university community. With nearly 50 individual programs, DASA integrates curricular and co-curricular programming to improve the academic performance of our students and the quality of the student experience at NC State. The division also supports student success, advising, and undergraduate curriculum and assessment processes.

The division’s 574 full-time employees, 70 faculty, and 2,500 student employees serve all 36,000 NC State students through campuswide services such as student health and counseling, wellness and recreation, academic enrichment programs, leadership and civic engagement, and student involvement. The division impacts students from before they arrive at NC State through various “pathways” programs such as TRIO, College Advising Corps, and Juntos, to when they first arrive on campus at New Student Orientation. DASA supports NC State students throughout their college experience and provides career development support for their plans after college and ROTC programs for students pursuing military involvement.

Within DASA, the University College (UC) brings together all academic and curricular functions of the division. The UC provides leadership for a number of departments and programs, including the Exploratory Studies program, Academic Advising Programs and Services, Undergraduate Research, and several other units. There are 10 minors offered through the UC, as well as the Global Perspectives certificate. The UC serves as the home of approximately 1,200 students, including nearly 700 incoming first-year students each year who start in Exploratory Studies.

Also part of UC within DASA is Arts NC State, whose programs include the Crafts Center, NC State LIVE, the Dance Program, University Theatre, and the Department of Music. These programs provide an artistic outlet for all students at NC State, regardless of their major. Also within the division’s arts programs is the Gregg Museum of Art and Design, which opened in 2017. The collecting and exhibiting museum has more than 35,000 objects in its permanent collection and provides unique educational opportunities to students.

DASA also leads many universitywide initiatives, including Pack Essentials, a program developed to centralize all campus resources dedicated to support students in need of food, housing, financial, and educational security.

The division has an annual budget of $107 million. It is also vast and covers 3,130,284 square feet over 81 buildings on main and Centennial campuses, including space for over 10,000 students living in residence halls, apartments and Greek Village houses.

The Opportunity

NC State invites applications and nominations for the position of Vice Chancellor and Dean of the Division of Academic and Student Affairs. The Vice Chancellor and Dean — who is committed to seamless integration in all aspects of undergraduate education — is a key strategic advisor to the Executive Vice Chancellor and Provost and works to support the success of the whole student. Working closely with the Chancellor’s Cabinet, the deans, the faculty, and
administrative colleagues, the Vice Chancellor and Dean will lead all aspects of the implementation of an innovative and coordinated delivery of student services.

The Position
The Vice Chancellor and Dean plays a significant leadership role and has the opportunity to direct staff and resources to maximize impact on the curricular and co-curricular programs of the university. The Vice Chancellor and Dean oversees the programs and services of:

- University College: Academic Advising Programs and Services; Academic Enrichment Programs (First Year Inquiry, Fellowship Advising, Undergraduate Research, and University Honors and Scholars Programs); Exploratory Studies; Cross-College Interdisciplinary and Multidisciplinary Programs; Advising Technology; Health and Exercise Studies; Music; Undergraduate Courses, Curricula and Academic Standards; and Arts NC State (NC State LIVE, Crafts Center, Dance Program, Gregg Museum, University Theater, Arts Marketing, and Ticket Central)
- Academic Success Programs: Pathway Programs (College Advising Corps, TRIO programs, and Juntos); Disability Resources; New Student Programs; University Tutorial Center; and Rural Works!
- Business Administration, Residential Programs, and Engagement: Facilities Planning and Management; Finance; Human Resources; Technology Services; Fraternity and Sorority Life; Leadership and Civic Engagement; Student Involvement; and University Housing and Living and Learning Initiatives
- Student Development, Health, and Wellness: Career Development Center; ROTC; Wellness and Recreation; Student Conduct; Student Legal Services; Student Media; Student Health Services; Counseling and Prevention Services; and Military and Veterans Services
- In addition to these areas, the Vice Chancellor and Dean oversees Academic Support Programs for Student Athletes; Assessment; Development; Student Ombuds; and Marketing and Communications.
Qualifications

The successful candidate will have demonstrated success as a senior academic, administrative, and fiscal leader, with 10+ years of experience gained through leadership of a large administrative or academic unit; demonstrated support of cultural and ethnic diversity; and readiness to provide leadership at a complex doctoral/research extensive university. Candidates must be committed to ensuring successful student academic and non-academic experiences.

A relevant post-baccalaureate degree from an appropriately accredited institution with a minimum of 10 years or greater of related professional experience is required. Preference will be given to those with a terminal degree in related field. Tenure consideration with appropriate faculty appointment will be given to candidates with distinguished records in teaching and scholarship.

How to Apply

Inquiries, nominations and applications are invited and may be directed to Justin Lang, Director, NC State Executive Search Services, at (919) 513-1963 or jdlang2@ncsu.edu.

Confidential review of applications will begin in February 2020, and will continue until the position is filled. Candidates should provide a resume or curriculum vitae, cover letter, and the names and contact information of three references. References will not be contacted without prior knowledge and approval of candidates. These materials may be submitted online at https://jobs.ncsu.edu/ (position #00001678).
About NC State

At NC State, we create prosperity for North Carolina and the nation. We began as a land-grant institution grounded in agriculture and engineering. Today, we’re a pre-eminence research enterprise that excels across disciplines.

NC State is a powerhouse in science, technology, engineering and math. We lead in agriculture, education, textiles, business and natural resources management. We’re at the forefront of teaching and research in design, the humanities and the social sciences. And we’re home to one of the world’s best colleges of veterinary medicine.

Our more than 35,000 undergraduate and graduate students learn by doing. They pursue original research and start new companies. They forge connections with top employers and serve communities local and global. Through it all, they enjoy an outstanding return on investment.

Whether it’s Princeton Review ranking NC State among the nation’s best values for universities, Money magazine naming it the No. 1 best college for your money in North Carolina, or Kiplinger’s Personal Finance ranking NC State No. 9 among the best values in public higher education, the university has many reasons to be proud.

Each year, NC State adds $6.5 billion to the statewide economy, equivalent to creating more than 90,000 new jobs. That represents significant return on investment for the citizens of North Carolina in the form of research advances, innovative technologies, successful companies, skilled graduates and new jobs waiting for them.

Our 9,000 faculty and staff are world leaders in their fields, bridging the divides between academic disciplines and training high-caliber students to meet tomorrow’s challenges. Together, they forge powerful partnerships with government, industry, nonprofits and academia to remake our world for the better.

About Raleigh and North Carolina

North Carolina’s rapid growth makes the state a diversity leader and top spot for young professionals and families. Raleigh reflects statewide growth as a city on the rise:

- No. 2 among the best big cities to live in (Money, 2018)
- No. 2 among the best places for business and careers (Forbes, 2018)
- One of America’s most digitally inclusive tech cities (Brookings, 2018)
- No. 2 hotspot for tech jobs (Forbes, 2016)
- No. 3 best city for young professionals (Forbes, 2016)

With Durham and Chapel Hill, the capital city anchors the Research Triangle, a national hotspot for high-tech enterprise. The region’s top companies — including IBM, Cisco Systems, SAS Institute, Biogen Idec and GlaxoSmithKline — rank among the country’s best employers. NC State also maintains strong agricultural partnerships with Bayer, BASF and Syngenta, companies that lead the way in hiring new NC State graduates.

Celebrating its 132nd year in 2019, NC State continues to make its founding purpose a reality. Every day our career-ready graduates and world-leading faculty make the fruits of learning, discovery and engagement available to people across the state, throughout the nation and around the world.
NC State provides equal opportunity and affirmative action efforts, and the university prohibits all forms of unlawful discrimination, harassment and retaliation that are based upon a person’s race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability, gender identity, genetic information sexual orientation or veteran status.
Job Prospectus for the Dean, College of Natural Resources

NC State University

Raleigh, NC | Fall 2019
The College of Natural Resources

Founded in 1929, the College of Natural Resources educates tomorrow’s leaders and professionals working to address global challenges in natural resources management, sustainable manufacturing, and healthy and resilient communities. Award-winning faculty and staff work side-by-side with students to generate new knowledge and technology, leverage interdisciplinary partnerships, and strengthen both industries and communities. The College maintains a tradition of excellence in education, research, and extension and outreach, and aims to build on NC State’s land-grant mission of creating economic, social and intellectual prosperity.

For almost a century, the College has served vital industries in North Carolina — including the state’s largest manufacturing sector, forest and wood products; its largest service sector, tourism; and more than half a million forest landowners. Together, these industries sustain more than half a million jobs and generate $50 billion in annual economic impact.

The College’s 235 faculty and staff educate approximately 1,500 undergraduate and 435 graduate students per year in three academic departments: Forest Biomaterials; Forestry and Environmental Resources; and Parks, Recreation and Tourism Management. The Center for Geospatial Analytics also administers graduate programs. Overall, the College offers 10 bachelor’s degrees, 10 master’s degrees, four distance education master’s degrees and four doctoral degrees.

A comprehensive array of programs explores all aspects of natural resource management and sustainability, including: environmental science; environmental technology and management; fisheries, wildlife and conservation biology; forest management; natural resources; parks, recreation and tourism management; sport management; PGA golf management; sustainable materials and technology; paper science and engineering; geospatial analytics; and public science.

The College is a close-knit diverse and inclusive community where students enjoy reduced class size and direct access to faculty and staff support from application to graduation. Faculty and staff work to ensure that all graduates leave campus career ready. 100 percent of students in the College graduate with hands-on experience through internships, co-ops, in-the-field summer programs, or study abroad.

The College has an annual budget of $42.3 million, with research expenditures totaling $10 million and endowment assets of $31 million. In addition, 85,000 acres of forest provide the largest university-owned forestland in the nation for teaching, research and demonstration.

Through cooperatives, consortia and centers, the College collaborates to create solutions to real-world issues impacting our communities and industries. Research efforts not only lead to new breakthroughs in natural resource management and industry practices, but also serve as a valuable training ground for students interested in working on the frontlines of their chosen fields.

The College’s outreach, extension and continuing education programs and services spread knowledge throughout the state and the nation. Distance education, certificate programs, workshops and short courses are delivered to thousands of professionals each year. Because of these efforts, more than 100 county extension agents funnel forestry and tourism programming and resources to the communities that need them.
The Opportunity

NC State invites applications and nominations for the position of Dean of the College of Natural Resources. The university seeks a visionary leader with a bold commitment to refine and enhance the College’s international leadership in the use and stewardship of renewable resources.

The Position

The Dean of the College of Natural Resources must be an experienced, innovative, creative and collaborative leader who understands domestic and international natural resources issues in the broadest sense. The Dean should have a strong commitment to student achievement, faculty scholarship and staff development, and possess the drive to move the College forward nationally and internationally. The Dean is the chief academic, administrative and budgetary officer of the College. He or she is the spokesperson for the College and reports directly to the Executive Vice Chancellor and Provost. The Dean is responsible for the following:

- Providing strong leadership and strategic direction for the College;
- Representing the College within the university at a skilled, politically astute level with respect to campus resources and issues;
- Representing the diverse clientele, programs and interests of the College persuasively to both internal and external constituencies;
- Promoting a culturally competent and welcoming environment, with a strong commitment to recruiting and retaining diverse faculty, staff and students;
- Openly communicating in a transparent manner that provides clarity in financial management and decision-making;
- Being a successful fundraiser and a visible, interactive participant in foundation and industry events;
- Recognizing and valuing the contributions of everyone in the College;
- Fostering high-impact interdisciplinary collaboration and partnership within the College and externally with other programs;
- Integrating three diverse departments under one vision for the College;
- Promoting, recognizing and rewarding excellence in teaching and mentoring undergraduate and graduate students;
- Providing programs and opportunities for students to develop research, leadership and communication skills;
- Serving faculty and supporting their research, extension and engagement activities;
- Providing transparent supplemental support of the departments; and
- Encouraging the high-performance and excellence of faculty, staff and units within the College and the delivery of high-quality academic programs.
Qualifications
The successful candidate will possess most, if not all, of the following qualities or experience:

- Evidence of working effectively and collaboratively with faculty, university administration, and other constituent groups and partners both within and outside the university;
- Ability to play a key role in university leadership, advocating for the College and forging advantageous and strategic connections across colleges;
- A clear commitment to excellence in research, teaching and undergraduate and graduate education;
- A commitment to educating students who enter the university through diverse pathways, fostering a healthy and respectful community, and recruiting and supporting diverse faculty, staff, and administration;
- Outstanding communication skills, including interpersonal, written, verbal, presentation and listening capabilities;
- A proven record of success in setting priorities, allocating resources and achieving specific goals;
- An affinity for fundraising, and the ability to contribute to and lead development efforts;
- Ability to function in a complex, high-demand environment, balancing and executing internal and external responsibilities;
- Distinguished record in research, teaching, extension, and outreach/engagement; and,
- A terminal degree in their field and qualifications for an appointment as a full professor with tenure in at least one of the departments within the College.

How to Apply
Inquiries, nominations and applications are invited and may be directed to Justin Lang, Director, NC State Executive Search Services, at (919) 513-1963 or jdlang2@ncsu.edu.

Confidential review of applications will begin in November, 2019, and will continue until the position is filled. Candidates should provide a resume or curriculum vitae, cover letter, and the names and contact information of three references. References will not be contacted without prior knowledge and approval of candidates. These materials may be submitted online at https://jobs.ncsu.edu/ (position #00001612).
About NC State

At NC State, we create prosperity for North Carolina and the nation. We began as a land-grant institution grounded in agriculture and engineering. Today, we’re a pre- eminent research enterprise that excels across disciplines.

NC State is a powerhouse in science, technology, engineering and math. We lead in agriculture, education, textiles, business and natural resources management. We’re at the forefront of teaching and research in design, the humanities and the social sciences. And we’re home to one of the world’s best colleges of veterinary medicine.

Our more than 35,000 undergraduate and graduate students learn by doing. They pursue original research and start new companies. They forge connections with top employers and serve communities local and global. Through it all, they enjoy an outstanding return on investment.

Whether it’s Princeton Review ranking NC State among the nation’s best values for universities, Money magazine naming it the No. 1 best college for your money in North Carolina, or Kiplinger’s Personal Finance ranking NC State No. 9 among the best values in public higher education, the university has many reasons to be proud.

Each year, NC State adds $6.5 billion to the statewide economy, equivalent to creating more than 90,000 new jobs. That represents significant return on investment for the citizens of North Carolina in the form of research advances, innovative technologies, successful companies, skilled graduates and new jobs waiting for them.

Our 9,000 faculty and staff are world leaders in their fields, bridging the divides between academic disciplines and training high-caliber students to meet tomorrow’s challenges. Together, they forge powerful partnerships with government, industry, nonprofits and academia to remake our world for the better.

About Raleigh and North Carolina

North Carolina’s rapid growth makes the state a diversity leader and top spot for young professionals and families. Raleigh reflects statewide growth as a city on the rise:

- No. 2 among the best big cities to live in (Money, 2018)
- No. 2 among the best places for business and careers (Forbes, 2018)
- One of America’s most digitally inclusive tech cities (Brookings, 2018)
- No. 2 hotspot for tech jobs (Forbes, 2016)
- No. 3 best city for young professionals (Forbes, 2016)

With Durham and Chapel Hill, the capital city anchors the Research Triangle, a national hotspot for high-tech enterprise. The region’s top companies — including IBM, Cisco Systems, SAS Institute, Biogen Idec and GlaxoSmithKline — rank among the country’s best employers. NC State also maintains strong agricultural partnerships with Bayer, BASF and Syngenta, companies that lead the way in hiring new NC State graduates.

Celebrating its 132nd year in 2019, NC State continues to make its founding purpose a reality. Every day our career-ready graduates and world-leading faculty make the fruits of learning, discovery and engagement available to people across the state, throughout the nation and around the world.
NC State provides equal opportunity and affirmative action efforts, and the university prohibits all forms of unlawful discrimination, harassment and retaliation that are based upon a person's race, color, religion, sex (including pregnancy), national origin, age (40 or older), disability, gender identity, genetic information sexual orientation or veteran status.
2019-20 STRATEGIC PLANNING TASK FORCES

Advancing Inclusion and Well-Being to Enhance Excellence

Co-chairs:
- Monica Osburn, Executive Director, Counseling Center and Prevention Services
- Sheri Schwab, Vice Provost, Institutional Equity and Diversity

committees.provost.ncsu.edu/advancing-inclusion-and-well-being-to-enhance-excellence/

Continuing to Advance the Brand and Reputation of NC State

Co-chairs:
- Brad Bohlander, Associate Vice Chancellor, University Communications
- Benny Suggs, Associate Vice Chancellor, Alumni Relations

committees.provost.ncsu.edu/continuing-to-advance-the-brand-and-reputation-of-nc-state/

Envisaging the Next Generation Land-Grant University

Co-chairs:
- Audrey Jaeger, Alumni Distinguished Graduate Professor, Educational Leadership, Policy and Human Development
- Rich Linton, Dean, College of Agriculture and Life Sciences

committees.provost.ncsu.edu/envisaging-the-next-generation-land-grant-university/

Graduating the Successful Student

Co-chairs:
- Emma Carter, Student Body President
- Louis Hunt, Senior Vice Provost, Enrollment Management and Services

committees.provost.ncsu.edu/graduating-the-successful-student/

Leading the Digital Transformation of Higher Education

Co-chairs:
- Tom Miller, Senior Vice Provost, Academic Outreach and Entrepreneurship
- Greg Raschke, Senior Vice Provost, Director of Libraries

committees.provost.ncsu.edu/leading-the-digital-transformation-of-higher-education/
Leveraging Partnerships to Advance Engagement

Co-chairs:
- David Hinks, Dean, Wilson College of Textiles
- Thomas White, Director, Economic Development Partnership

Pursuing Operational Excellence

Co-chairs:
- Katharine Stewart, Vice Provost, Faculty Affairs
- Marie Williams, Associate Vice Chancellor, Human Resources

Re-envisioning Life-Long Education and Credentialing

Co-chairs:
- Frank Buckless, Stephen P. Zelnak Jr. Dean, Poole College of Management
- Ruben Carbonell, Director, Kenan Institute for Engineering, Technology and Science

Strengthening University-Wide Interdisciplinarity

Co-chairs:
- Paul Lunn, Dean, College of Veterinary Medicine
- Fred Wright, Goodnight Innovation Distinguished Professor, Statistics and Biological Sciences
Report from the NC State Faculty Senate -- February 2020

FACULTY SENATE MEETINGS

The Faculty Senate has met five times since my last report. Much of the general discussion has been about the upcoming Strategic Planning process. Senate discussion on this topic, led by Senate Executive Committee members, focused on the method of including faculty in the planning process and on interdisciplinarity. Louis Hunt spoke to the Senate with enrollment news that is familiar to you, in particular the majority female entering class. The next meeting (19 November) also had a familiar topic, the Pack Essentials plan to address student (and staff and faculty) food and housing insecurity, presented by Professor Yoon from the Pack Essentials Steering Committee. Roy Baroff, Faculty and Staff Ombuds, spoke about his current work and the concerns of faculty as he sees it.

On 3 December, former Chair of the Faculty Margery Overton, Interim Senior Vice Provost for Institutional Research and Planning and Vice Provost for Academic Strategy described the process that has been chosen for the Strategic Plan, essentially the same as for the last plan. At the same meeting Bret Smith, Interim Dean of University College and Senior Associate Dean, DASA, spoke about revisions to syllabus policy. The new Vice Chancellor of Finance and Administration Charles Maimone attended the next meeting (7 January) and discussed the many facets of his job, the vast array of areas that a small city like NCSU requires to function smoothly. On 21 January, the four committees of the Senate (Academic Policy, Governance-Communication-Recruitment, Personnel Policy, and Resources
and Environment) reported on the work they have been doing so far this year (primarily investigating issues of concern). And finally, the 4 February meeting featured Allison Newhart, Vice Chancellor and General Counsel of the university, in a most informative look at the legal structure, its various tasks and challenges for the future. At the same meeting the Senate passed a resolution in support of the efforts of Pack Essentials.

ISSUES OF CONCERN

The role of the faculty in the selection of academic officers, such as dean, is an important matter of concern that appeared in several forms this year. One of these concerns is that the faculty of University College, which comprises Music and Health and Exercise Sports, has no position on the search committee for the new head of the Division of Student and Academic Affairs (DASA), who will also be dean of their college. The irregular situation of the faculty of University College remains an issue, just as it was 8 years ago at the time of the last Strategic Plan.

Other issues concern faculty (and everyone’s) safety: scooters and their hazards, speeding on Centennial Camus, the pedestrian crossing by the roundabout at Pullen Drive, and the door locks in Poe Hall. All of these issues were investigated by Resources and Environment. Concern was expressed that Faculty copyrights may be infringed by a certain Internet website that loads course materials. And there is a concern that benefits may be overlooked in the Strategic Planning process.

The Senate rooms, as I mentioned before, need considerable refurbishing, including
expensive audio-visual equipment which our budget cannot afford. We are currently consulting with the Director of Libraries about finding funds to bring the lighting, furniture, and curtains to a better level, and to repair some of the loss caused by unfortunate past renovation of our space. The Senate rooms, devoted to faculty use for 66 years, are as historic as almost any other space on campus. We need to take care of them.

FACULTY ASSEMBLY

The Faculty Assembly with representatives from the 17 institutions in the UNC System has met twice since the last report. The day-long meetings entail reports from many System officers, including the President. Government Relations and Academic Affairs are important components of the meeting, as are the comments of the Chair of the Assembly, David Green, whose insight and relationships bring the Assembly a valuable look at what is going on in the Board of Governors.

In his remarks at the last meeting (23 January) President Roper responded with some emotion to questions about the Silent Sam controversy, while several members of the HMI institutions asserted that, from their point of view, the issue is a distraction from the things that matter to minorities in the UNC System. These include, in particular, the chronic lack of resources for the minority schools, which were described as a Jim Crow situation. A second concern expressed was about access, and the move to amend the Minimum Admission Requirement (MAR).
The Chair of the Faculty, acting for the General Faculty rather than the Senate, has been included in the process of interviewing candidates for Chief of Campus Police, obviously a most important and sensitive position. Two senators who have background in police or public safety matters joined me in private meetings with the candidates, and evaluations of their merits.

In addition, the selection of a number of honorees and awards -- Watauga, Holladay, Board of Governor's Teaching Award, Alumni Distinguished Teaching Award, and so forth -- took place. All but the Watauga Award were selected by predominantly faculty committees.

Elections for Senate, Faculty Assembly, Grievance and Hearing pools, and Athletic Council occur every spring, and the Chair-Elect of the Faculty every even-numbered year. Because of the amount of work involved in even normal Senate work -- three hours every week at a minimum, with no tangible reward -- recruitment is difficult in some instances. I speak often of the "Coalition of the Willing," but finding and appealing to colleagues who might wish to serve is never automatic. Fortunately, there are outstanding individuals in the faculty and administration who understand the importance of having a strong voice for the faculty and an open line of communication to upper administration.

Recruiting a Chair of the Faculty is another matter. Although the Provost supports the position and although it is a fairly public job, the commitment of four years,
including two as chair, is daunting. (This is the reason that the current chair is repeating in the job after eight years.) We are still seeking qualified candidates.

The Commencement ceremony took place on 19 December, as the Trustees will all remember, and this Chair of the Faculty was again honored to lead the procession, carrying the University Mace. This is the fifth time I have had that role, more than any other Chair, and I shall end with this expression of my respect for the Mace, its story and symbolism (found on the Faculty Senate website), and for the institution it guards.
TOPIC OF INTEREST
NC State’s Centers and Institutes
By the Numbers (FY2019)

NC State is the home of 34 Centers and 12 Institutes (C/I’s)

C/I primary missions are Research (30), Service (14) and Instruction (2)

C/I’s are affiliated with 891 Faculty and 614 Staff, with 182 FTE supported by State funds

12 C/I’s offer academic programs

C/I’s support, educate and train:
- 1,473 graduate students
- 5,438 undergraduates
- 20,543 K-12 students

C/I’s had R&D expenditures of >$145M

13 C/I’s partner with >280 member companies
NC State University Centers and Institutes

**Advanced Self Powered Systems of Sensors and Technologies Center (ASSIST)**

Director: Dr. Veena Misra

The mission of ASSIST is to transform health informatics, electronics, and biomedical engineering; to develop nanotechnologies for energy harvesting, battery-free energy storage, and ultra-low-power computation/communication; to integrate low power physiological and environmental nanosensors using biocompatible materials; to empower personal environmental and health monitoring.

---

**Animal & Poultry Waste Management Center (APWMC)**

Director (Interim): Dr. M. Todd See

The Animal & Poultry Waste Management Center (APWMC) provides infrastructure, programs, and assistance for innovative basic and applied approaches to animal waste management with emphasis on development of knowledge and waste management options contributing toward the enhancement of North Carolina's and the nation's animal production industries, as well as to the improvement of the environment and quality of life for all citizens.

---

**Bioinformatics Research Center (BRC)**

Director: Dr. Fred Wright

The mission of Bioinformatics Research Center (BRC) is to develop and implement methods for the management and interpretation of genomic data, with an emphasis on agriculture, forestry and veterinary medicine.

---

**Center for Additive Manufacturing and Logistics (CAMAL)**

Director: Dr. Ola Harrysson

The goals of the Center are to provide comprehensive research capabilities in additive manufacturing spanning polymers, metals and ceramics as well as the finishing of these components. In addition, the Center will study the distributed supply chain that will be inherent in these distributed networks of manufacturers.
**Center for Dielectrics and Piezoelectrics** (CDP)

**Director: Dr. Elizabeth C. Dickey**

The CDP aims to develop an international leadership position in the fundamental material science and engineering that underpins dielectric and piezoelectric materials. Innovations in these areas often arise from research advances in materials chemistry, synthesis and processing that enable new materials and device functionality.

---

**Center for Educational Informatics** (CEI)

**Director: Dr. James Lester**

The mission of the North Carolina State University Center for Educational Informatics is to lead national efforts to design, develop, and deploy next-generation adaptive learning systems for K-12 education, post-secondary education, and training.

---

**Center for Environmental and Resource Economic Policy** (CEnREP)

**Director: Dr. Harrison Fell**

The mission of the Center for Environmental and Resource Economic Policy (CEnREP) is to link economics to science, agriculture and technology to improve public understanding and enhance public and private management of environmental resources.

---

**Center For Family and Community Engagement** (CFACE)

**Director: Dr. Sarah Desmarais**

The Center For Family and Community Engagement (CFACE) is dedicated to advancing safe, healthy, and productive families and communities. It promotes strategies that widen the circle of supports around families and communities. This is accomplished through emphasizing family leadership, community partnerships, cultural safety, and inclusive planning.

---

**Center for Geospatial Analytics** (CGA)

**Director: Dr. Ross Meentemeyer**

The mission of the Center is to promote graduate education and research in geospatial science and technology.
**Center for Human Health and the Environment** (CHHE)

**Director: Dr. Robert Smart**

The mission of CHHE is to serve as the nexus of environmental health science research at NC State by providing focus and leadership for interdisciplinary research aimed at understanding how human health, at both the individual and population levels, is impacted by environmental factors and to utilize this understanding to reduce the adverse impacts of environmental factors on human health.

**Center for Integrated Fungal Research** (CIFR)

**Director: Dr. Ignazio Carbone**

The Center for Integrated Fungal Research (CIFR) provides leadership in research and educational objectives in the field of fungal parasitism and mycotoxins aimed to achieve significant breakthroughs in fungal research that will impact human welfare worldwide.

**Center for Integrated Pest Management** (CIPM)

**Directors (Interim): Drs. Danesha Seth Carley and Yulu Xia**

The Center for Integrated Pest Management (CIPM) serves a lead role in technology development, program implementation, training, and public awareness for IPM at the state, regional, and national level.

**Center for Marine Sciences and Technology** (CMAST)

**Director: Dr. David Eggleston**

The principal mission of the Center for Marine Sciences and Technology (CMAST) is to discover innovative solutions to questions and problems in marine systems and provide effective communication of these discoveries, by promoting multidisciplinary studies among research scientists, educators and extension specialists from the participating NC State University colleges, enhancing interaction with other educational institutions and agencies concerned with marine sciences and coastal natural resources, and providing a focal point for citizen contact with NC State University's marine science and extension faculty.

**Center for Nuclear Energy Facilities and Structures** (CNEFS)

**Director: Dr. Abhinav Gupta**

The mission of the Center for Nuclear Energy Facilities and Structures (CNEFS) is to perform
research on innovative but rigorous solutions to problems in nuclear power plants and to transfer this technology to the industry.

---

**Center for Research in Scientific Computation (CRSC)**

**Director: Dr. Hien Tran**

The Center for Research in Scientific Computation (CRSC) is a formally recognized, multidisciplinary center administered by North Carolina State University. Its purpose is to foster research in scientific computing and provide a focal point for research in computational science, engineering and applied mathematics.

---

**Center for Research on Textile Protection and Comfort (TPACC)**

**Director: Dr. Roger Barker**

The Center for Research on Textile Protection and Comfort (TPACC) provides faculty and students with a coordinated environment where interdisciplinary problems related to textile comfort and protection performance can be studied and solved.

---

**Center for Turfgrass Environmental Research and Education (CENTERE)**

**Director: Dr. Grady Miller**

The Center for Turfgrass Environmental Research and Education (CENTERE) promotes research on the turfgrass systems and works on creating a multidisciplinary research 'culture' that develops new, environmentally sustainable management strategies. Emphasis is on basic research to resolve underlying processes that can lead to long-term solutions.

---

**Comparative Medicine Institute (CMI)**

**Director: Dr. Jorge Piedrahita**

The mission of the Comparative Medicine Institute (CMI) is to enhance collaborative, translational, interdisciplinary approaches for the comparative study of animal/human diseases.

---

**Ergonomics Center of North Carolina (The) (TECNC)**

**Director: Ms. Julia G. Abate**

The Ergonomics Center of North Carolina (TECNC) is a Public Service Membership Center specifically authorized by the North Carolina General Assembly and established in October 1994 with the original name North Carolina Ergonomics Resource Center through a partnership between...
North Carolina State University (NCSU) and the North Carolina Department of Labor (NCDOL), Division of Occupational Safety and Health (OSHNC) to assist employees and employers in the prevention of occupational musculoskeletal disorders (MSDs) and the optimization of human-machine work systems design from safety and performance perspectives.

**Future Renewable Electric Energy Delivery and Management Systems Center (FREEDM)**

**Director: Dr. Iqbal Husain**

The Future Renewable Electric Energy Delivery and Management Systems Center (FREEDM) partners with universities, industry, and national laboratories in 28 states and nine countries to develop technology to revolutionize the nation's power grid and speed renewable electric-energy technologies into every home and business.

**General H. Hugh Shelton Leadership Center (SLC)**

**Director: Barbara H. Mulkey**

The mission of the General H. Hugh Shelton Leadership Center is to inspire, educate, and develop values-based leaders committed to personal integrity, professional ethics, and selfless service.

**Genetic Engineering and Society Center (GES)**

**Directors: Drs. Jennifer Kuzma and Fred Gould**

The GES Center serves as a key regional, national and international hub of interdisciplinary analyses and inclusive dialogue surrounding emerging technologies and society. It will take the lead in using in-depth research and dialogue-based approaches to provide public with rigorous, trustworthy analyses of how products of GE technologies may impact society and the environment.

**Golden Leaf Biomanufacturing Training and Education Center (BTEC)**

**Director: Gary Gilleskie**

The mission of Golden Leaf Biomanufacturing Training and Education Center (BTEC) is to fuel prosperity by positioning North Carolina as a global leader in bioprocess education and biomanufacturing workforce development.
Industry Research Programs in Forestry (IRPF)

Director: Dr. Rich Venditti

The Industry Research Programs in Forestry Center (IRPF) increases value to landowners and citizens through continuous genetic improvement of forest trees; creates innovative solutions to enhance forest productivity and value through sustainable management of site resources; leads in conservation and domestication of forest genetic resources for sustainable economic, ecological, and social benefits for present and future generations.

Institute for Advanced Analytics (IAA)

Director: Dr. Michael Rappa

The mission of the Institute for Advanced Analytics (IAA) is to promote graduate education in the emerging field of analytics. Its objective is to educate the citizens of North Carolina and beyond in the concepts, methods, software tools, and applications of analytics that have direct and practical relevance to industry.

Institute for Emerging Issues (IEI)

Director: Leslie Boney

The Institute for Emerging Issues (IEI) is a think-and-do tank that convenes leaders from business, government, nonprofit organizations, and higher education to tackle the biggest issues facing North Carolina.

Institute for Nonprofit Research, Education and Engagement (INPREE)

Director: Dr. Traciel Reid

The Institute for Nonprofit Research, Education and Engagement (INPREE) benefits the university through its presence as an expert source for information on nonprofits, respected partner in research and practice collaborations, recipient of external funding, and developer and manager of educational and research initiatives.

Institute for Transportation Research and Education (ITRE)

Director: Dr. Billy Williams

The Institute for Transportation Research and Education (ITRE) carries out research, training and technical support activities in the areas of surface and air transportation for a host of national, state, and local clients to address the nation’s critical transportation issues.
**Kenan Institute for Engineering, Technology & Science (KIETS)**

**Director: Dr. Ruben Carbonell**

The Kenan Institute for Engineering, Technology & Science (KIETS) develops partnerships in basic research, education, commercialization and public outreach with individuals and organizations dedicated to the advancement of science, engineering and technology as a force in improving the economic and social well-being of the nation and the world.

---

**Khayrallah Center for Lebanese Diaspora Studies (KCLDS)**

**Director: Dr. Akram Khater**

The mission of the Khayrallah Center is to research, preserve and publicize the history of the Lebanese diaspora communities in the United States and beyond.

---

**Next Generation Power Electronics Manufacturing Innovation Institute (NGPEMII)**

**Director: Dr. Victor Veliadis**

The Next Generation Power Electronics Manufacturing Innovation Institute ("Power America") is accelerating the adoption of advanced semiconductor components made with silicon carbide (SiC) and gallium nitride (GaN) into a wide range of products and systems.

---

**Nonwovens Institute (NWI)**

**Director: Dr. Behnam Pourdeyhimi**

The Nonwovens Institute (NWI) is the world's first accredited academic program for the interdisciplinary study of engineered fabrics through an innovative partnership of industry, government, and academe. Operating on an 'open' platform, The Nonwovens Institute enables industry and university experts to develop the next generation of nonwoven applications while educating and training future industry leaders.
**North Carolina Clean Energy Technology Center (NCCETC)**

**Director: Mr. Steve Kalland**

The mission of the North Carolina Clean Energy Technology Center (NCCETC) is to advance a sustainable energy economy by educating, demonstrating and providing support for clean energy technologies, practices, and policies.

---

**North Carolina Institute for Climate Studies (NCICS)**

**Director: Otis Brown**

The mission of the North Carolina Institute for Climate Studies (NCICS) is to promote the discovery of new knowledge about global, regional, and local climate variability and its impacts and to provide information that is critical for determining trends and validating climate forecasts at all of these spatial scales.

---

**North Carolina Japan Center (NCJC)**

**Director: Dr. Jonathan Brewster**

The North Carolina Japan Center (NCJC) is a statewide resource, which serves to promote mutual understanding and closer relations between the people of North Carolina and Japan in academic, business cultural, educational, scientific, and technical matters, to the benefit of our state and its people.

---

**North Carolina Sea Grant College Program (NCSG)**

**Director: Dr. Susan Norma White**

The North Carolina Sea Grant (NCSG) program is one of 33 university-based programs across the United States authorized through the National Sea Grant College Program Act of 1966. Through research, outreach and education programs, NCSG provides unbiased, science-based information to enhance the sustainable use and conservation of ocean and coastal resources to benefit communities, the economy and the environment. NCSG is a multi-campus program of the University of North Carolina system.
Nuclear Reactor Program (NRP)

Director: Dr. Ayman Hawari

The Nuclear Reactor Program (NRP) applies reactor and nuclear techniques in supporting efforts to provide high quality undergraduate and graduate education, perform basic and applied research, disseminate knowledge, and provide training and specialized analytical services in support of institutions, agencies and industries in the State of North Carolina and the Nation.

Secure Computing Institute (SCI), former Institute for NEXT Generation IT Systems ITNG

Directors: Drs. Laurie Williams and William Enck

The Secure Computing Institute (SCI) provides information technology professional services to state and federal agencies, private and public sector corporations, and research organizations.

Small Business and Technology Development Center (SBTDC)

Director: Dr. Scott Daugherty

The multi-campus Small Business and Technology Development Center (SBTDC) is committed to providing knowledge, education and other supportive resources that enable existing small and mid-sized businesses, emerging entrepreneurs and local/state leaders to innovate and succeed.

Southeast Dairy Foods Research Center (SDFRC)

Director: Dr. MaryAnne Drake

The Southeast Dairy Foods Research Center (SDFRC) conducts research, educates scientists, and develops and applies new technologies for processing of milk and its components into dairy products and ingredients with improved health, safety, quality and expanded functionalities that facilitate strategic decisions in the industry.

State Climate Office of North Carolina (SCONC)

Director: Dr. Kathie Dello

The State Climate Office of North Carolina (SCO) is the primary source for NC weather and climate information and is involved in all aspects of climate research, education, and extension services.
**W. M. Keck Center for Behavioral Biology (The) (CBB)**

**Director: Dr. Brian Langerhans**

The goal of the Keck Center for Behavioral Biology (CBB) is to establish a multidisciplinary environment for interdepartmental training and collaborative research in the fundamental principles that govern animal behavior.

---

**Water Resources Research Institute (WRRI)**

**Director: Dr. Susan Norma White**

The Water Resources Research Institute (WRRI) is one of 54 state water institutes that were authorized by the Water Resources Research Act of 1964 to administer and promote federal/state partnership in research and information transfer on water-related issues. WRRI is a multi-campus Institute.

---

**William and Ida Friday Institute for Educational Innovation (WIFIEI)**

**Director: Dr. Hiller Spires**

The mission of the William and Ida Friday Institute for Educational Innovation (WIFIEI) is to advance education through innovation in teaching, learning, and leadership.

---

**Belk Center for Community College Leadership and Research (BELK) pending BOT approval to establish**

**Director: Dr. Audrey Jaeger**

The Belk Center for Community College Leadership and Research brings together executive leadership development and actionable research to increase student success in community colleges. Its commitment is to develop the next generation of community college leaders in North Carolina and the nation who are committed to improving student success. Center will answer critical problems of practice that support leaders in making better decisions that improve student success.
Jan. 31, 2020

Honorable Trustees,

Happy New Year! NC State Staff Senate closed out 2019—and launched into the new decade—on multiple high notes.

We continued to support staff and the students we serve, through:

- Participation in the Staff and Faculty Appreciation event in Reynolds Coliseum on Nov. 11. In order to increase staff’s awareness of what Staff Senate does and whom they should contact, we created and distributed Meet Your Senators flyers for each of the districts, with photos of and contact information for each district’s senators on the respective flyer.
- A second offering of a non-traditional parent chat for NC State employees who identify as non-traditional parents (foster, adoptive, single, grandparents raising grandchildren, LGBT, parents of children with special needs, etc.) At its conclusion, employees were asking when the next event would be held.
- Two offerings in December of Create Your Own Holiday Arrangement—one at Talley and one on Centennial Campus. Using clippings from across campus, courtesy of Facilities, these events provided opportunities to reduce stress during finals while creating a free, sustainable centerpiece.
- Employee appreciation events at the women’s basketball game against Virginia on Jan. 5 and the gymnastics meet against Towson on Jan. 25. Coordinated with Athletics, these events strive to recognize employees while supporting student athletes on teams other than football and men’s basketball. At the basketball game, employees enjoyed pizza (provided by Athletics) and Howling Cow ice cream (provided by Staff Senate), along with opportunities to win an autographed basketball and participate in an athletic skills competition. Ticket sales exceeded 350, surpassing previous years’ attendance.

Continuing our commitment to give back to the greater NC State community, Staff Senate organized various collection drives and donated the following:

- Warm the Pack Winter Coat Drive – We collected over 500 coats and other winter items in 25 locations throughout campus; we distributed these items on the Brickyard on Dec. 9. We delivered any remaining items to the coat rack outside room 605 in Poe Hall, which is available year-round.
- Bountiful Harvest Food Drive – We collected 1,254 pounds of food in 30 locations around campus; we donated 674 pounds to Feed the Pack food pantry and 580 pounds to the Food Bank of Central and Eastern North Carolina.
- Toys for Tots – This drive produced a challenge that we were happy to have—so many toys were collected that they did not all fit on the truck (additional deliveries were made)! 675 toys, collected in 48 boxes from 28 locations across campus, were donated on behalf of NC State.
- A food drive was held at the January Staff Senate meeting, enabling us to replenish the shelves of the Feed the Pack food pantry with an additional 128 pounds of food.
Staff Senate was also represented at the following activities sponsored by university entities:

- Volunteering at the student food drive, Pack the Pantry, on Nov. 5 at the Park Alumni Center,
- Riding in the homecoming parade on Nov. 6 and
- Helping pack meals at the Rise Against Hunger event on Dec. 6 on Centennial Campus.

In order to ensure that staff senators stay informed and engaged with the university, we had presentations from the following individuals at our monthly general body meetings:

- In November, Matt Peterson, director of federal research affairs, introduced his role as the university’s lobbyist in federal affairs, as well as an overview of funding sources and an update on the budget. Also in November, Marie Williams, associate vice chancellor for human resources, and Dr. Nancy Whelchel, director of survey research, provided an update on the employee engagement survey, including results from the 2018 survey and the action plan for the 2020 survey.
- In December, staff senators heard from Than Austin, NC State’s recently hired director of transportation. Parking and transportation concerns are consistently raised by staff members; insights provided by Than as to what his department does, why they do it, costs and funding issues, and upcoming initiatives, provided senators with a greater understanding of the complexity of the bigger picture.
- In January, staff senators were introduced to another new employee—Charlie Maimone, vice chancellor for finance and administration. Charlie provided an organizational overview of the office of finance and administration (OFA), and shared his—and OFA’s commitment to—principles for employee engagement, customer service, and responsible stewardship.

During this timeframe, we instituted a new protocol to better inform and prepare individuals for their presentations before Staff Senate. The month before the presentation, staff senators are sent a link to a Google Form to submit any questions and concerns they may have. The responses are collated, organized and sent to the presenter the week before their presentation. This process not only provides awareness of the issues being brought forth by staff, but also enables the individual to incorporate these items into their presentation and/or be prepared for the questions they may be asked by staff senators.

An additional initiative we are undertaking is how to make our election process more accessible and sustainable through more extensive use of electronic ballots. Through research and collaboration with Facilities, who will give their employees time during their shifts to access a computer and vote, it is estimated that the number of paper ballots can be reduced by over 63%.

Staff Senate looks forward to continuing our efforts to support staff and the NC State community.

Respectfully Submitted,

[Signature]

Janice Sitzes, Ed.D.
Associate Director, Marketing Services, Continuing and Professional Education
Chair, NC State Staff Senate, 2019-2020