



BOARD OF TRUSTEES SCHEDULE

Wednesday, May 20, 2020

FLORIDA POLYTECHNIC UNIVERSITY
WEBEX CONFERENCE MEETINGS

TIME	ACTIVITY	LOCATION
8:30-9:30 A	<u>Strategic Workshop</u>	<p>Dial In Number: 415-655-0001</p> <p>Access Code: 618 932 538#</p>
9:30-10:00 A	<u>Academic & Student Affairs Committee</u> or upon completion of previous committee	
10-10:15 A	<u>Audit & Compliance Committee</u> or upon completion of previous committee	
10:15-10:45 A	<u>Governance Committee</u> or upon completion of previous committee	
10:45-11:15 A	<u>Finance & Facilities Committee</u> or upon completion of previous committee	
11:15-11:45 A	<u>Full Board of Trustees Meeting</u> or upon completion of previous committee	



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Workshop

Wednesday, May 20, 2020
8:30 AM – 9:30 AM

Florida Polytechnic University
TELE-CONFERENCE MEETING

Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Don Wilson, Chair
Dr. Victoria Astley
Connor Coddington
Gary C. Wendt

Cliff Otto, Vice Chair
Rear Admiral Philip Dur
Frank Martin
Dr. Louis Saco

Mark Bostick
Dr. W. Earl Sasser
Henry McCance
Bob Stork

AGENDA

- | | |
|---|---------------------------|
| I. Call to Order | Don Wilson, Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Don Wilson, Chair |
| IV. Approval of the February 26, 2020 Minutes
Action Required | Don Wilson, Chair |
| V. President's Report | Randy K. Avent, President |
| VI. Closing Remarks and Adjournment | Don Wilson, Chair |



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Workshop

DRAFT WORKSHOP MINUTES

Wednesday, February 26, 2020

8:30 a.m. – 10:30 a.m.

Florida Polytechnic University – Student Development Center
4700 Research Way, Lakeland, FL 33805

I. Call to Order

Chair Don Wilson called the meeting to order at 8:30 a.m.

II. Roll Call

Kris Wharton called the roll: Chair Don Wilson, Vice Chair Cliff Otto, Trustee Mark Bostick, Trustee Ryan Perez, Trustee Henry McCance, Trustee Victoria Astley, Trustee Adrienne Perry, Trustee Earl Sasser, Trustee Philip Dur, Trustee Lou Saco, and Trustee Gary Wendt were present (Quorum).

Trustees not present: Trustee Bob Stork, Trustee Frank Martin

Staff present: President Randy Avent (via telephone from Tallahassee), Provost Terry Parker, Mr. Mark Mroczkowski, Ms. Gina Delulio, Ms. Kathy Bowman, Mr. Rick Maxey, Mrs. Kris Wharton, Mr. David Calhoun, Ms. Michele Rush, Mrs. Kim Abels, Mr. David Blanton and Kathy Mizereck (via telephone from Tallahassee) were present.

III. Public Comment

There were no requests received for public comment.

IV. Minutes

Trustee Lou Saco made a motion to approve the Board Workshop meeting minutes of December 10, 2019. Trustee Earl Sasser seconded the motion; a vote was taken, and the motion passed unanimously.

Chair Don Wilson made a special presentation to Dr. Richard Hallion, who retired from the Florida Poly Board of Trustees in summer 2019. **Chair Don Wilson made a motion to approve Resolution 2020-002 In Recognition and Profound Appreciation of Distinguished Service: Trustee Richard P. Hallion, Ph.D. Trustee Earl Sasser seconded the motion; a vote was taken, and the motion passed unanimously.**

V. Legislative Update

Ms. Kathy Mizereck, AVP Government Relations, presented an update on Florida House Bill 7087 which, if it becomes law, would merge Florida Polytechnic University and New College into the University of Florida. She stated HB 7087 moved through the House Appropriations Committee with a vote of 17

yays versus 11 nays and will now go to the House floor. One Republican in the University's district voted no. No one spoke in favor of HB 7087 other than the legislator who proposed it. Currently, there is still no companion bill in the State Senate.

Ms. Mizereck stated the importance for University trustees to contact their legislators regarding HB 7087. Contact information will be sent to trustees via email. Trustees affirmed their desire to make those contacts as soon as possible.

The Trustees had an opportunity to ask questions of Ms. Mizereck and of President Randy Avent. Trustee Dur inquired as to the motivation of the bill, as well as who prepared the calculations used to form the bill. While the true motivation remains unclear, the calculations came from the Board of Governors at the request of Representative Fine. Additionally, Trustee Victoria Astley stated Florida Poly faculty will vote on their own resolution stating opposition to HB 7087.

Finally, Ms. Mizereck thanked Trustee Ryan Perez for his support through the Student Government Association (SGA) by sending five students to Tallahassee to speak against the bill. In addition, many parents have sent letters and emails to their legislators opposing the bill.

VI. 2019-2020 Operations Plan Update

President Avent shared his goal of creating one assessment document for both annual operations and SACSCOC; the dates for the performance appraisal will need to be changed to accomplish this..

President Avent reminded trustees that this interim assessment as presented in the meeting materials is being done solely to assist trustees in deciding the renewal of his contract for 2020-2021. The final assessment report for FY 2019-2020 will not be addressed until the December board meeting.

VII. Closing Remarks and Adjournment

Trustee Dur stated his appreciation for the interaction with faculty at the Board/Faculty reception last night. He appreciated learning more about their work.

President Avent recognized and congratulated Trustee Bob Stork who is not in attendance today because he is being honored tonight by Indian River State College as the 2020 Entrepreneur of the Year.

With no further business to discuss, the meeting adjourned at 9:20 a.m.

Florida Polytechnic University
Workshop
Board of Trustees
May 20, 2020

Subject: President's Report

Proposed Committee Action

Information only. No action required.

Background Information

Dr. Randy K. Avent, President, will present the University's financial resiliency plan and discuss the University's COVID-19 response and plan.

Supporting Documentation: PowerPoint

Prepared by: Dr. Randy K. Avent, President



FLORIDA POLYTECHNIC
UNIVERSITY

University Advancement

Randy K. Avent


20 May 2020

House Bill 7087

House Bill receives approval for New College merger, despite student and faculty disapproval

Kayla Gallagher, Staff Writer Published 11:24 a.m. ET March 1, 2020


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Students at the New College of Florida (NCF) held a walkout of Representative bill that would merge NCF with the University of Florida (UF).

The Florida House of Representatives has proposed to merge New College of Florida (NCF) in Sarasota and Florida Polytechnic University in Lakeland into the University of Florida. Students, faculty, and alumni from both NCF and Florida Polytechnic University are protesting the plan because they fear it will take away their institutions' independence. They held walkouts on Friday, Feb. 21.


Florida Poly remains in bull's-eye of merger with UF



Bill to merge Florida Poly, New College into UF advances in Florida Legislature

The debate blew past the committee's scheduled end time and featured testy exchanges between members of the Florida House.


Share icons: Facebook, Twitter, Email, Print



Plan To Merge Florida Poly, New College With UF Headed For House Vote

By ANA CEBALLOS - NEWS SERVICE OF FLORIDA • FEB 26, 2020

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Email



A plan that would merge New College of Florida and Florida Polytechnic University into the University of Florida, seen here, passed a key House committee on Tuesday.

- House Bill 7087 proposed merging Florida Poly into UF and was Temporarily Postponed (TP'ed) in the 2020 session

COVID-19

COVID-19: US universities scramble to arrange campus closures

Posted on Mar 17, 2020 by Caitlan Quinn

Posted in News, under North America.

Tagged with Coronavirus, Covid-19, International students, Universities, US. Bookmark the permalink.

Universities across the US have announced plans to close their campuses, scale back operations and send as many students as possible home in the wake of increasing numbers of COVID-19 cases in the country. The **latest count** by the CDC lists the number of confirmed cases at 3,487.



COVID-19

Campus chaos: International students navigate COVID-19 closures

Alex Schroeder | Mar 18, 2020

HIGHER EDUCATION

Here are the U.S. universities that have closed due to coronavirus

Local colleges, universities issue partial refunds amid COVID-19 closure

By: Brian Pedersen

March 30, 2020 10:31 am

After one local college announced it would close its campus because of COVID-19, others quickly followed suit.

It was the beginning of the local higher education response to the rising concerns over the virus that sent students across the state out of their dorms and classrooms and into online instruction for the remainder of the spring semester.

The move led many students and families to wonder if they would get some type of refund for losing access to housing, dining services and other amenities they already paid for.

So far, it's a mixed bag, with most offering partial refunds of some amenities, but not tuition.



Lehigh University in Bethlehem is among those higher education institutions offering partial refunds because of COVID-19-related closures. (PHOTO/SUBMITTED CHRISTA NEU/LEHIGH UNIVERSITY) –

- **COVID-19 crises had a chilling effect on the nation with widespread disruption in education and business**

University Advancement

- **Two disruptive events changed the course of University Advancement**
- **Merger justification focused on cost of degrees, administrative overhead and campus construction**
- **COVID-19 drove concern for future state Higher Education appropriations and academic operations**
- **University advancement must consider related issues around financial resiliency (COVID-19), sustainability (merger) and academic operations**

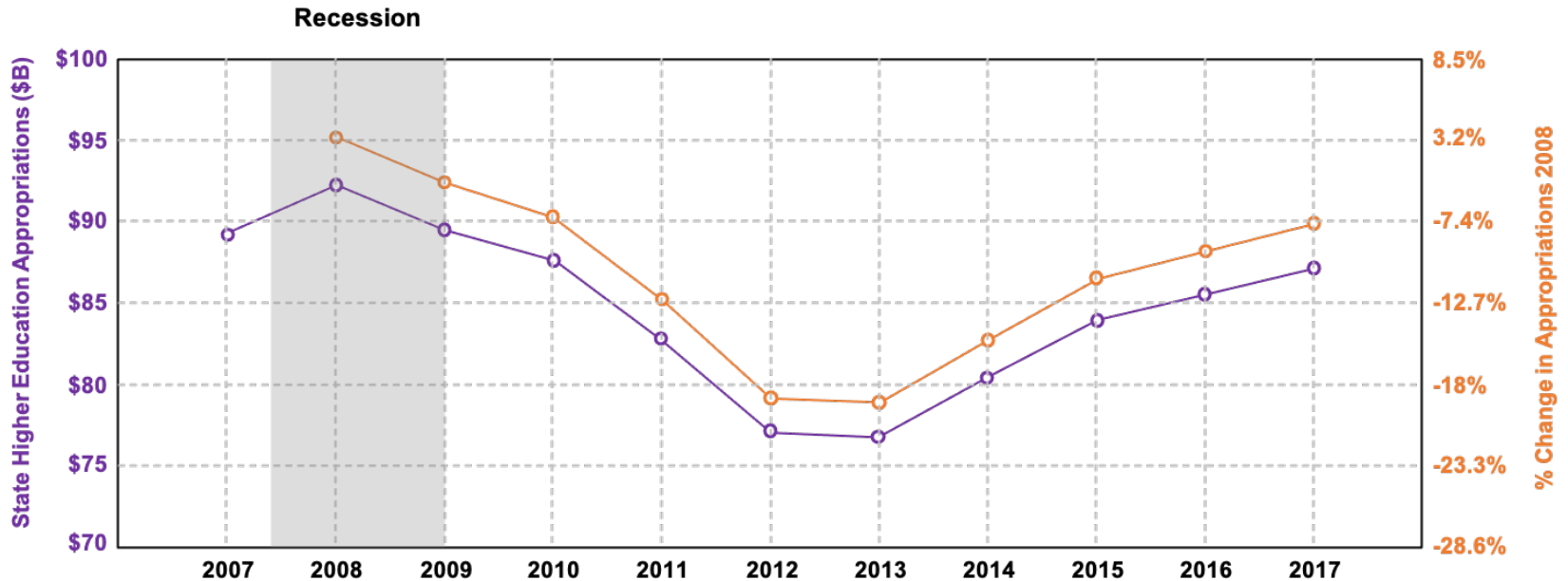
Outline

- Introduction
- **Financial resiliency (COVID-19)**
- **Campus sustainability (Merger)**
- **University Operations**
- **Summary**

FY 21 Budget Status

- **Governor has not yet signed the FY21 budget**
- **General concern a special legislative session called to develop a new budget with deep cuts**
- **Senator Galvano suggested budget will not be revisited**
 - Predicted reduction in state revenues of approximately \$3B
 - Florida has reserves of \$4B plus additional federal funding (~\$3B)
 - Expected the Governor will veto many elements of the budget
- **Best guess is that the FY21 budget will remain as is with deep cuts in the outyears**

Understanding Exposure



- Higher Education state appropriations dropped 18% in four years and remained down 7% near the ten-year mark nationally
- Florida reduction was closer to 10% but lasted equally as long
- COVID-19 recovery shape (U or V), depth and duration is unknown

Guiding Principles

- **Preserve liquidity for a potential recession**
- **Protect and grow the academic enterprise**
 - Remote instruction investments
 - Grow student body and campus
 - Grow faculty and programs
- **Increase revenues through campus growth, PBF and Universities of Distinction**
- **Explore quality vs size dilemma**
- **Invest in University Advancement and Foundation**

Recovery Scenarios

- **Quick recovery (V-shaped)**
 - Higher Education budget cut by 10%
 - Cuts fully restored after one year
- **Global slowdown (u-shaped)**
 - Higher Education budget cut by 10%
 - Cuts grow to 15% within two years
 - Cuts fully restored within four year
- **Recession (U-shaped)**
 - Higher Education budget cut by 15%
 - Cuts grow to 20% within four years
 - Cuts mostly restored within eight years

Identify Actions

Expense cuts Revenue increases Strategies

	Quick Recovery	Global Slowdown	Recession
Personnel	<p>Administrative hiring freeze Maintain core faculty Salary freeze</p>	<p>Faculty hiring freeze Increased OPS hiring Voluntary early retirement Remote work with 10% reduction</p>	<p>Mandatory vacation use Leadership temporary pay reduction Furlough highly paid employees Reduction In Force (RIF)</p>
Contracts	<p>Review/cut important contracts</p>	<p>Review/cut needed contracts</p>	<p>Review/cut critical contracts</p>
Academics	<p>Professional Science Masters Campus growth</p>	<p>Certificate programs STEM-related degrees Campus growth</p>	<p>On-line programs Non-STEM degrees Campus growth Program reviews</p>
Other	<p>Reduce FIPR construction</p> <p>Travel restrictions Reduction in Prof Development Limit membership funds Review library licenses Limit travel/phone reimbursements Consolidate like-type services IT reinvestment strategy</p> <p>CARES Education Stabilization Fund Universities of Distinction/PBF Pay down debt with C/F funds Fund "Cabinet Discretionary Fund"</p>	<p>Eliminate FIPR construction Reconsider chiller/towers Travel restrictions Reduction in Prof Development Eliminate membership funds Cut library licenses Cut travel/phone reimbursements Consolidate like-type services</p>	<p>Eliminate FIPR construction Eliminate chiller/towers Travel restrictions Eliminate Prof Development Eliminate membership funds Cut library licenses Cut travel/phone reimbursements Consolidate like-type services</p>

- Strong employee involvement suggesting ways to reduce expenses

Other Considerations

- **University mostly in a strong financial position**
- **Auxiliaries will be negatively impacted if AY21 is conducted remotely**
- **Giving rebounded quicker after the 2008 recession than state budgets**
- **We must work with our campus partners (Vestcor, Chartwells) for mutual success**
- **Performance Based Funding and Universities of Distinction funding could help offset outyear budget cuts**

Outline

- Introduction
- Financial resiliency (COVID-19)
- **Campus sustainability (Merger)**
- **University Operations**
- **Summary**

Merger

- **Build strong support behind our differentiated value**
 - Appropriately thank all stakeholders (legislators, parents, industry, media)
 - Create a diversified high-tech economy in Florida
 - Keep our high-performing students in Florida
 - Grow campus & university impact
- **“Right the Wrongs”**
 - Numbers behind merger justification lacked important context
 - Need independent analysis of cost/degree and administrative overhead
 - Implement bookkeeping consistent with other SUS institutions
- **Grow and maintain our strategic network**
- **Develop and communicate campus growth plan**

Department of Economic Opportunity

Florida 2019 - 2027 Occupational Employment Projections								
Technology, Engineering and Mathematics Occupations								
Occupational Code	Occupational Title	2019 Employment	2027 Employment	Employment Growth	Percent Employment Growth	Total Job Openings	2018 Median Hourly Wage (\$)*	BLS Education†
15-1132	Software Developers, Applications	39,205	49,627	10,422	26.6	32,726	44.53	B
17-2051	Civil Engineers	19,793	21,890	2,097	10.6	13,915	39.98	B
15-1121	Computer Systems Analysts	20,523	22,681	2,158	10.5	13,033	38.08	B
15-1133	Software Developers, Systems Software	18,174	20,776	2,602	14.3	12,382	47.62	B
15-1143	Computer Network Architects	19,031	20,787	1,756	9.2	11,838	41.74	B
15-1142	Network and Computer Systems Administrators	19,588	21,308	1,720	8.8	11,708	36.14	B
15-1199	Computer Occupations, All Other	11,484	12,926	1,442	12.6	7,860	36.78	B
17-2112	Industrial Engineers	10,854	12,342	1,488	13.7	7,384	35.41	B
15-1131	Computer Programmers	14,710	14,555	-155	-1.1	7,112	35.03	B
13-1081	Logisticians	6,992	7,787	795	11.4	6,413	29.77	B
15-1141	Database Administrators	8,166	9,229	1,063	13.0	5,415	41.09	B
17-2141	Mechanical Engineers	8,198	9,124	926	11.3	5,217	39.98	B
15-2031	Operations Research Analysts	6,905	8,489	1,584	22.9	5,166	32.33	B
19-2041	Environmental Scientists and Specialists, Including Health	5,946	6,493	547	9.2	5,039	23.80	B
15-1122	Information Security Analysts	5,311	6,738	1,427	26.9	4,628	42.86	B
17-2071	Electrical Engineers	6,987	7,819	832	11.9	4,540	43.59	B
17-1011	Architects, Except Landscape and Naval	6,995	7,386	391	5.6	4,409	34.01	B
17-2199	Engineers, All Other	6,022	6,574	552	9.2	3,745	37.03	B
17-2072	Electronics Engineers, Except Computer	5,559	5,956	397	7.1	3,281	44.85	B
17-1022	Surveyors	3,885	4,297	412	10.6	2,698	25.81	B
17-2081	Environmental Engineers	2,843	3,064	221	7.8	1,738	34.61	B
17-2011	Aerospace Engineers	2,855	3,128	273	9.6	1,672	51.83	B
17-2061	Computer Hardware Engineers	2,372	2,617	245	10.3	1,480	46.46	B
17-1012	Landscape Architects	2,096	2,238	142	6.8	1,353	30.29	B
15-2041	Statisticians	996	1,334	338	33.9	1,017	38.76	M
17-2111	Health and Safety Engineers, Except Mining Safety Engineers and Inspectors	1,033	1,126	93	9.0	642	35.75	B
17-1021	Cartographers and Photogrammetrists	609	710	101	16.6	470	28.44	B
17-2031	Biomedical Engineers	718	788	70	9.7	462	34.77	B
15-2011	Actuaries	579	702	123	21.2	430	48.29	B

- Florida Poly should make safe bets on select industry verticals that align to Florida’s targeted industries
- Focus on Information Sciences, Health Care, Manufacturing and Mobility as industry verticals



Strategic Network building

- **Parents**
 - Create and maintain a database of parent's email addresses to strengthen communications
- **Board of Governors**
 - Grow relationships with Board members through site visits
- **Executive Education offerings**
 - Promote one-year certificate program for DOT employees
 - Build program that offers one-day programs around leadership, technology and government to international audiences
- **Industry**
 - Create definitions with database of industry partners
 - Align our programs (degrees, concentrations & capstone) with select industry verticals (information sciences, health, manufacturing, ...)
 - Work with Department of Economic Opportunity when developing new programs

Board of Trustees

BOG Appointed

Don Wilson (Polk)
Frank Martin (Lake County)
Adrienne Perry (Orange)
Lou Saco (Polk)
Earl Sasser (Orange)

Governor Appointed

Mark Bostick (Polk)
Bob Stork (Indian River)
Cliff Otto (Polk)
Henry McCance (Polk)
Phil Dur (Okaloosa)
Gary Wendt (Broward)

Local Representation

Victoria Astley (Polk)
Connor Coddington (Orange)

Current
Rolling off
Waiting reconfirmation

- **New trustee appointments should consider: strategic districts, skill sets (business, technology, education), influence and diversity**
- **BOT has potential influence on BOG appointees, little influence on Gubernatorial appointees**



Campus Growth Plan

- **Three-year plan**
 - Top 25 in USNWR Engineering Colleges without Doctoral Program
 - 1700 students, 350 yearly graduates
 - 80% APR, 41% 4-year graduation rate
- **Five-year plan**
 - Top 15 in USNWR Engineering Colleges without Doctoral Program
 - 2000 students, 400 yearly graduates
 - 85% APR, 43% 4-year graduation rate
- **Ten-year plan**
 - Top 10 in USNWR Engineering Colleges without Doctoral Program
 - 2800 students, 650 yearly graduates
 - 90% APR, 55% 4-year graduation
 - Plans/discussions/decision on whether to introduce doctoral program

Need to develop a campus growth plan that addresses all elements of growth to meet milestones

Applied Research Center

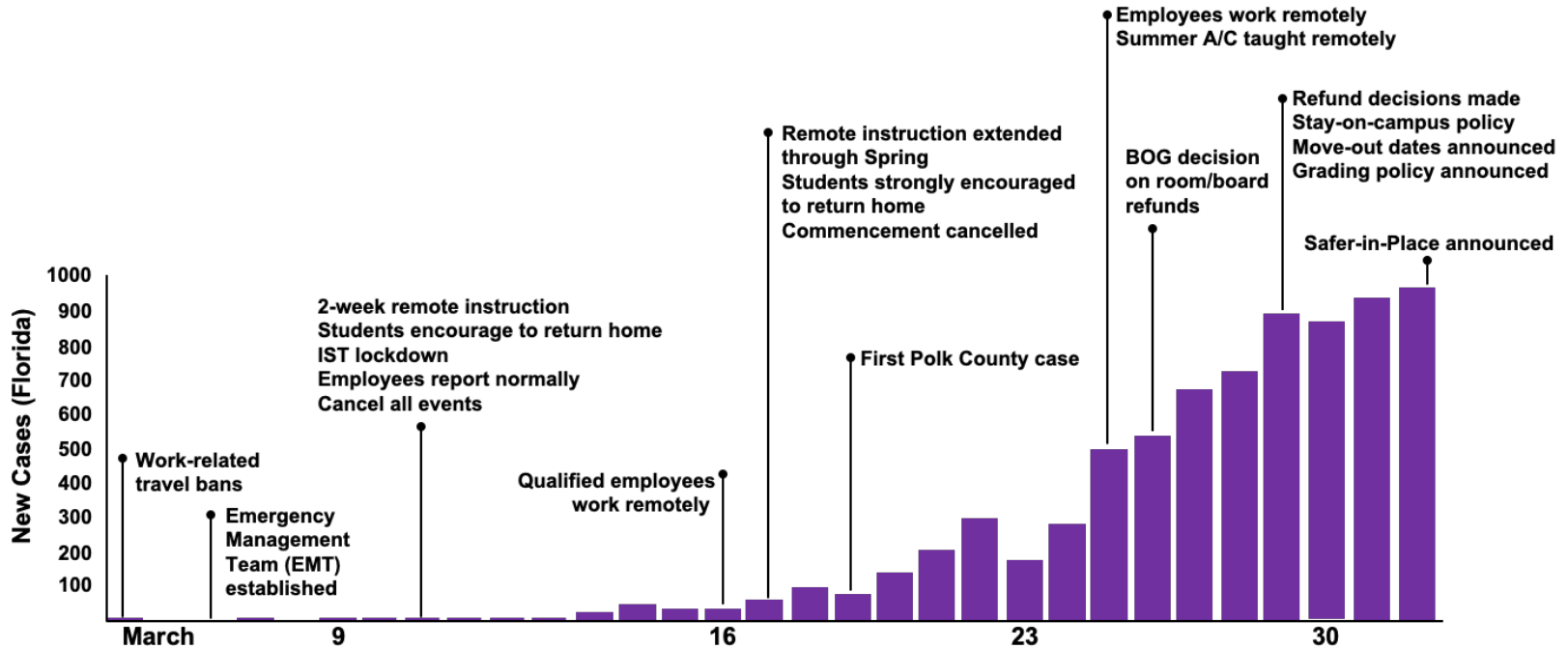
- **Applied Research Center did not receive funding in FY21**
 - Expect an approximate \$5M increase in costs for design, management and increased costs of goods
 - Building completion will be delayed six months to a year since we could not negotiate GMP 3
 - Important to maintain continuity of the essential trades
- **Propose we use Carry Forward funds to provide gap funding until FY22 budget**
 - Encumber remaining carry forward funds to the project to maintain continuity of essential trades
 - Request \$14.9M in FY22 to complete the building with an anticipated delay of one year (opening Fall 2022)
- **Annex completed as planned with potential for small portions of ARC to be opened**

Outline

- Introduction
 - Financial resiliency (COVID-19)
 - Campus sustainability (Merger)
 - **University Operations**
 - **Summary**
-



Florida Poly COVID-19 Timeline



- Florida Polytechnic addressed immediate challenges COVID-19 created through several student and employee actions
- Bringing campus back on line will be coordinated with the BOG just as the move to remote operations was



Reopening Parameters

- **Each University has appointed a “Task Force” to study academic operations for the next academic year**
 - Provost Parker chosen to lead our Campus Resiliency Plan that includes three subcommittees
 - Scenarios of the Future (Professor Centeno)
 - The Campus Environment (Vice Provost Miller)
 - The Academic Environment (Vice Provost Dvorske)
- **Information and best practices regularly shared and coordinated between all SUS institutions**
- **BOG likely sets broad guidelines and allows each university to define implementation through the “Blueprint” document**
- **Plans presented and discussed at June 23 BOG meeting**
 - Plans due to BOG by June 12 and must be BOT approved
 - Plans communicated to students shortly after that meeting
- **Epidemiologist claim May will be a critical month**

BOG Draft Blueprint

- **A healthy and safe campus**
 - Foundational priority to keep all students and employees healthy and safe
 - CDC guidelines (social distancing, PPE, education and regularly cleaning)
- **COVID-19 virus testing**
 - Rapid testing through collaboration with local DOH and health care providers
 - Identify and prioritize those individuals who warrant testing
- **Contact tracing and surveillance**
 - Contact tracing in place with means to isolate positive cases
 - Early warning surveillance systems in place for quick reaction
- **Academic program delivery**
 - Timelines and academic format being determined at each university
 - Everything is on the table (class sizes, alternative academic calendars, ...)
 - We must remain flexible and react to the evolving health conditions

Remote Instruction

- **Online infrastructure lacking at Florida Poly**
 - Plans existed for introducing online instruction in FY22
 - Academic Affairs transitioned to remote operations over a weekend
- **COVID represents opportunity to grow online and hybrid delivery models**
- **Next year concentrate on building and growing our remote operations for excellence**
 - Addressed in admissions, student progression and student experience and faculty development
 - Plans and metrics will be introduced in revisions to the Operational Plan for 2021

Summary

- **Financial resiliency plan presented that begins discussions on how to weather potential budget cuts**
- **Academic growth and building a strategic network (legislators, industry, influencers) are important to remaining independent**
- **Priority on building Applied Research Center remains as campus priority**
- **Florida Poly enters Performance Based Funding next year**
- **Campus trajectory for Fall 2020 remains a topic of discussion and will be announced early July**



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Academic & Student Affairs Committee Meeting

Wednesday, May 20, 2020, 9:30-10:00 AM
Or upon the conclusion of the Board Workshop

Florida Polytechnic University
TELE-CONFERENCE MEETING
Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Don Wilson, Board Chair	Dr. Earl Sasser, Vice-Chair	Henry McCance
Mark Bostick	Dr. Victoria Astley	Connor Coddington
Rear Admiral Philip Dur		

AGENDA

- | | |
|---|-----------------------------------|
| I. Call to Order | Don Wilson, Board Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Don Wilson, Board Chair |
| IV. Approval of the February 25, 2020 Minutes
<i>*Action Required*</i> | Don Wilson, Board Chair |
| V. Provost Report and Discussion | Dr. Terry Parker, EVP and Provost |
| A. Admissions and Financial Aid | |
| B. Faculty Hiring | |
| C. Planning for the 2020-2021 Academic Year | |
| VI. Requested Committee Actions
<i>(discussion of actions in Provost Report)</i>
<i>*Action Required*</i> | Dr. Terry Parker, EVP and Provost |
| A. B.S. Cyber Security Engineering Degree Approval | |
| B. Approval of Collective Bargaining Agreement,
Revised Article 12: Salaries | |
| C. Approval of Memorandum of Understanding re
COVID-19 Health Emergency | |
| D. Approval of Revised Regulation FPU-3.006 Student
Code of Conduct | |
| VII. Closing Remarks and Adjournment | Don Wilson, Board Chair |

Florida Polytechnic University
Board of Trustees

Academic and Student Affairs Committee Meeting

DRAFT MEETING MINUTES

Tuesday, February 25, 2020
1:00 PM - 2:30 PM

Florida Polytechnic University, Student Development Center
4700 Research Way, Lakeland, FL 33805

I. Call to Order

Committee Chair Adrienne Perry called the Academic and Student Affairs Committee meeting to order at 1:27 p.m.

II. Roll Call

Zaira Medina called the roll: Committee Chair Adrienne Perry, Committee Vice Chair Earl Sasser, Trustee Victoria Astley, Trustee Henry McCance, Trustee Ryan Perez, Trustee Mark Bostick and Trustee Philip Dur were present (Quorum).

Other trustees present: Board Chair Don Wilson, Vice Chair Cliff Otto, Trustee Frank Martin, Trustee Lou Saco and Trustee Gary Wendt.

Staff present: Provost Terry Parker, Ms. Gina Delulio, Mr. Mark Mroczkowski, Dr. Kathryn Miller, Dr. Tom Dvorske, Mrs. Maggie Mariucci, Mrs. Kris Wharton, Ms. Michele Rush, Mrs. Kim Abels and Mrs. Zaira Medina were present.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee Henry McCance made a motion to approve the Academic and Student Affairs Committee meeting minutes of December 10, 2019. Trustee Mark Bostick seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2018-20 Strategic Planning Committee Work Plan Review

The 2018-2020 Work Plan remains unchanged and no discussion occurred.

VI. Provost Report

Provost Terry Parker reviewed activity aligned with the Work Plan, which included Admissions and

Financial Aid, Student Affairs, four-year graduation improvement plan, degree program additions, faculty hiring status, student and faculty diversity, graduate programs, and technology and pedagogy.

Trustee Henry McCance inquired about the statement on the Completed Applications graph that indicates student applications have increased by more than 70% over prior year. BenMatthew Corpus stated the graph is incorrect; “applications” have increased by more than 31%; however, this graph should read “Applications” versus “Completed Applications.” Completed Applications have increased 81%.

Board Chair Don Wilson inquired if the summer cohort program would help students in their 4-year graduation rate. Provost Parker responded affirmatively. Trustee Victoria Astley inquired if the students in the summer cohort is considered FTIC for graduation? As students are required to complete nine credits in a summer semester, the summer cohort will account for six of their credits and the graduation rate should improve. Additionally, Mr. Corpus clarified the First Year STEM Program students become part of the spring FTIC cohort.

Trustee McCance inquired if the 18 First Year STEM Program students who persisted received scholarship funds for the summer. Provost Parker stated they received scholarship funds in the fall semester as they transitioned into full time degree-seeking students. They will continue to receive \$2,000 per semester if they maintain their GPA.

Trustee Frank Martin inquired if the 18 faculty up for reappointment and promotion is consistent with the Collective Bargaining Agreement. Provost Parker confirmed there are exactly 18, that no one has been excluded from the process, and after these 18, there would be no more faculty in the pre-June 2017 group and the review of all faculty would be complete. Trustee Astley expressed concern if a great number of faculty are not reappointed. Provost Parker stated there is not an expectation of losing an enormous number of faculty, and that there is a transition period of one year after faculty are informed of non-reappointment.

Trustee Martin stated the need to recruit diverse faculty. Provost Parker affirmed diversity is appropriately considered in the hiring process. All universities struggle to hire diverse faculty because the pool of faculty in STEM degrees at the doctorate level is small.

Trustee Perry suggested undergraduate students may benefit from hybrid offerings for the summer cohort. Provost Parker agreed and stated this was investigated; however, the population who seeks participation do not live close enough to bring them in three Saturdays.

VII. Adoption of Regulation FPU-2.001 Admission to the University and Appeal Process – General

Ms. Melaine Schmitz provided an overview of Regulation FPU-2.001. Trustee Astley inquired who is the chief enrollment officer and is this defined anywhere? Ms. Schmitz confirmed that BenMatthew Corpus is the chief enrollment officer. The title is in lower caps; therefore, it is not an official title.

Trustee Henry McCance made a motion to recommend adoption of Regulation FPU-2.001 Admission to the University and Appeal Process – General to the Board of Trustees. Trustee Earl Sasser seconded the motion; a vote was taken, and the motion passed unanimously.

VIII. Closing Remarks and Adjournment

With no further business to discuss, the Academic and Student Affairs Committee Meeting adjourned at 2:19 p.m.



FLORIDA POLYTECHNIC
UNIVERSITY

Provost's Report

Terry Parker

May 20, 2020

Today's Discussion is a Review of Activity Aligned with the Work Plan

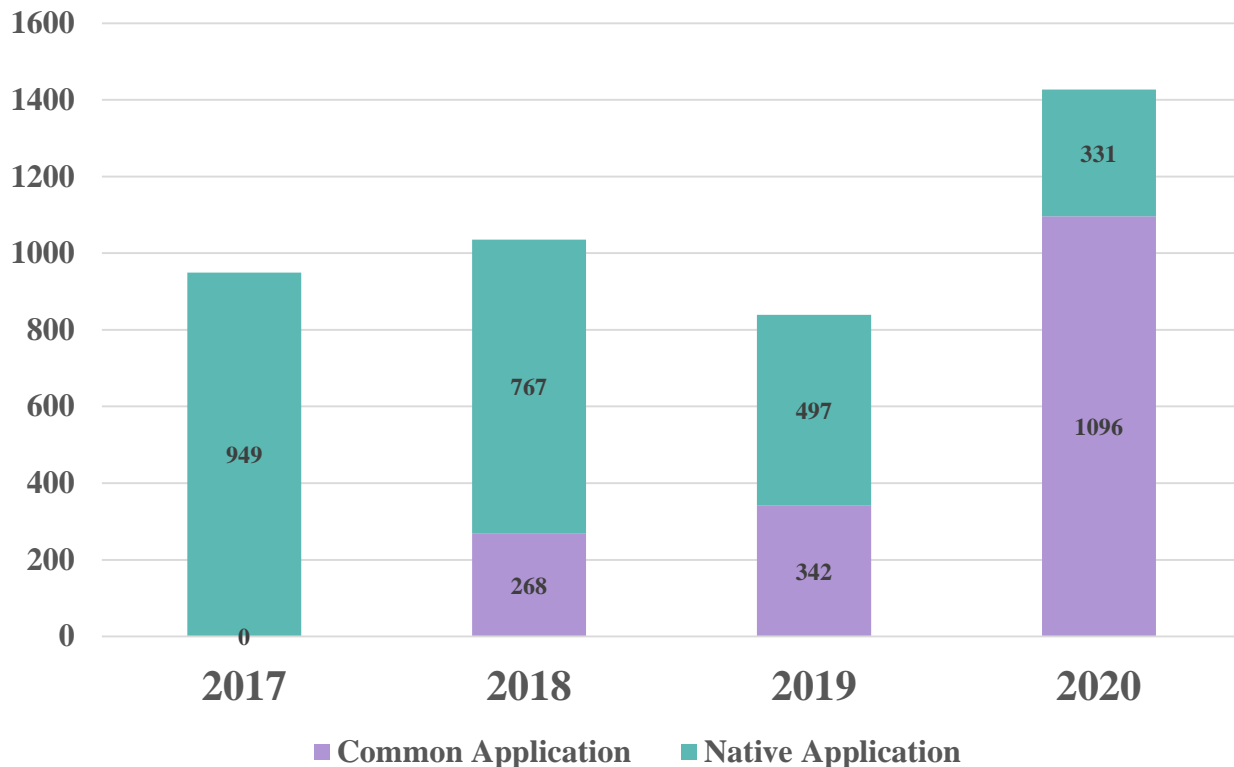
- **Abbreviated Report for Remote Meeting: Highlights Only**
- **Admissions and Financial Aid: Current Status and projections**
- **Student Affairs: Student support in a remote environment**
- **Four year graduation improvement plan***
- **Degree Program Additions and Faculty Hiring Status**
 - **Cyber Security Engineering (request approval to proceed)**
 - **Faculty Hiring Status**
- **Student and Faculty Diversity**
- **Graduate Programs**
- **Technology and Pedagogy**
 - **Transition to Remote Instruction**
- **Other Items**
 - **Collective Bargaining: Salary Article and MOU regarding Spring 2020**
 - **Planning for the future**

* Gray colored titles not discussed at this meeting

First Time In College (FTIC) Applications have increased

- Strong preference by prospective students to use the “common app”
- Reconfiguration of admission strategy has also increased application volume

Completed Applications, Early May
FTIC Students



Admissions Metrics Have Increased in all Categories

- Data is for early May in each year

	Fall 2019	Fall 2020	Change
UnG Admits	669	846	+ 177
TOTAL Deposits	326	372	+ 46
FTIC Deposits	294	320	+ 26
Transfer Deposits	25	30	+ 5
First Year Stem Program Deposits	24	60	+36
Graduate Deposits	7	21	+ 14
International Deposits	4	20	+ 16
FTIC Female % Deposits	17.40%	19.20%	+ 1.8
FTIC Latino % Deposits	18.10%	23.40%	+ 5.3
FTIC Black % Deposits	4.80%	5.70%	+ .9
SAT Deposits	1277	1310	+ 33
ACT Deposits	28.40	29.90	+ 1.5
HSGPA Deposits	4.02	4.29	+ .27

Summer Focus: Transfers and Maintaining Student Interest

Improvements in Diversity and Quality Indicators



Update to the Student Code of Conduct

- *The proposed revisions update the definition of hazing to comply with Board of Governor's regulation 6.021; update position titles, clarify and expand certain types of misconduct, add deferred determination as a method of non-formal resolution, and clarify the conduct of formal hearings and appeals.*
- **Proposed Resolution**
 - *The Board of Trustees approves the revised student code of conduct presented at this meeting*

Student Affairs: Student Life Activities While We Are “Remote”

- **Created a Virtual Student Union: Organizes student resources, programs and services into one virtual location**
- **Career**
 - **Canvas Career Connect. Information on professionalism, preparing for interviews**
- **Phoenix Fun**
 - **Esports practices and tournament**
 - **Summer virtual Hack-A-Thon**
- **Student Government Association**
 - **Campus Labs (Organizes Club Activities online—SGA Elections for 2020-2021)**
- **Healthy Campus**
 - **Counseling available remotely**
 - **TAO Connect (Self-help resources focused on well-being)**
 - **Virtual Fitness Series**
 - Phoenix Fit Challenges (Challenges begin Monday and end on Fridays)**
 - Wellness Wednesday Workouts**

Student Affairs: Remote Activity to Support Students

- **Advising**
 - **Registration Advising: Canvas Registration Assistance and TEAMS Advisor Appointments**
 - **Academic Improvement Program—TEAMS meetings. Success Coach Ryan Darley transitioned support for the Academic Improvement Program to a virtual environment, and 86% student success rate**
 - **Proactive Student Outreach for Summer and Fall course registration**
 - **Support for students who struggled with the transition**
 - *Phund-A-Phoenix (SGA initiative)*
 - *Cares Act Emergency Funds*
 - *Technology solutions*

B.S. Cybersecurity Engineering

- **120 credit hour program**
- **Concentrations include**
 - **Industrial Control Systems Security**
 - **Smart-Grid Security**
 - **Hardware Security**
 - **Advanced Topics**
- **Includes all Florida Poly curricular components**
 - **Year-long Senior Capstone**
 - **Internship Requirement**
 - **18-credits humanities**
- **Additional ABET requirements (will pursue)**
 - **Probability, statistics, cryptographic topics;**
 - **Discrete mathematics and information theory**
 - **Application of protective technologies & forensic techniques**
 - **Legal, regulatory, privacy, ethics, and human behavior topics**

Industry Need & Demand

- **Worldwide**
 - 63% of IT professionals surveyed noted a shortage of cybersecurity staff; nearly 60% say their companies are at risk due to this shortage (2018 survey).
- **The United States**
 - 475% increase in national cybercrime reports in March 2020, demonstrating a high demand for cybersecurity jobs nationwide.
- **Florida**
 - Florida is #4 in the nation for high-tech employment nationally with more than 237,000 IT jobs.
 - Florida's High Tech Corridor employs more than 43,000 people, generating a payroll > \$3.4 billion annually.
 - 68% of organizations surveyed in Florida reported cyber security staff recruitment challenges.
 - The Florida Department of Economic Opportunity estimates additional growth of > 17% by 2024 across all cybersecurity-related positions.

Student Demand & Florida Competition

- **CS & CE are our two most popular majors; about 50% of student body**
 - **21% of total majors pursue concentration in information assurance & cyber-security**
- **Dec 2019 internal survey 49% expressed interest in changing to this major**
 - **(n = 36/74)**
- **Extrapolating from national trends and fitting for Florida Poly admissions profile, approximately 40% of potential recruits are interested in technology-security-related majors.**
- **No other Cybersecurity Engineering programs in the SUS or in Florida.**

11.1003	Computer Information Systems Security, Information Assurance	UWF-B,M; USFT-B,M; FIU-M
43.0303	Critical Infrastructure Protection	USFT-M
43.0406	Cyber/Computer Forensics & Counterterrorism	FSU-B,M;
43.0406	Forensic Science & Technology	FGCU-B; FIU-M; UCF-B,M

Request Approval of Cybersecurity Engineering Degree

- Formal approval is the next step for degree approval
- Proposed Resolution:
 - **The Board supports and approves the proposed Bachelor of Science degree program “Cyber Security Engineering”**
- Followed by formal review of proposal by Board of Governor’s staff before inclusion in State’s degree inventory.

Covid-19 has negatively impacted faculty hiring

- **Faculty searches for next Fall:**
 - the majority of searches are on hold due to travel and meeting restrictions
 - Visiting faculty appointments (one year, renewable) currently advertised to meet teaching needs
- **Status for Searches:**
 - Computer science: converted to visiting faculty searches, evaluating candidates
 - Data Science Business Analytics: converted to Visiting Faculty search, interviewing
 - Environmental Engineering: one candidate pending, one visiting faculty pending
 - Mechanical Engineering: converted to visiting faculty searches, evaluating candidates
 - Physics: two candidates under consideration
 - Math: one instructor offer out

Florida Poly Transitioned to Remote Instruction on March 16

- Instruction delivery shifted to Virtual using WEBEX or TEAMS, course materials provided via CANVAS
- Assessment using Proctorio (uses webcam to monitor student during exam)
- Challenges:
 - Internet access and computers for students
 - Faculty moving delivery to online format
 - Maintaining student engagement

		Spring 2019	Fall 2019	Spring 2020
DFW Fraction	Pre-calculus	66%	32%	31%
	Calculus I	55%	42%	18%
	All Courses	17.86%	17.52	11.13%
SAI Score	Course Average	4.01/5	4.04/5	4.12/5
	Instructor Average	4.25/5	4.27/5	4.31/5

DFW Fraction – the fraction of Grades that are a “D”, an “F”, or a Withdraw

SAI – Student Assessment of Instruction



Collective Bargaining Notes

- Each year annual salary increments must be formally bargained and codified in a salary article
 - Due to a budget reduction, no salary increases are being provided
 - Board approval is required, Proposed board resolution:
 - **The Florida Polytechnic University Board of Trustees approves Article 12: Salaries (Amended May 6, 2020)**
- The abrupt change to remote instruction in the spring produced “impact” bargaining
 - Result is a Memorandum of Understanding” and revised guidelines for faculty evaluation
- Proposed Board Resolution
 - **The Florida Polytechnic University Board of Trustees approves the Memorandum of Understanding titled:**
“MEMORANDUM OF UNDERSTANDING RE: COVID-19 HEALTH EMERGENCY”

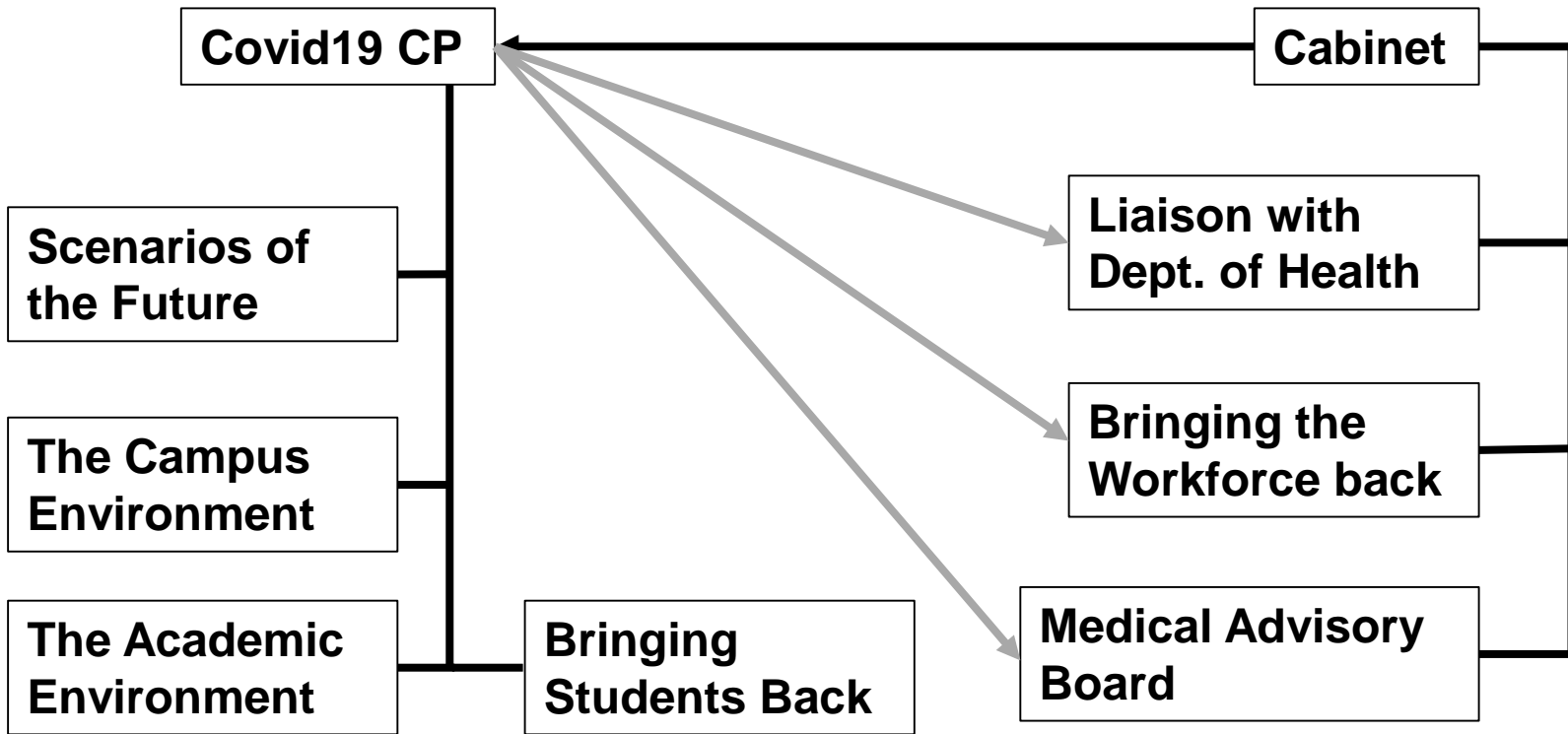
Planning for the Future: How Does Florida Poly Respond to COVID-19

- **The COVID-19 pandemic:**
 - Produced the largest global recession since the Great Depression
 - Is an enormous challenge for higher education
- **Responding to the challenge:**
 - **Immediate Decisions (Emergency Management)**
 - *Spring operations: Remote Instruction, Depopulating the campus*
 - **Very Short Term Planning**
 - *Summer operations: Remote Instruction, Faculty Training required*
 - **Fall Planning**
 - *Campus Planning Effort (CPE) COVID19*
 - *State University System (SUS) Working Groups and Task Force*
 - *Obvious Decisions: position the campus for flexibility with remote instruction*

The SUS is planning HOW to open in the fall

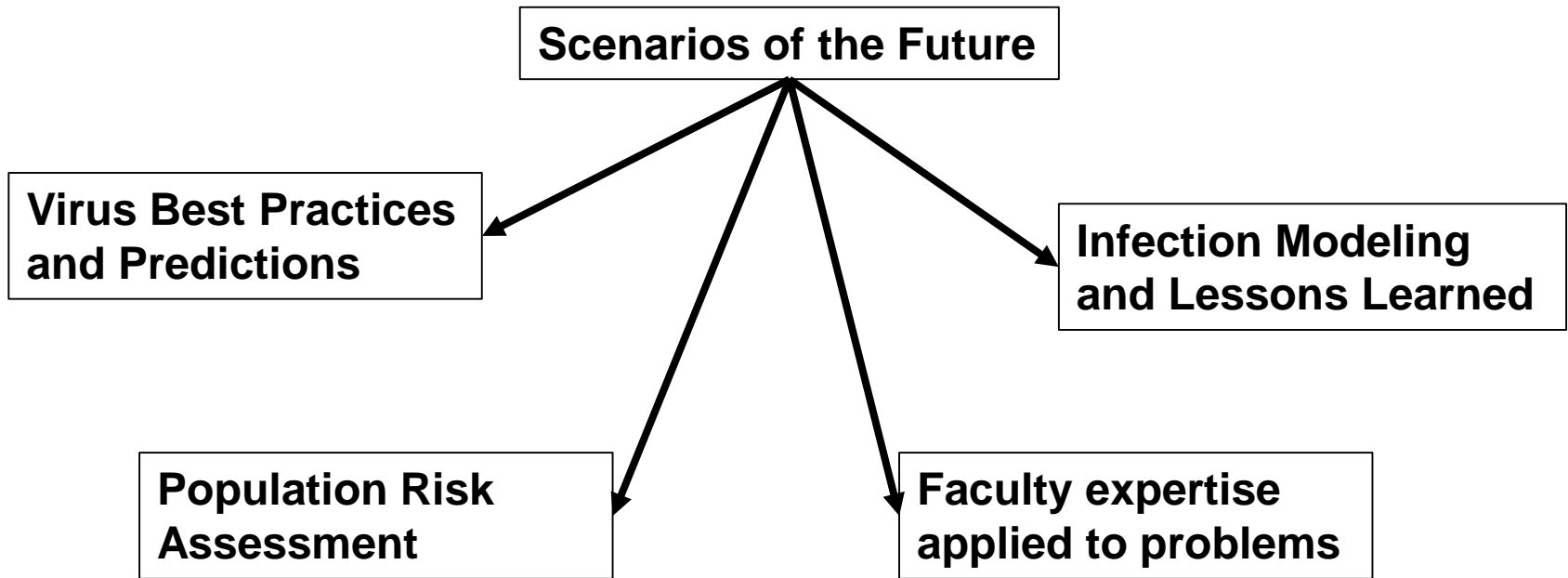
- **Released May 18, 2020**
 - Board of Governors' chair Syd Kitson has directed State University System Chancellor, Marshall Criser III, to develop **guidelines** to present to the Board of Governors at a public meeting on **May 28, 2020**. **Universities will then present their individual plans**, based on these guidelines, to the Board of Governors at a board meeting on **June 23, 2020**
- **The guidelines from the Board of governors will likely be organized around:**
 - Healthy and Safe Campus
 - Testing
 - Tracing
 - Academic Program Delivery
- **University Plans**
 - Broad guidelines on how to open but also flexible so that the plan can adjust to operational needs

Florida Poly COVID 19 Campus Planning (CP) has been working on our opening plans



- The problem is highly complex and has multiple elements

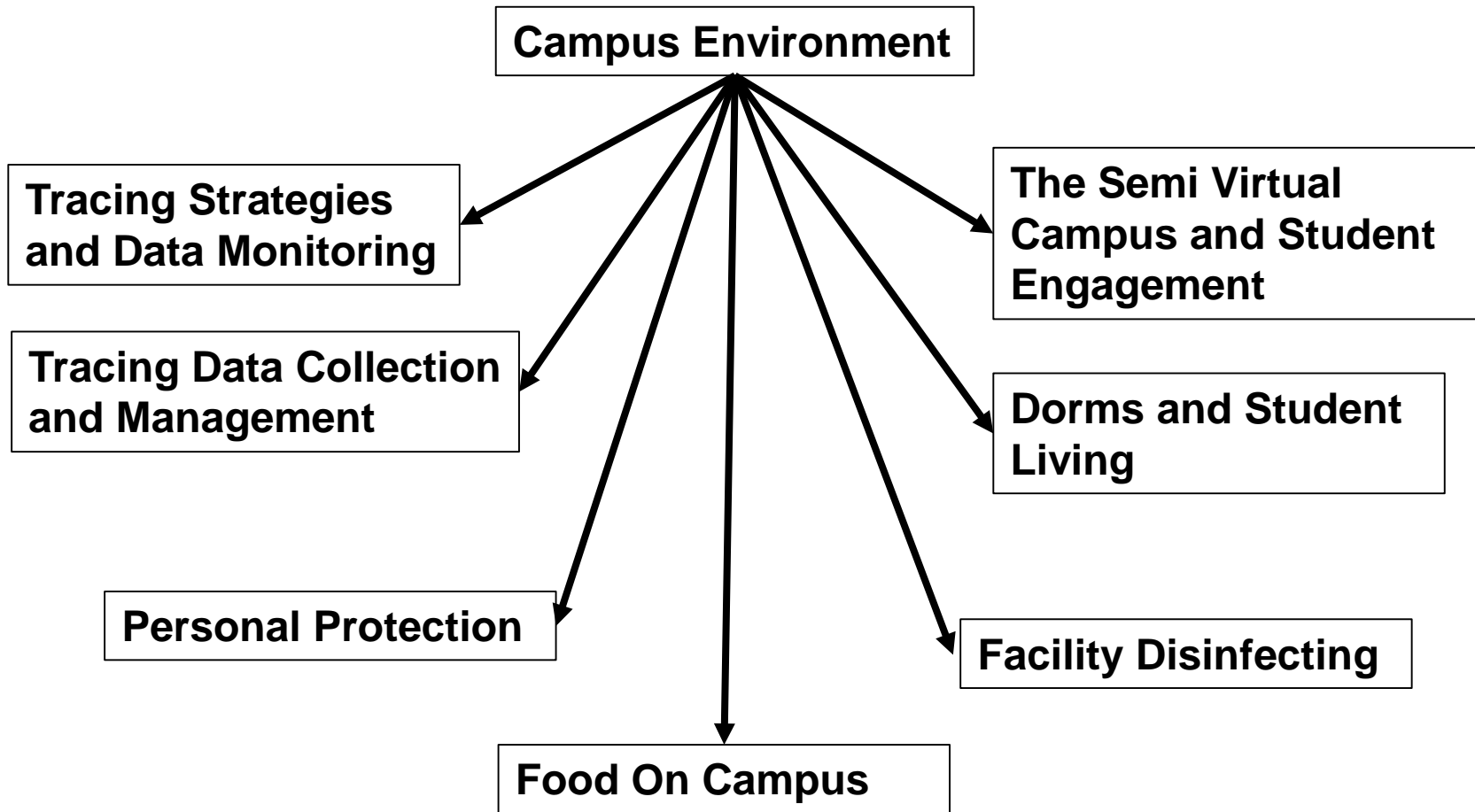
Each Working Group has a set of subgroups



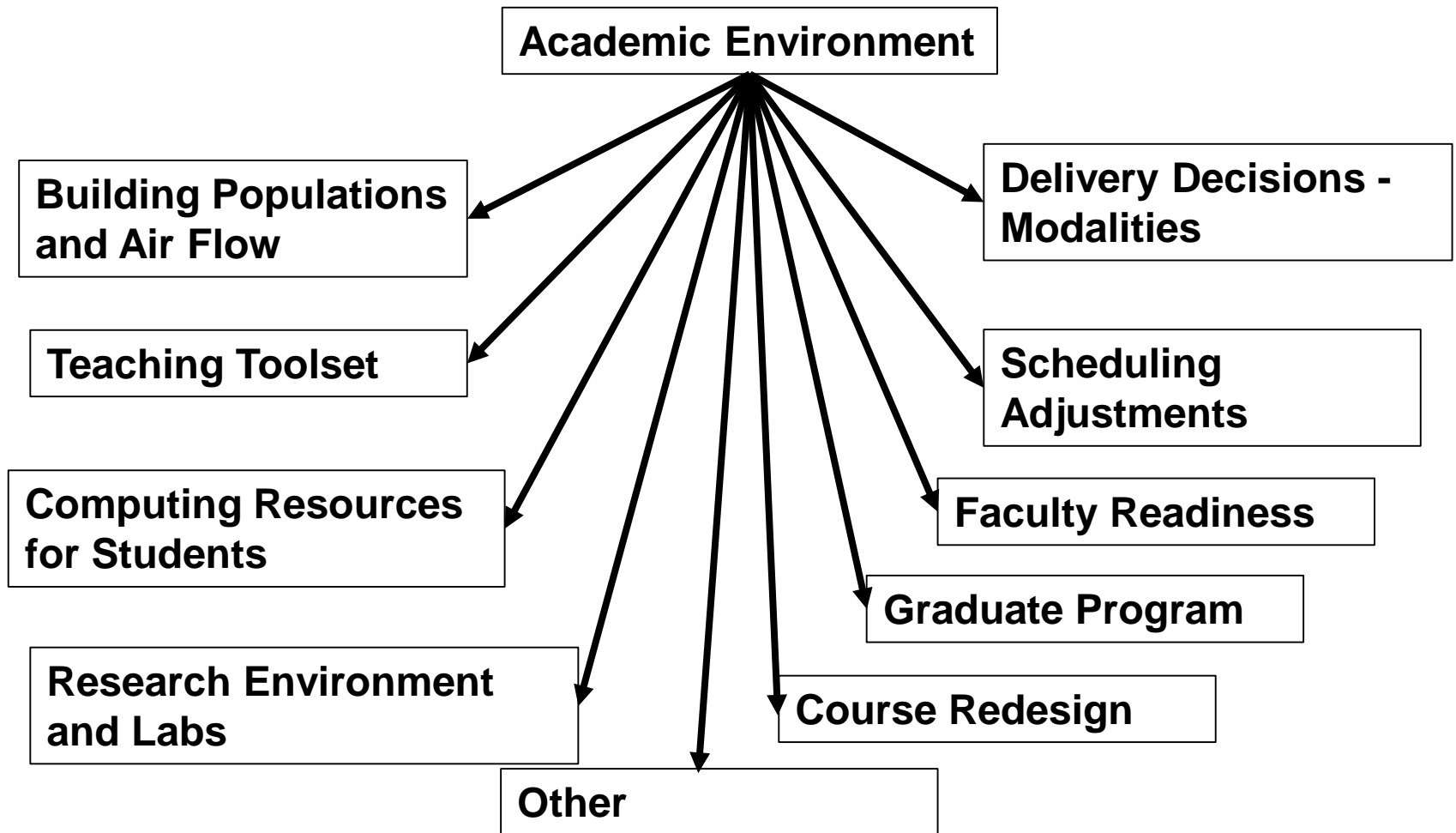
- **Scenarios of the Future is more forward looking but has strong ties to the “practical”**
- **We will leverage our unique characteristics to produce a solution that is practical and innovative**



The operational issues are strongly tied to the campus and academics



The Academic Environment has potentially long time scales for change



Large decisions will be made quickly but preparation efforts will be ongoing through out the summer

Key Messages for Today

- **Admissions and Financial Aid**
 - Numbers are very good but! Fall uncertainties are significant
- **Student Affairs**
 - We have transitioned to providing remote student life and services
- **Degree Program Additions and Faculty Hiring Status**
 - Cyber Security Engineering Degree
 - Moving to Visiting Faculty to meet next years needs
- **Technology and Pedagogy**
 - We are rapidly putting remote and online capability in place
- **Collective bargaining**
 - Salary Article for BOT approval and notification of a Memorandum of Understanding
- **COVID19 Impacts**
 - An aggressive timeline for fall operations

**Florida Polytechnic University
Academic & Student Affairs Committee
Board of Trustees
May 20, 2020**

Subject: Bachelor of Science in Cyber Security Engineering Degree

Proposed Committee Action

To support and recommend approval of a Bachelor of Science degree program in Cyber Security Engineering to the Board of Trustees.

Background Information

The Bachelor of Science in Cybersecurity Engineering prepares engineers to be cybersecurity professionals with the knowledge, skills, and abilities to conceptualize, design, engineer, test, and implement all components of a cyber-physical, network system. This includes hardware, software, networking, and human interfaces of the system. The program encompasses computer engineering, electrical engineering, computer science, engineering, science, and mathematics. The program educates students in the fundamental core of cybersecurity engineering of physical systems and its cutting-edge, high-impact areas focusing on industrial plans, smart-grid and hardware security.

Supporting Documentation: Cyber Security Engineering Degree Proposal

Prepared by: Dr. Terry Parker, EVP & Provost

**Florida Polytechnic University
Academic & Student Affairs Committee
Board of Trustees
May 20, 2020**

Subject: Collective Bargaining Agreement, Revised Article 12: Salaries

Proposed Committee Action

Recommend approval of the Collective Bargaining Agreement, Revised Article 12: Salaries to the Board of Trustees.

Background Information

In each spring semester, the university and the UFF Florida Poly chapter bargain for salary increases in the upcoming Academic Year. Due to budget constraints, there are no salary increases for the coming year.

Supporting Documentation: Collective Bargaining Agreement, Revised Article 12: Salaries

Prepared by: Dr. Terry Parker, EVP & Provost

Florida Polytechnic University
Academic & Student Affairs Committee
Board of Trustees
May 20, 2020

Subject: Memorandum of Understanding re COVID-19 Health Emergency

Proposed Committee Action

Recommend approval of the Memorandum of Understanding re COVID-19 Health Emergency to the Board of Trustees.

Background Information

The abrupt transition to remote instruction in the spring 20-20 semester changed the working conditions which required impact bargaining. The result of this process is the Memorandum of Understanding (MOU) that follows the salary article. The MOU includes revised evaluation guidelines which will be used for annual faculty evaluations.

Supporting Documentation: Memorandum of Understanding re COVID-19 Health Emergency

Prepared by: Dr. Terry Parker, EVP & Provost

**Florida Polytechnic University
Academic & Student Affairs Committee
Board of Trustees
May 20, 2020**

Subject: FPU-3.006 Student Code of Conduct

Proposed Action

Approval of revised regulation **FPU-3.006 Student Code of Conduct.**

Background Information

The proposed revisions update the definition of hazing to comply with Board of Governor's regulation 6.021; update position titles, clarify and expand certain types of misconduct, add deferred determination as a method of non-formal resolution, and clarify the conduct of formal hearings and appeals.

Specifically, the following additional types of misconduct are proposed:

- Bullying, when not protected speech,
- Intellectual property as property encompassed by actual or attempted theft,
- Selling controlled substances, possession of paraphernalia used for drugs, and the un-prescribed use, inhalation, or ingestion of a substance that could alter a person's mental state,
- Attending class, an organizational meeting or other University event that is specific for an educational purpose while under the influence of the substances listed in the code,
- Violations of any policy or regulation governing University Housing, as well as, the Resident Handbook, and
- Retaliation against a person participating in the student conduct process.

The following revisions to the formal hearing process are proposed:

- Clarifying the process and timing for Responding party and Reporting party to submit questions of the other party to the Hearing Body,
- Removing the requirement that the Hearing Body announce its proposed findings and sanctions following deliberations,
- Allowing the Provost to appoint an appellate officer to review and decide an appeal, and
- Removing "No Substantial Information to Support Recommendation" as a basis for appeal.

The proposed revisions were provided to members of the Student Government Association for their review and comment.

The Notice of Amendment to proposed regulation and the regulation was published on the University's website on April 15, 2020. No comments were received during the review and comment period.

Supporting Documentation: DRAFT FPU-3.006 Student Code of Conduct

Prepared by: Melaine Schmitz, Assistant General Counsel

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**CYBER SECURITY ENGINEERING DEGREE
PROPOSAL**

Board of Governors, State University System of Florida

Request to Offer a New Degree Program

(Please do not revise this proposal format without prior approval from Board staff)

Florida Polytechnic University

University Submitting Proposal

Fall 2021

Proposed Implementation Term

Not applicable

Name of College(s) or School(s)

Electrical & Computer Engineering

Name of Department(s)/ Division(s)

Cyber-Security

Academic Specialty or Field

Cybersecurity Engineering

Complete Name of Degree

29.0207

Proposed CIP Code

The submission of this proposal constitutes a commitment by the university that, if the proposal is approved, the necessary financial resources and the criteria for establishing new programs have been met prior to the initiation of the program.

Date Approved by the University Board of Trustees **President** **Date**

Signature of Chair, Board of Trustees **Date** **Vice President for Academic Affairs** **Date**

Provide headcount (HC) and full-time equivalent (FTE) student estimates of majors for Years 1 through 5. HC and FTE estimates should be identical to those in Table 1 in Appendix A. Indicate the program costs for the first and the fifth years of implementation as shown in the appropriate columns in Table 2 in Appendix A. Calculate an Educational and General (E&G) cost per FTE for Years 1 and 5 (Total E&G divided by FTE).

Implementation Timeframe	Projected Enrollment (From Table 1)	
	HC	FTE
Year 1	20	19
Year 2	45	43
Year 3	83	76
Year 4	107	98
Year 5	120	111

Projected Program Costs (From Table 2)				
E&G Cost per FTE	E&G Funds	Contract & Grants Funds	Auxiliary / Philanthropy Funds	Total Cost
\$38,410	\$729,787			\$729,787
\$11,607	\$1,288,425			\$1,288,425

Note: This outline and the questions pertaining to each section must be reproduced within the body of the proposal

to ensure that all sections have been satisfactorily addressed. Tables 1 through 4 are to be included as Appendix A and not reproduced within the body of the proposals because this often causes errors in the automatic calculations.

INTRODUCTION

I. Program Description and Relationship to System-Level Goals

- A. Briefly describe within a few paragraphs the degree program under consideration, including (a) level; (b) emphases, including majors, concentrations, tracks, or specializations; (c) total number of credit hours; and (d) overall purpose, including examples of employment or education opportunities that may be available to program graduates.**

The Bachelor of Science in Cybersecurity Engineering prepares engineers to be cybersecurity professionals with the knowledge, skills, and abilities to conceptualize, design, engineer, test, and implement all components of a cyber-physical, network system. This includes hardware, software, networking, and human interfaces of the system. The program encompasses computer engineering, electrical engineering, computer science, engineering, science, and mathematics. The program educates students in the fundamental core of cybersecurity engineering of physical systems and its cutting-edge, high-impact areas focusing on industrial plants, smart-grid and hardware security.

The curriculum stems from a strong background in engineering math and science, and engineering topics within the framework of hardware-based computer engineering and electrical engineering blended with software-based computer science. The hardware-based computer engineering includes microcomputer and computer architecture. The curriculum emphasizes on cyber physical security with concentration on Industrial Control Systems Security, Smart-grid Security, Hardware Security and Advanced Topics. The cybersecurity engineering program with an emphasis on the security of cyber physical systems should be distinguishable from other Bachelor of Science programs. It requires seven (7) new courses of 21 credits.

The program is structured to satisfy the ABET general program requirements with 36 credits (minimum 30) of math and science, 65 credits of engineering topics (minimum 45) and 18 credits of general education. The program provides breadth from the required courses and depth through the concentration courses. The curriculum is also structured to meet ABET program requirements for cybersecurity engineering through required courses and these include

1. Probability, statistics, and cryptographic topics.
2. Discrete mathematics and information theory
3. Application of protective technologies and forensic techniques
4. Consideration of legal, regulatory, privacy, ethics, and human behavior topics as appropriate to the program.

Students holding this degree are employable in government, military, and private sector, and will have a solid foundation to pursue advanced study in computer science, electrical or computer engineering at the graduate level.

- B. Please provide the date when the pre-proposal was presented to CAVP (Council of Academic Vice Presidents) Academic Program Coordination review group. Identify any concerns that the CAVP review group raised with the pre-proposed program and provide a brief narrative explaining how each of these concerns has been or is being addressed.**

The pre-proposal was presented to the Council of Academic Vice Presidents Academic Coordinating Group on April 23, 2019. There were no concerns expressed.

- C. If this is a doctoral level program please include the external consultant's report at the**

end of the proposal as Appendix D. Please provide a few highlights from the report and describe ways in which the report affected the approval process at the university.

Not applicable.

D. Describe how the proposed program is consistent with the current State University System (SUS) Strategic Planning Goals. Identify which specific goals the program will directly support and which goals the program will indirectly support (see link to the SUS Strategic Plan on [the resource page for new program proposal](#)).

The proposed B.S. in Cybersecurity Engineering directly supports several SUS Strategic Plan goals in several ways. These include not only the program are content itself, but its direct connection with the University's Advanced Mobility Institute with its work in autonomous systems where cyber-security is a critical engineering outcome. The addition of cyber-security engineers to our interdisciplinary, industry-sponsored senior capstone experience will enhance the desirability for industry-partners to want to contribute projects with more dimensions as these students will add an important element of complexity and need to the design. Specifically, the program will directly support the following SUS Strategic Plan Goals:

- Teaching and Learning Strategic Priorities for a Knowledge Economy
 - Goal: increase the number of degrees awarded in STEM and other areas of strategic emphasis.
- Scholarship, Research, and Innovation: Excellence
 - Goal: Strengthen the Quality and Reputation of Scholarship, Research, and Innovation
 - Improve the quality and impact of scholarship, research, and commercialization activities.
 - Increase undergraduate participation in research to strengthen the pipeline of researchers pursuing graduate degrees.
 - Goal: Increase Research Activity and Attract More External Funding
 - Attract more research funding from external (federal and private) sources
- Community and Business Engagement
 - Goal: Increase Community and Business Workforce
 - Increase the percentage of graduates who continue their education or are employed full-time.

E. If the program is to be included in a category within the Programs of Strategic Emphasis as described in the SUS Strategic Plan, please indicate the category and the justification for inclusion.

The Programs of Strategic Emphasis Categories:

1. Critical Workforce:
 - Education
 - Health
 - Gap Analysis
2. Economic Development:
 - Global Competitiveness
3. Science, Technology, Engineering, and Math (STEM)

Please see the Programs of Strategic Emphasis (PSE) methodology for additional explanations on program inclusion criteria at [the resource page for new program proposal](#).

The program's CIP code was [added to the Programs of Strategic Emphasis](#) area for STEM at the [August 28-29, 2019 Board of Governors Meeting](#) at Florida Gulf Coast University.

F. Identify any established or planned educational sites at which the program is expected to be offered and indicate whether it will be offered only at sites other than the main campus.

The program is intended to be offered onsite at the J.D. Alexander Campus at 4700 Research Way, Lakeland, Florida 33805.

INSTITUTIONAL AND STATE LEVEL ACCOUNTABILITY

II. Need and Demand

- A. Need: Describe national, state, and/or local data that support the need for more people to be prepared in this program at this level. Reference national, state, and/or local plans or reports that support the need for this program and requests for the proposed program which have emanated from a perceived need by agencies or industries in your service area. Cite any specific need for research and service that the program would fulfill.**

Cybersecurity is a national security issue and an economic concern for Florida and the United States. As more industrial equipment and processes rely on computer-based, remotely controlled systems such as autonomous vehicles and smart-grids, their secure operation is important. Nationwide, demand is growing for engineering jobs especially in cyber physical security and ABET has responded by developing accreditation standards that articulate industry expectations and requirements associated with the broad field of cyber-security, both software and hardware systems. According to the Occupational Outlook Handbook of US Department of labor, the demand for jobs in security is growing 28% faster ("much faster") than average.

This program should create a hub for highly skilled workforce in cyber physical security to meet the local, state, national and international demands making a center of excellence around Florida Poly. There are a number of companies whose businesses are entirely centered around cyber security.

Seven Florida companies are on the Cybersecurity 500, Cybersecurity Ventures' list of the world's best companies in the industry: Easy Solutions, Veriato, KnowBe4, Appraver, INFOSIGHT, Harris and Citrix. On the other hand, two Florida cities - Miami (6th) and Tampa (8th) - ranked in the top 10 for cyber security job growth from 2010 to 2014.

Within the Departments of Electrical and Computer Engineering and Computer Science, there are at least four (4) faculty members who are actively engaged in research in cyber security with two additional projects funded by Florida agencies. The development of the proposed curriculum would enhance research activities at Florida Poly to reach its research goals. The department of electrical and computer engineering is searching for one new faculty on cyber physical security and another one for autonomous vehicles. Once the proposed curriculum is in place and the program is accredited by ABET Inc, the program plans (a) to seek for designation as a National Center of Academic Excellence in Cyber Defense Education by the National Security Agency and the Department of Homeland Security, and (b) to offer an online certificate on cyber physical security.

Industry Demand

Worldwide

- 63% of IT professionals surveyed in 2018 noted that their organizations have a shortage of IT staff dedicated to cybersecurity. And nearly 60% say their companies are at moderate or extreme risk of cybersecurity attacks due to this shortage.^[1]

The United States

- Nationally, there was a 475% increase in national cybercrime reports in March of 2020, demonstrating a high demand for cybersecurity jobs nationwide.^[2]
- Employment of information security analysts is projected to grow 32% from 2018 to 2028, a much higher rate than most occupations.^[3] There were 112,300 jobs in 2018, and it is projected to increase to 147,800 jobs by 2028 by the Bureau of Labor statistics.

Florida

- More than 27,000 high-tech companies operate in Florida, with more than 5,000 providing IT-specific services, making Florida #4 in the nation for high-tech employment nationally with more than 237,000 IT jobs. Florida's High Tech Corridor alone employs more than 43,000 people, generating a payroll of more than \$3.4 billion annually.^[4]
- Cybercrime will continue to increase due to Florida's robust economic landscape. At the close of 2017, it was found that there is a national shortage of more than 285,000 skilled workers in this space, with more than 12,600 cybersecurity openings in Florida.^[5]
- 68% of organizations surveyed in Florida reported cyber security staff recruitment challenges.^[6]
- In 2015, more than 46,000 healthcare establishments employed more than 803,000 Floridians. the healthcare industry was the hardest hit by cyberattacks in the first half of 2017, accounting for 25% of all breaches. In Florida alone, organizations reported 28 breaches of HIPAA-related information to the U.S. Department of Health and Human Services in 2016, with 2.8 million records extracted from Florida data centers in 2016.
- Florida ranks among the top 10 states for manufacturing, with more than 19,000 manufacturers producing a variety of goods. Manufacturing was the third-most attacked sector in 2016, and the proportion of serious incidents were 40% higher than the average across all industries.^[7]
- The scarcity of trained cybersecurity professionals and increasing wages have resulted in a negative security-specific unemployment rate in Florida. The Florida Department of Economic Opportunity is estimating additional growth of more than 17% by 2024 across all cybersecurity-related positions.^[8]
- Cyber security data breaches in Florida increased 17.8% between 2015 and 2016. Forty-one percent of Florida entities surveyed by Gartner in 2017 had recently suffered an incident that disrupted normal business. When asked to rank the severity of the disruption, 66% indicated the event was "moderate" in nature, while 16% rated it "high."

[1] ISC2 Cybersecurity workforce study (2018). Cybersecurity Professionals focus on Developing New Skills as Workforce Gap Widens.

[2] Phillips, J. News Fox 30, April 24, 2020. High demand for cybersecurity professionals in Northeast Florida.

[3] US Bureau of Labor Statistics, Occupational Handbook. Information Security Analysts summary.

[4] The State of Cybersecurity in Florida. 2017. Florida Center for Cybersecurity at USF. Gartner.

[5] *ibid*

[6] The State of Cybersecurity in Florida. 2017. Florida Center for Cybersecurity at USF. Gartner. Pg 16

[7] Verizon. 2017 Data Breach Investigations Report

[8] The State of Cybersecurity in Florida. 2017. Florida Center for Cybersecurity at USF. Gartner.

B. Demand: Describe data that support the assumption that students will enroll in the proposed program. Include descriptions of surveys or other communications with prospective students.

Computer Science and Computer Engineering, our first and third most popular majors respectively, combine to account for nearly 50% of Florida Poly's majors. Twenty-one percent of our total majors are pursuing the concentration in information assurance and cyber-security, currently available only to computer science students. By creating a focused degree program in cyber-security engineering, we create opportunity for computer engineers to explore the security issues involved in physical systems. Therefore, we have strong reason to believe that students interested in Florida Poly would readily populate this program.

Currently, in the BOG inventory there are two programs under CIP 11.1003 (Computer information systems security/information assurance): a master's at FIU and a bachelor's at UWF. There are no programs in the SUS under CIP 29.0207, Cyber/Electronic Operations and Warfare. As such, the program is not duplicative of any existing program in the SUS, but the SUS does have some competition in Florida from similar programs at private institutions.

At the bachelor's level, fall 2018 census for UWF showed 91 students enrolled in their cyber-security program (source: UWF Institutional Research).

On December 9, 2019, the university surveyed current undergraduates at Florida Poly to determine their level of interest in a potential Cybersecurity Engineering program. Of the four direct questions about the proposed degree program, approximately 49% of those responding, or 36 students, stated that they would be interested in or would consider switching majors into Cybersecurity Engineering out of a total of 74 student respondents, with 84% being current computer science or computer engineering majors.

Nationally, over 134,000 graduating high school seniors were interested in engineering and computer science degrees and had academic results that fit the admissions profile for Florida Poly in terms of their math abilities. By extrapolating the national trends would result in approximately 40% moving into technology security related majors (College Board, EPS data May 11, 2020).

- C. If substantially similar programs (generally at the four-digit CIP Code or 60 percent similar in core courses), either private or public exist in the state, identify the institution(s) and geographic location(s). Summarize the outcome(s) of communication with such programs with regard to the potential impact on their enrollment and opportunities for possible collaboration (instruction and research). In Appendix C, provide data that support the need for an additional program.**

Related programs in Florida/SUS are identified below. Many institutions, including Florida Poly, have concentrations in cyber-security located in Computer Science or a related field. A presentation by Allen Parrish and Paul Tortora of the US Naval Academy at the 2017 ABET Symposium (April 20-21) includes an analysis of cybersecurity-related programs nationwide, noting that more are needed nationwide to keep up with demand. Moreover, they analyze types of programs, noting that many are designed around specific approaches such as network security, cyber-crime investigation, data-information security, or some other aspect. In ABET terms, a cyber-security engineering program requires students to “analyze, design, implement and evaluate systems as an underlying principle.” Further, they note that not all cybersecurity is computing, but that it includes policy and human factors as well.

Table: SUS Programs by CIP Code Description

11.1003	Computer Information Systems Security, Information Assurance	UWF-B,M; USF-T – B,M; FIU-M
43.0303	Critical Infrastructure Protection	USF-T – M
43.0406	Cyber/Computer Forensics & Counterterrorism	FSU-B,M;
43.0406	Forensic Science & Technology	FGCU-B; FIU-M; UCF-B,M

- D. Use Table 1 in Appendix A (1-A for undergraduate and 1-B for graduate) to categorize projected student headcount (HC) and Full Time Equivalents (FTE) according to primary sources. Generally undergraduate FTE will be calculated as 30 credit hours per year and graduate FTE will be calculated as 24 credit hours per year. Describe the rationale underlying enrollment projections. If students within the institution are expected to change majors to enroll in the proposed program at its inception, describe the shifts from disciplines that will likely occur.**

It is expected that at the outset some percentage of students will shift from either electrical or computer engineering to cybersecurity engineering. This change will be relatively easy given the similarity in curricula. The University may also explore the possibility of offering double-majors to mitigate reduction in any one degree program should that be feasible without losing out on time to degree. It is also possible students from Computer Science might consider changing major, as some surveyed have expressed interest, but the likelihood is small as those students typically want what they perceive as the appeal of a broader computer science degree. Overall, program enrollment in year one and through the first five years is estimated based on the overall University growth plan, not accounting for Covid-19. We do

anticipate that the program will be attractive as Admissions analysis has positive indicators, and we believe its synergy with our other programs will enable it to grow. Furthermore, as this program, and therefore the ECE Department grows, and launches its newer, better defined concentrations, we feel that any initial pull of graduates will even out and all three ECE programs will, over time, demonstrate growth.

- E. Indicate what steps will be taken to achieve a diverse student body in this program. If the proposed program substantially duplicates a program at FAMU or FIU, provide, (in consultation with the affected university), an analysis of how the program might have an impact upon that university's ability to attract students of races different from that which is predominant on their campus in the subject program. The university's Equal Opportunity Officer shall review this section of the proposal and then sign and date Appendix B to indicate that the analysis required by this subsection has been completed.**

As noted in I.B., there were no concerns from the CAVP-ACG in April 2019; furthermore, as identified in Section II.C, the proposed program has no similar CIP codes in the system and the only related fields are at FIU at the master's level. Thus, graduates of the B.S. in Cybersecurity Engineering from Florida Poly may be good candidates for graduate work in Forensic Science and Technology at FIU or further study at the master's level in Information Assurance.

III. Budget

- A. Use Table 2 in Appendix A to display projected costs and associated funding sources for Year 1 and Year 5 of program operation. Use Table 3 in Appendix A to show how existing Education & General funds will be shifted to support the new program in Year 1. In narrative form, summarize the contents of both tables, identifying the source of both current and new resources to be devoted to the proposed program. (Data for Year 1 and Year 5 reflect snapshots in time rather than cumulative costs.)**

Table three shows no reallocation of funds because the Department that houses electrical and computer engineering programs that will also house cybersecurity engineering are all under the same account in Academic Affairs. Thus, no reallocation is occurring. In fact, the funds are coming from unallocated recurring dollars from a state appropriation in 2018 to fund additional faculty lines. In general, the additional funds will not be significant as the total person-years in year 1 is 3.08 and in year 5 is 5.4. General institutional growth will make up for the increase in needed faculty along with already allocated funds, growth in student population, and current faculty expertise, which enables us to teach the full curriculum of the proposed program at this time. As noted elsewhere in this document, electrical engineering has been performing below expectations in terms of enrollment so in the short-term, a boost in enrollment in many of the same courses would result in a load-balancing for the faculty as their loads compare across the institution. From this standpoint, the addition of the program is in year one largely cost-neutral.

- B. Please explain whether the university intends to operate the program through continuing education, seek approval for market tuition rate, or establish a differentiated graduate-level tuition. Provide a rationale for doing so and a timeline for seeking Board of Governors' approval, if appropriate. Please include the expected rate of tuition that the university plans to charge for this program and use this amount when calculating cost entries in Table 2.**

Not Applicable.

- C. If other programs will be impacted by a reallocation of resources for the proposed program, identify the impacted programs and provide a justification for reallocating resources. Specifically address the potential negative impacts that implementation of the proposed program will have on related undergraduate programs (i.e., shift in faculty effort, reallocation of instructional resources, reduced enrollment rates, greater use of adjunct**

faculty and teaching assistants). Explain what steps will be taken to mitigate any such impacts. Also, discuss the potential positive impacts that the proposed program might have on related undergraduate programs (i.e., increased undergraduate research opportunities, improved quality of instruction associated with cutting-edge research, improved labs and library resources).

By implementing the B.S. in Cybersecurity Engineering in the Electrical and Computer Engineering Department, the first impacts will be felt in the bachelors' programs in Electrical and Computer Engineering. We suspect that, initially, the program in Cybersecurity Engineering may draw students away from one or both of the other programs before a resettling occurs where all three reach a steady-state. Some adjustment in teaching loads on faculty will occur as well; however, the program adds only seven new courses to the department at the upper-level and current departmental loads in terms of SCHs have been declining relative to other programs. The intent is to boost departmental enrollment overall to bring the productivity of department faculty up to a level comparable to their counterparts in computer science and mechanical engineering departments.

In terms of research, the new program leverages expertise across both disciplinary areas within the department and the University's Advanced Mobility Institute as well as other research areas to drive a stronger inter-disciplinary focus on cybersecurity overall. Collaborations with computer science, mathematics, mechanical engineering, and data science will increase with the addition of this program and the need to develop research and curricula in support will help drive the current faculty efforts to higher levels of productivity.

D. Describe other potential impacts on related programs or departments (e.g., increased need for general education or common prerequisite courses, or increased need for required or elective courses outside of the proposed major).

Increased enrollment that the program will incur would increase demand on general education courses supporting the program and increase demand on courses within the department. These are accounted for in Appendix A in enrollment, cost, and faculty tables.

E. Describe what steps have been taken to obtain information regarding resources (financial and in-kind) available outside the institution (businesses, industrial organizations, governmental entities, etc.). Describe the external resources that appear to be available to support the proposed program.

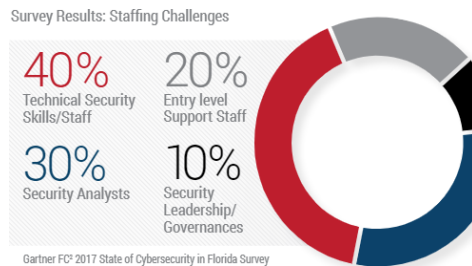
At this stage, no additional external resources have been pursued to support the program. The state provided Florida Poly with an additional appropriate in 2018 to support faculty hiring and that recurring money continues to be available to grow our programs. As yet unallocated portions of those funds will go toward any new costs associated with the program. The University works regularly with its Industry Partners in funding for senior capstone projects and regularly builds these relationships to facilitate student internships and create pathways for job placement.

IV. Projected Benefit of the Program to the University, Local Community, and State

Use information from Tables 1 and 2 in Appendix A, and the supporting narrative for "Need and Demand" to prepare a concise statement that describes the projected benefit to the university, local community, and the state if the program is implemented. The projected benefits can be both quantitative and qualitative in nature, but there needs to be a clear distinction made between the two in the narrative.

The 2017 report out of the Florida Center for Cybersecurity at the University of South Florida makes ample case for the need for a growing workforce in cybersecurity for the state. The "State of Cybersecurity Report" is important to this proposal for several reasons. While it demonstrates the cost of cyber-attacks and the threat they pose to Florida's economy as well as specific sectors within the economy, the most notable aspect of this report with respect to the proposed program is the range of

types of threats that the document identifies: among these threats are environment, human threats, and social threats such as unrest. The report details other specific actions and causes of breaches, but the key factor is that the report implicitly identifies the complexity of the cybersecurity problem and show it as one to be challenged from an engineering perspective. The report further examines Florida-based organizations and shows that “the average number of full-time, dedicated security personnel ranges from two to five FTE.” Most security teams are backfilled by support positions and 98% of respondents indicated that at least some staff hold security certification. Clearly, the space is wide open for cybersecurity engineers to step in to a wide range of positions throughout Florida and begin making an enormous difference.



V. Access and Articulation – Bachelor’s Degrees Only

- A. If the total number of credit hours to earn a degree exceeds 120, provide a justification for an exception to the policy of a 120 maximum and submit a separate request to the Board of Governors for an exception along with notification of the program’s approval. (See criteria in Board of Governors Regulation 6C-8.014)**

Not applicable

- B. List program prerequisites and provide assurance that they are the same as the approved common prerequisites for other such degree programs within the SUS (see link to the Common Prerequisite Manual on [the resource page for new program proposal](#)). The courses in the Common Prerequisite Counseling Manual are intended to be those that are required of both native and transfer students prior to entrance to the major program, not simply lower-level courses that are required prior to graduation. The common prerequisites and substitute courses are mandatory for all institution programs listed, and must be approved by the Articulation Coordinating Committee (ACC). This requirement includes those programs designated as “limited access.”**

If the proposed prerequisites are not listed in the Manual, provide a rationale for a request for exception to the policy of common prerequisites. NOTE: Typically, all lower-division courses required for admission into the major will be considered prerequisites. The curriculum can require lower-division courses that are not prerequisites for admission into the major, as long as those courses are built into the curriculum for the upper-level 60 credit hours. If there are already common prerequisites for other degree programs with the same proposed CIP, every effort must be made to utilize the previously approved prerequisites instead of recommending an additional “track” of prerequisites for that CIP. Additional tracks may not be approved by the ACC, thereby holding up the full approval of the degree program. Programs will not be entered into the State University System Inventory until any exceptions to the approved common prerequisites are approved by the ACC.

This is in process.

LOWER LEVEL COURSES

	Cr. Hrs.	
PSYX012	3	Intro to Psychology
&ECOX013	3	Macroeconomics
<p>&Take one of the two below:</p>		
-or-STAX023	3	Introductory Statistics I
-or-STAX122	3	
<p>&Select one of the following two options:</p>		
-or-MACX281	3	
<p>-or-Take both courses</p>		
&MACX140	3	
&MACX114	3	
&PHYXXXX (1)	3	Any Physics Course
&MADX104	3	Discrete Math
<p>&Select from the following introductory courses for databases for information technology:</p>		
-or-CGSX540	3	
-or-CGSX540C	4	
-or-CGSX545	3	
-or-COPX710	3	
<p>&Select from the following courses of programming fundamentals for information technology:</p>		
-or-COPX512	3	
-or- COPX210	3	
-or- COPX270	3	
-or- COPX006	3	
-or-COPX272C	4	
-or- COPX500	3	
-or- COPX220	3	
-or- COPX360	3	
-or- COPX800	3	
<p>&Select from the following Object-Oriented Programming courses for Information Technology</p>		
-or- COPX513	3	
-or- COPX551C	4	
-or- COPX000	3	
-or- COPX224	3	
-or- COPX250	3	

(1) PHYX1000 - PHYX2999

- C. If the university intends to seek formal Limited Access status for the proposed program, provide a rationale that includes an analysis of diversity issues with respect to such a designation. Explain how the university will ensure that Florida College System transfer students are not disadvantaged by the Limited Access status. NOTE: The policy and criteria for Limited Access are identified in Board of Governors Regulation 6C-8.013. Submit the Limited Access Program Request form along with this document.

Not applicable.

- D. If the proposed program is an AS-to-BS capstone, ensure that it adheres to the guidelines

approved by the Articulation Coordinating Committee for such programs, as set forth in Rule 6A-10.024 (see link to the Statewide Articulation Manual on [the resource page for new program proposal](#)). List the prerequisites, if any, including the specific AS degrees which may transfer into the program.

Not applicable.

INSTITUTIONAL READINESS

VI. Related Institutional Mission and Strength

- A. Describe how the goals of the proposed program relate to the institutional mission statement as contained in the SUS Strategic Plan and the University Strategic Plan (see link to the SUS Strategic Plan on [the resource page for new program proposal](#)).**

The Program's Educational Objectives (PEOs) at this initial phase are as follows:

- Graduates demonstrate growth in professional development through graduate study or professional training.
- Graduates demonstrate effective team work as members and leaders in professional environments.
- Graduates demonstrate employability in industry, government, and entrepreneurial endeavors.

Florida Polytechnic University's mission is to "serve students and industry through excellence in education, discovery, and application of engineering and applied sciences." The B.S. in Cybersecurity Engineering directly supports these goals through program content in engineering designed to educate students to be successful professionals that serve a range of public, private, and government industries and enhance the research reputation and economy of the state of Florida in keeping with the University System's strategic plan.

- B. Describe how the proposed program specifically relates to existing institutional strengths, such as programs of emphasis, other academic programs, and/or institutes and centers.**

The B.S. in Cybersecurity Engineering program follows our rationale for institutional program growth by drawing on existing faculty expertise and curricular constructs already in place. Thus, with relatively minimal investment and effort, we can launch a new degree program that expands our portfolio in a cutting-edge and innovative way, that has strong promise for both career and academic discipline longevity as well as meets immediate and fast-growing local, state, and national (as well as national security) demand.

The program further draws on our existing research base through the Advanced Mobility Institute (AMI) and our partnership with FDOT Suntrax along with potential partnership with the Florida Industrial Phosphate Research Institute (FIPRI) as well as with other institutions in the state that has established cybersecurity programs.

The program also adds a stronger dimension to our programs and ultimately to our senior capstone experience, which is a year-long, industry-sponsored interdisciplinary project that students collaborate on to demonstrate the full breadth of their content and professional knowledge and skills. As cybersecurity engineering is a comprehensive view of the entire system rather than just a component, including this perspective into capstone design project teams provides us with a new selling point to industry and conversely a new opportunity for industry to test out unique projects with our student body. The program's fit into portfolio of offerings strengthens and Florida Poly's total program mix and positions us in yet another way to grow our student body and reputation.

- C. Provide a narrative of the planning process leading up to submission of this proposal.**

Include a chronology in table format of the activities, listing both university personnel directly involved and external individuals who participated in planning. Provide a timetable of events necessary for the implementation of the proposed program.

The program has undergone an extensive departmental and institutional review process in its development.

Date	Participants	Planning Activity
11/28/2018	Dr. Youssif Al-Nashif, Dr. Muhammad Rashid, Dr. Tom Dvorske	Exploring the steps involved initiating a new program
3/12/2019	Dr. Youssif Al-Nashif, Dr. Muhammad Rashid, Dr. Tom Dvorske	Identifying program limitations and university-wide requirements. Prepare draft of New Academic Degree Program Authorization Pre-Proposal Form
4/24/2019	Dr. Tom Dvorske	Council of Academic Vice Presidents' Academic Coordinating Group
8/12/2019	Board of Trustees	Preliminary program approval - inclusion in Accountability plan approval in 8/12/2019 re-submission to BOG.
8/19/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Ashiq Sakib, Dr. Mohammad Reza Khalghani, Dr. Navid Khoshavi Najafabadi and Dr. Tom Dvorske	Identify the steps and timeline to complete the program curriculum
9/5/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Harish Chintakunta, Dr. Onur Toker, Dr. Rawa Adla, Dr. Mohammad Reza Khalghani, and Dr. Navid Khoshavi Najafabadi. Dr. Ashiq Sakib.	Identify the structure and curricular courses of the program, concentration areas and specialized courses
10/8/2019	ECE faculty meeting to all ECE (13) members	Presented to ECE faculty members for their comments and input
10/14/2019	Departmental Curriculum Committee Dr. Onur Toker, Dr. Ashiq Saqib, Dr. Suleiman Alsweiss, Dr. Muhammad Rashid	Committee Approval to forward to the University Curriculum Committee (UCC)
11/21/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Onur Toker, Dr. Rawa Adla, Dr. Mohammad Reza Khalghani, Dr. Navid Khoshavi Najafabadi and Mahmoud Saleh, Dr. Ashiq Sakib, Dr. Hisham Mahmoud	Assigning tasks and responsibilities to prepare equipment list
11/26/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Onur Toker, Dr. Rawa Adla, Dr. Mohammad Reza Khalghani, Dr. Navid Khoshavi Najafabadi and Mahmoud Saleh, Dr. Ashiq Sakib, Dr. Hisham Mahmoud	Review of the draft of equipment list
12/3/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Onur Toker, Dr. Rawa Adla, Dr. Mohammad Reza Khalghani, Dr. Navid Khoshavi Najafabadi and Mahmoud Saleh	Final list of the equipment list
12/5/2019	Dr. Arman Sargolzaei, Dr. Muhammad Rashid, Dr. Onur Toker, Dr. Rawa Adla, Dr. Mohammad Reza Khalghani, Dr. Navid Khoshavi Najafabadi and Mahmoud Saleh, Dr. Hisham Mahmoud, Dr. Ashiq Sakib.	Review the BOG proposal form
4/29/2020	Dr. Muhammad Rashid	Final Course and Program Approval Recommendation and Concentrations to University Curriculum Committee
5/11/2020	Dr. Terry Parker	Provost Approval of Program
5/20/2020	Florida Polytechnic University Board of Trustees	Approval

Events Leading to Implementation

Date	Implementation Activity
5/21/2020	Submit all forms to Board of Governors Staff
Summer 2020	Begin planning integrated course offerings, multi-year schedule in ECE department; validate staffing and enrollment projections.
Upon BOG inclusion in Inventory	Begin recruiting for program and working with State College partners to add to articulation agreements.

VII. Program Quality Indicators - Reviews and Accreditation

Identify program reviews, accreditation visits, or internal reviews for any university degree programs related to the proposed program, especially any within the same academic unit. List all recommendations and summarize the institution's progress in implementing the recommendations.

Both programs in the Department of Electrical and Computer Engineering (electrical engineering and computer engineering) were accredited by ABET-EAC in August 2019, back-dated to October 2017, for a period of 6-years. These programs are the “sister-programs” for Cybersecurity Engineering and from the same accrediting agency and commission with the same program learning outcomes. The programs received full-accreditation with no recommendations for the full 6-year period available. This was their first attempt at accreditation by ABET and a strong endorsement of the quality and integrity of the programs and the strong effort put forth by the faculty and the quality processes they have established and continue to nurture and develop.

VIII. Curriculum

A. Describe the specific expected student learning outcomes associated with the proposed program. If a bachelor’s degree program, include a web link to the Academic Learning Compact or include the document itself as an appendix.

The Program Learning Outcomes for the B.S. in Cybersecurity Engineering conform to the expectation for learning outcomes for ABET-EAC and are easily aligned to the broad skill areas required for the academic learning compact. In the following table, the learning outcomes are defined in the left column, while their alignment with the ALC skills are noted on the right.

Program (Student) Learning Outcomes	The Outcomes Involve These Skills:		
	Content	Critical Thinking	Communication
Upon Completion of the Cybersecurity Engineering Degree, students will possess:			
1. an ability to identify, formulate, and solve complex engineering problems by applying principles of engineering, science, and mathematics	X		
2. an ability to apply engineering design to produce solutions that meet specified needs with consideration of public health, safety, and welfare, as well as global, cultural, social, environmental, and economic factors		X	
3. an ability to communicate effectively with a range of audiences			X
4. an ability to recognize ethical and professional responsibilities in engineering situations and make informed judgments, which must consider the impact of engineering solutions in global, economic, environmental, and societal contexts		X	
5. an ability to function effectively on a team whose members together provide leadership, create a			X

	collaborative and inclusive environment, establish goals, plan tasks, and meet objectives			
6.	an ability to develop and conduct appropriate experimentation, analyze and interpret data, and use engineering judgment to draw conclusion	X		
7.	an ability to acquire and apply new knowledge as needed, using appropriate learning strategies.		X	

B. Describe the admission standards and graduation requirements for the program.

Admissions standards and graduation requirements for the program are the same as for all undergraduate programs at Florida Poly. Details for admissions to Florida Poly may be found at <https://floridapoly.edu/admissions/>.

Requirements for graduation are found in the [University's Academic Catalog](#) and in Academic Policy [FPU-5.0094AP Baccalaureate Degree Graduation Requirements](#).

C. Describe the curricular framework for the proposed program, including number of credit hours and composition of required core courses, restricted electives, unrestricted electives, thesis requirements, and dissertation requirements. Identify the total numbers of semester credit hours for the degree.

<h2>B.S. Cybersecurity Engineering</h2>				
05.20.2020				
The following program curriculum template was approved by the UCC and the Provost in spring 2017. This template exists to ensure a certain level of consistency across new and existing programs in terms of general education, foundations, program core, and capstone requirements.				
Category	Section	Course	Credits	Notes
I. Professional Foundations Core			<u>8</u>	<u>8</u>
		SLS 1106 - Academic & Professional Skills	<u>1</u>	<u>1</u>
		IDS 4941 - Professional Experience Internship	<u>0</u>	<u>0</u>
		IDS 1380 - Introduction to STEM	<u>3</u>	<u>3</u>
		EGN 1007C - Concepts and Methods for Engineering and Computer Science (req of Engineering and CS programs only).	<u>1</u>	<u>1</u>
		COP 2271C - Introduction to Computation and Programming (required for all programs)	<u>3</u>	<u>3</u>
		<i>All but Professional Foundations may be distributed in categories below to allow for appropriate credit hour allocations.</i>		
II. General Education			<u>36</u>	<u>36</u>
	Rules	1. Students must complete at least one ♦ course in each category to satisfy state of Florida regulation. 2. Students must take 9 hours of Humanities and Social Sciences, to be divided 6/3 between the areas. 3. Courses not taught by Florida Poly but listed in the State of Florida "common core" menu of courses can be accepted as transfer credit. 4. Transfer students who have fulfilled the general education requirements at another institution are understood to have fulfilled the requirements at Florida Poly.		
	Section A	Communication	<u>6</u>	<u>6</u>

		ENC 1101 - English Composition 1: Exp and Arg Writing (W) ♦	3	3
		ENC 2210 - Technical Writing (W)	3	3
	Section B	Humanities	<u>3 to 6</u>	<u>6</u>
		ARH 2000 - Art Appreciation ♦	3	
		PHI 2010 - Introduction to Philosophy ♦	3	
		HUM 2022 Explorations in the Humanities (Special Topics)	3	
		IDS 2144 Legal, Ethical, and Management Issues in Technology	3	3R
	Section C	Social Science	<u>3 to 6</u>	<u>6</u>
		AMH 2010 - American History to 1877	3	
		AMH 2020 - American History Since 1877 (W) ♦ Satisfies Florida State Civics Requirement	3	
		AMH 2930 - History: Special Topics	3	
		ECO 2013 - Principles of Macroeconomics (W) ♦	3	3R
		ECO 2023 - Principles of Microeconomics (W)	3	
		PSY 2012 - General Psychology (W) ♦	3	3R
	Section D	Mathematics	<u>7</u>	<u>7</u>
		MAC 2311 - Analytic Geometry and Calculus 1 ♦	4	4
		MAC 2312 - Analytic Geometry and Calculus 2	4	
		MAC 2313 - Analytic Geometry and Calculus 3	4	
		STA 2023 - Statistics 1 ♦	3	
		MAD 2104 - Discrete Mathematics	3	3
		MAP 2302 - Differential Equations	3	
		MAC 1147 - Pre-calculus Algebra and Trigonometry	4	
	Section E	Natural Sciences	<u>8</u>	<u>8</u>
		BSC 1010 - Biology 1 ♦	3	
		BSC 1010L - Biology 1 Laboratory	1	
		CHM 2045 - Chemistry 1 ♦	3	3
		CHM 2045L - Chemistry 1 Laboratory	1	1
		PHY 2048 - Physics 1 ♦	3	3
		PHY 2048L - Physics 1 Laboratory	1	1
		PHY 2049 - Physics 2	3	
		PHY 2049L - Physics 2 Laboratory	1	
	Section F	Open Inquiry: 3 Additional GE credits taken here	<u>3</u>	<u>3</u>
		MAP 2302 - Differential Equations	3	3
II. Program Foundations / Advanced Math & Science			12	<u>15</u>
		1. This area may consist of additional general education courses or other foundational courses in a related field.		
		2. General education courses must be used first to fulfill General Education requirements before being applied here.		
		3. 15 credits here, plus 15 in Sections D and E (above) meet the 30 hour Basic Math/Science requirement for ABET.		
		4. Should count the following in this category: COP 2271C - Introduction to Computation and Programming (required for all		

		programs) Credits: 3. Doing so ensures the 30 hour ABET requirement for "Basic Math/Science."		
		PHY 2049 - Physics 2		3
		PHY 2049L - Physics 2 Laboratory		1
		MAC 2312 - Analytic Geometry and Calculus 2		4
		MAC 2313 - Analytic Geometry and Calculus 3		4
		STA 3032 Probability and Statistics		3
III. Program Core			40	
		40 credits represents a minimum, depending on how many credits are included in Category II, above.		
		Pre-Capstone design sequences should be included in this category-- may be listed as a subset in catalog to stand out.		
Add Rows as needed	<i>The following may be counted in this category instead:</i>			<u>7</u>
		<i>* IDS 1380 - Introduction to STEM: Credits: 3</i>	Counted above	3
		<i>* EGN 1007C - Concepts and Methods for Engineering and Computer Science: Credits: 3 (req of Engineering and CS programs only).</i>		1
		<i>* COP 2271C Introduction to Computation and Programming</i>		3
				43
		COP 3337C Object Oriented Programming		3
		EEL 3311C Circuits 1		4
		EEL 3702C Digital Logic Design		3
		EEL 3135 Systems and Signals		3
		EEL 3312C Circuits 2		3
		EEL 4746C Microcomputers		3
		EEL 4768C Computer Architecture and Organization		3
		CNT 3004C Introduction to Computer Networks		3
		COP 3530 Data Structures & Algorithms		3
		COP 4600 Operating Systems Concepts		3
		MAS 3105 Linear Algebra		3
		CAP 4612 Machine Learning		3
		EEL 4523 Information Theory and Cryptography		3
		EEL 4721 Protective Technologies and Forensic Technologies for Cyber Security		3
IV. Concentration			12	
		Concentrations should consist of no more than 12 credits. If other than "Advanced Topics," up to six credits may come from electives or courses in other concentrations.		
	Conc 1	Industrial Control Systems Security	12	<u>12</u>
		EEE 4531 Techniques for High Fidelity Acquisition		3
		EEL 4652 Control Theory		3
		EEL 4743 Cyber Physical Security of Industrial Control Systems		3
		Cybersecurity Engineering Concentration or Program Elective		3
	Conc 2	Smart-Grid Security	12	<u>12</u>
		EEL 4345 Renewable Energy Systems and Power Electronics		3
		EEL 4251 Power System Analysis		3
		EEL 4543 Smart-Grid and Cyber Physical Security		3
		Cybersecurity Engineering Concentration or Program Elective		3

	Conc 3	Hardware Security	12	<u>12</u>
		EEE 3310 Digital Electronics		3
		EEL 4724 Hardware Design with FPGAs and Reconfigurable Computing		3
		EEL 4772 Hardware Security		3
		Cybersecurity Engineering Concentration or Program Elective		3
V. Electives			6	--
		The number of electives may be reduced to fill out the program core or meet institutional or state required general education requirements.		
Add Rows as needed		CDA 3631C Embedded Operating Systems		3
		CIS 4367 Computer Security		3
		EEL 4242 Power Electronics Circuits		3
		EEL 4515 Digital Communication Systems		3
		EEL 4664C Kinematics and Control of Robotic System		3
VI. Capstone			6	<u>6</u>
		All programs are required to have a 6 credit senior capstone sequence.		
		EEL 4914C Senior Design 1	3	3
		EEL 4915C Senior Design 2	3	3
TOTAL HOURS			120	<u>120</u>

D. Provide a sequenced course of study for all majors, concentrations, or areas of emphasis within the proposed program.

B.S. Cybersecurity Engineering Plan of Study	
<u>Freshman Year</u>	
Semester 1	
SLS 1106 Academic & Professional Skills	Credits: 1
BSC 1010 Biology 1	Credits: 3
or CHM 2045 - Chemistry 1	Credits: 3
BSC 1010L Biology 1 Laboratory	Credits: 1
or CHM 2045L - Chemistry 1 Laboratory	Credits: 1
ENC 1101 English Composition 1	Credits: 3
IDS 1380 Introduction to STEM	Credits: 3
MAC 2311 Analytic Geometry and Calculus 1	Credits: 4
Total Semester Credit Hours: 15	
Semester 2	
COP 2271C Introduction to Computation and Programming	Credits: 3
EGN 1007C Concepts & Methods	Credits: 1
ENC 2210 Technical Writing	Credits: 3
MAC 2312 Analytic Geometry and Calculus 2	Credits: 4
PHY 2048 Physics 1	Credits: 3
PHY 2048L Physics 1 Laboratory	Credits: 1

Total Semester Credit Hours: 15	
<u>Sophomore Year</u>	
Semester 1	
COP 3337C Object Oriented Programming	Credits: 3
MAC 2313 Analytic Geometry and Calculus 3	Credits: 4
PHY 2049 Physics 2	Credits: 3
PHY 2049L Physics 2 Laboratory	Credits: 1
Social Science General Education: History	Credits: 3
Total Semester Credit Hours: 14	
Semester 2	
EEL 3311C Circuits 1	Credits: 4
EEL 3702C Digital Logic Design	Credits: 3
MAD 2104 Discrete Mathematics	Credits: 3
MAP 2302 Differential Equations	Credits: 3
Arts and Humanities General Education	Credits: 3
Total Semester Credit Hours: 16	
<u>Junior Year</u>	
Semester 1	
EEL 3135 Systems and Signals	Credits: 3
EEL 3312C Circuits 2	Credits: 3
EEL 4746C Microcomputers	Credits: 3
EEL 4768C Computer Architecture and Organization	Credits: 3
STA 3032 Probability and Statistics	Credits: 3
Total Semester Credit Hours: 15	
Semester 2	
CNT 3004C Introduction to Computer Networks	Credits: 3
COP 3530 Data Structures & Algorithms	Credits: 3
COP 4600 Operating Systems Concepts	Credits: 3
IDS 4941 Professional Experience Internship	Credits: 0
MAS 3105 Linear Algebra	Credits: 3
Arts, Humanities, or Social Science General Education	Credits: 3
Total Semester Credit Hours: 15	
<u>Senior Year</u>	
Semester 1	
Cybersecurity Engineering Concentration Course	Credits: 3
Cybersecurity Engineering Concentration Course	Credits: 3
CAP 4612 Machine Learning	Credits: 3
EEL 4914C Senior Design 1	Credits: 3
EEL 4523 Information Theory and Cryptography	Credits: 3
Total Semester Credit Hours: 15	
Semester 2	

Cybersecurity Engineering Concentration Course	Credits: 3
Cybersecurity Engineering Concentration Course	Credits: 3
EEL 4915C Senior Design 2	Credits: 3
EEL 4721 Protective Technologies and Forensic Technologies for Cyber Security	Credits: 3
IDS 2144 Legal, Ethical, and Management Issues in Technology	Credits: 3
Total Semester Credit Hours: 15	
<u>Concentrations</u>	
Industrial Control Systems Security	Credits: 3
EEE 4531 Techniques for High Fidelity Acquisition	Credits: 3
EEL 4652 Control Theory	Credits: 3
EEL 4743 Cyber Physical Security of Industrial Control Systems	Credits: 3
Cybersecurity Engineering Concentration or Program Elective	Credits: 3
Smart-Grid Security	
EEL 4345 Renewable Energy Systems and Power Electronics	Credits: 3
EEL 4251 Power System Analysis	Credits: 3
EEL 4543 Smart-Grid and Cyber Physical Security	Credits: 3
Cybersecurity Engineering Concentration or Program Elective	Credits: 3
Hardware Security	
EEE 3310 Digital Electronics	Credits: 3
EEL 4724 Hardware Design with FPGAs and Reconfigurable Computing	Credits: 3
EEL 4772 Hardware Security	Credits: 3
Cybersecurity Engineering Concentration or Program Elective	Credits: 3
Advanced Topics	
Choose 12 credits from this list of courses	
EEL 4652 Control Theory	Credits: 3
EEL 4251 Power System Analysis	Credits: 3
EEE 3310 Digital Electronics	Credits: 3
EEL 4543 Smart-Grid and Cyber Physical Security	Credits: 3
EEL 4743 Cyber Physical Security of Industrial Control Systems	Credits: 3
EEL 4772 Hardware Security	Credits: 3
<u>Cybersecurity Engineering Electives</u>	
CDA 3631C Embedded Operating Systems	Credits: 3
CIS 4367 Computer Security	Credits: 3
EEL 4242 Power Electronics Circuits	Credits: 3
EEL 4515 Digital Communication Systems	Credits: 3
EEL 4664C Kinematics and Control of Robotic System	Credits: 3

E. Provide a one- or two-sentence description of each required or elective course.

The descriptions below include core, elective, and concentration courses for the program.

COP 3337C - Object Oriented Programming

This is an intermediate programming course designed for students with prior programming experience. This course focuses on object-oriented programming concepts and techniques using C++. The covered

topics will include: streams, classes, recursion, template classes, file handling, and exception handling.

EEL 3111C - Circuits 1

This lecture-lab combined course covers the basic analysis of linear circuits. Topics include electrical quantities, network laws and theorems, steady state and transient analysis for circuits. Computer-aided analysis is also covered.

EEL 3702C - Digital Logic Design

The analysis and design of sequential logic circuits, combinational logic circuits, and feedback circuits are covered in this course. Additional topics include Boolean algebra, Boolean functions, number systems, minimizations, binary arithmetic, k-maps, combinational circuit synthesis, combinational medium scale integrated (MSI) logic circuits, sequential logic, sequential MSI logic circuits and synchronous state machine design.

COP 3530 - Data Structures & Algorithms

The course introduces program run-time analysis and algorithm design and analysis. Topics include: data abstraction principals, serial and parallel data structures, linked lists, graphs, trees, divide and conquer algorithms, greedy algorithms, and linear programming.

EEL 3112C - Circuits 2

This lecture-lab combined course introduces the fundamentals of transient state analysis; linear circuit analysis in frequency domain, sinusoidal steady-state analysis and power calculations, Laplace transform techniques, frequency response analysis, balanced three-phase circuits and two-port circuit analysis.

EEL 3135 - Systems and Signals

Continuous-time and discrete-time systems analysis, focusing on linear time-invariant (LTI) systems and the classification of these systems is presented in this course. Convolution and its application to LTI systems, the Laplace, Fourier, and z transforms, the Fourier series and their application to the analysis of LTI systems will also be presented. Industry applications will be a specific focus.

CNT 3004C - Introduction to Computer Networks

This course provides an introduction to fundamental concepts in computer networks, including their design and implementation. Topics covered include all seven layers of OSI Reference Model, network protocols (providing reliability and congestion control), routing, and link access. Special attention is also paid to wireless networks and security.

EEL 4768C - Computer Architecture and Organization

This course covers a top-down approach to computer design. Topics include Computer architecture, introduction to assembly language programming and machine language set design. Computer organization, logical modules, CPU, memory and I/O units, instruction cycles, the data path and control unit, hardwiring and microprogramming are also covered.

EEL 4746C - Microcomputers

The course will discuss microcomputers and microcontrollers and explore the subjects of memory addressing modes, instruction sets, central processing units / microprocessors, C and assembly language programming in the context of the course, debugging software and hardware, computer buses, interrupts, real-time events, memory, I/O, counters, timers and interfacing techniques.

COP 4610 - Operating Systems Concepts

This course covers the concepts of the design and implementation of operating systems. Topics included: memory and storage management, virtual memory, processes/threads, system calls, interfaces, I/O, file system, and introduction to virtualization.

EEL4523 - Information Theory and Cryptography

This course covers introduction to information theory, fundamentals of error control coding, error

detection and applications; information Theoretic Metrics; basic cryptography and security.

CAP 4612 - Machine Learning

An overview of machine learning algorithms and their applications. Topics covered include: supervised and unsupervised learning, clustering and classification, linear and logistic regression, dimensionality reduction, support vector machines, anomaly detection.

EEL 4721 - Protective Technologies and Forensic Techniques for Cyber Security

This course is an introductory course on the selection and design of attack prevention techniques and countermeasures. In addition, it introduces the students to the concepts of digital forensics science and the techniques of preparing the high-tech investigation reports.

Industrial Control Systems Security

EEL 4652 - Control Theory

The analysis of feedback control systems in both continuous- & discrete time domains, methods for improving system response for transient and steady state behavior, system stability concept, methods for examining system stability in both time & frequency domains and determining the system stability margins are discussed.

EEL 4743 - Cyber Physical Security of Industrial Control Systems

This course is an introduction to the security of industrial control systems and networked control systems. It covers communication protocols and network security issues related to industrial control systems. The stability of networked control systems will be investigated to examine the robustness of the control systems. It also covers simple model-based detection and compensation techniques for designing secure control system based on linear control theory.

EEE 4531 - Techniques for High Fidelity Acquisition

The course covers the concepts, planning, design, tools, and skills related to acquiring high quality signals. Methods include extracting signals from noise, designing measurement systems to minimize noise and disturbance effects, and identifying and ameliorating sources of noise. The course also investigates measurement error using statistical analysis and sensors dynamic models.

Smartgrid Security

EEL 4251 - Power System Analysis

Development of models for power system components: power transformers, transmission lines, transmission lines steady state operation, power flows, symmetrical components, and fault analyses.

EEL 4543 - Smart-Grid and Cyber Physical Security

This course covers an overview of smart grid infrastructure, and management policy, including the integration of renewable resources, electricity market, and demand-side management, etc. The smart grid challenges and requirements will be extensively discussed, especially privacy, and cybersecurity. Digital communications, communication standards and Internet-of-Things in smart grids will be presented. Smart grid operation and management will be analyzed and demonstrated by simulation software, e.g. MATLAB-SIMULINK.

EEL 4345 - Renewable Energy Systems and Power Electronics

This course covers an overview of renewable energy systems with emphasis of the applications in photovoltaic sources and wind power. Also includes the design considerations of power electronics and control for grid-connected systems. The use of Mathlab-Simulink software tool for evaluating renewable energy and power electronics converters for grid-connected systems.

Hardware Security

EEE 3310 - Digital Electronics

This course focuses on the implementation of logic devices, MOSFET's, and BJT's. Students will analyze logic families including NMOS, CMOS, and TTL. The fundamentals of digital memory circuits are also covered.

EEL 4772 - Hardware Security

This course covers the basic algebra of finite fields, the mathematical theory of selective cryptographic primitives, the different security threats across both circuit and microarchitecture levels in the modern electronic hardware designs, the test and verification of cryptographic hardware, and hardware Trojans. Students will gain in-depth knowledge by applying the theoretical concepts on the practical case studies through completing multiple projects.

EEL 4724-Hardware Design with FPGAs and Reconfigurable Computing

Introduction to rapid hardware prototyping and reconfigurable computation. Fundamentals of RTL design, FSM and FSMD based designs, and System on Chip based approaches. Design constraints, timing closure, and power analysis. Realization of various hardware systems on an actual FPGA board.

Cybersecurity Engineering Electives

CIS 4367 - Computer Security

This course covers security issues in different aspect of computing. Topics covered are: access control mechanisms, authentication models, and vulnerability detection. Attacks and mitigation methods at the OS level. Database and operating system security issues, mobile code, security kernels. Malicious code, Trojan horses and computer viruses. Security policy formation and enforcement.

CDA 3631C - Embedded Operating Systems

Embedded Operating Systems or Real time operating systems are operating systems are designed to be compact, efficient, and reliable. Topics discussed include embedded architectures, interaction with devices, concurrency, real-time principles, implementation trade-offs, profiling and code optimization, and embedded software.

EEL 4664C-Kinematics and Control of Robotic Systems

This course provides a general introduction to spatial descriptions and transformations. The fundamental concepts and methods to analyze, model and control robotic mechanisms will be covered. Main topics include the fundamentals of kinematics, dynamics and control of robotic systems. Additional topics include state estimation and dynamic parameter identification. Also, the course covers the design and implementation of a motion trajectory planning algorithm.

EEL 4242 - Power Electronics Circuits

Circuit topologies, analysis, design and simulation of power electronic circuits such as power supplies and motor drives.

EEL 4515 - Digital Communication Systems

This course covers various aspects of the physical layer of the communication system. These aspects include information theory (source coding, channel coding, and channel capacity), channel models, and modulation techniques.

- F. For degree programs in the science and technology disciplines, discuss how industry-driven competencies were identified and incorporated into the curriculum and indicate whether any industry advisory council exists to provide input for curriculum development and student assessment.**

The genesis of this degree program idea came from interaction with the Program Area Chair for the ABET-EAC committee that reviewed our programs in Electrical, Computer, and Mechanical Engineering

in October 2018. The program further received input from the curriculum advisory board for the ECE Department at its 2019 meeting in May. This advisory Board provides regular input on the programs as part of the Department's active monitoring of its ABET compliance processes and Cybersecurity Engineering would fall under this umbrella. The specific program objectives at this stage are the same as those reviewed and supported by the industry/curriculum advisory board for electrical and computer engineering and the program's learning outcomes are consistent with outcomes for ABET-EAC accredited programs.

- G. For all programs, list the specialized accreditation agencies and learned societies that would be concerned with the proposed program. Will the university seek accreditation for the program if it is available? If not, why? Provide a brief timeline for seeking accreditation, if appropriate.**

The program will seek ABET-EAC accreditation upon completion of its first graduate. This should coincide with the reapproval period of its programs in electrical and computer engineering in 2023, so the final decision would likely come in August of 2024, and would be accredited back to the graduation of that first student. The program would also consider certification approvals by NSA and other agencies as appropriate.

- H. For doctoral programs, list the accreditation agencies and learned societies that would be concerned with corresponding bachelor's or master's programs associated with the proposed program. Are the programs accredited? If not, why?**

Not Applicable.

- I. Briefly describe the anticipated delivery system for the proposed program (e.g., traditional delivery on main campus; traditional delivery at branch campuses or centers; or nontraditional delivery such as distance or distributed learning, self-paced instruction, or external degree programs). If the proposed delivery system will require specialized services or greater than normal financial support, include projected costs in Table 2 in Appendix A. Provide a narrative describing the feasibility of delivering the proposed program through collaboration with other universities, both public and private. Cite specific queries made of other institutions with respect to shared courses, distance/distributed learning technologies, and joint-use facilities for research or internships.**

The program is intended to be delivered on-site, face-to-face. As the University continues to grow and especially in response to the Covid-19 pandemic, it has increasingly grown in its ability to deliver courses in distance and hybrid delivery methods. We will continue to explore the most effective learning environments and methodologies for our students to be successful professionals in the area of cybersecurity engineering.

IX. Faculty Participation

- A. Use Table 4 in Appendix A to identify existing and anticipated full-time (not visiting or adjunct) faculty who will participate in the proposed program through Year 5. Include (a) faculty code associated with the source of funding for the position; (b) name; (c) highest degree held; (d) academic discipline or specialization; (e) contract status (tenure, tenure-earning, or multi-year annual [MYA]); (f) contract length in months; and (g) percent of annual effort that will be directed toward the proposed program (instruction, advising, supervising internships and practica, and supervising thesis or dissertation hours).**

Existing faculty in the Department of Electrical and Computer Engineering and faculty in the Department of Computer Science collaborated on the development of the program and will continue to collaborate on the delivery of the degree. This is reflected in Appendix A.

- B. Use Table 2 in Appendix A to display the costs and associated funding resources for existing and anticipated full-time faculty (as identified in Table 4 in Appendix A). Costs for visiting and adjunct faculty should be included in the category of Other Personnel Services (OPS). Provide a narrative summarizing projected costs and funding sources.**

Current faculty positions, as Appendix A, Table 4 shows, are sufficient to deliver the program and maintain delivery in existing programs as well. Funds will come from unallocated E&G provisioned by the legislature in 2018 to support faculty hiring to offset any reallocation of time that may be incurred by increased enrollment and section growth due to student demand.

- C. Provide in the appendices the abbreviated curriculum vitae (CV) for each existing faculty member (do not include information for visiting or adjunct faculty).**

Curriculum Vitae for faculty are located in Appendix C of this document.

- D. Provide evidence that the academic unit(s) associated with this new degree have been productive in teaching, research, and service. Such evidence may include trends over time for average course load, FTE productivity, student HC in major or service courses, degrees granted, external funding attracted, as well as qualitative indicators of excellence.**

See Appendix D., Faculty Workload Summary, of this document.

X. Non-Faculty Resources

- A. Describe library resources currently available to implement and/or sustain the proposed program through Year 5. Provide the total number of volumes and serials available in this discipline and related fields. List major journals that are available to the university's students. Include a signed statement from the Library Director that this subsection and subsection B have been reviewed and approved.**

The Florida Polytechnic University Library is comprised of two distinct collections: the main library collection is a digital library, and the Florida Industrial Phosphate Research (FIPR) Institute collection is primarily a print comprehensive collection of phosphate-related resources and archival materials. There was a conscious effort at the inception of the institution to establish the main library as a virtual library. The Florida Polytechnic University Library provides specialized, STEM-focused resources and learning opportunities for students, faculty, and staff to work successfully with, interpret, and utilize information. Students at Florida Polytechnic University have 24/7/365 access to library resources via the internet.

The Florida Polytechnic University's main library is located on the second floor of the University's Innovation, Science and Technology Building, in an open-space area called the Commons. The main, digital collection contains over 150,000 full text ebook volumes that are a mixture of owned and licensed materials. There is no physical stack area.

The University Library provides support for all the degrees offered at the institution, and currently supports master's and bachelor's programs in Computer, Electrical and Mechanical Engineering. Resources that directly support Florida Poly's current engineering programs will also directly support the proposed Cybersecurity Engineering program. Current library resources include Elsevier's Science Direct, IEEE Electronic Library, and ProQuest's SciTech Premium Collection and ProQuest Ebook Central.

Major journals currently available through the Florida Poly Library that will directly support Cybersecurity Engineering include:

IEEE Security and Privacy (2003-present)

IEEE Transactions on Information Forensics and Security (2006-present)

IEEE Transactions on Signal and Information Processing Over Networks (2015-present)
Elsevier Computers & Security (2012-present)
International Journal of Information Security Science (2012-present)

B. Describe additional library resources that are needed to implement and/or sustain the program through Year 5. Include projected costs of additional library resources in Table 2 in Appendix A. Please include the signature of the Library Director in Appendix B.

To further support the Cybersecurity Engineering program, the Library will seek to acquire access to IOS Press journals that focus on information, intelligence and computer security, specifically: Integrated Computer-Aided Engineering, International Journal of Knowledge-Based Intelligent Engineering Systems and Journal of Computer Security. Approximate cost of IOS Press journal access is \$6,000.00. Also, additional cybersecurity engineering books will need to be identified and added to the Florida Poly collection, with an approximate initial cost of \$5,000.00.

C. Describe classroom, teaching laboratory, research laboratory, office, and other types of space that are necessary and currently available to implement the proposed program through Year 5.

The following faculties are currently available for electrical and computer engineering programs.

C.1. Offices, Classrooms and Laboratories

As a new institution, Florida Polytechnic University currently has one building primarily used for academic and academic support programs. The building is commonly known as the IST, which stands for Innovation, Science, and Technology.

The IST was completed in June 2014 and has an estimated gross square feet of 186,736. It is considered the main building on the main campus, located at the north end. It houses all academic departments and programs. Currently all instruction and research activities conducted by faculty and staff take place at this building. Square footage is separated between classrooms, research labs, teaching labs, library, office space for faculty and staff, study areas, and terrace space.

The second floor, center of the IST houses the University's fully online Library, areas for students to study known as collaboration rooms, and the commons. This space has a total of 22,172 net assignable square footage. Collaborations rooms are used by students, faculty and staff. These sit a maximum of five people, and are equipped with television monitors where personal laptops can be projected.

C.2 Offices

All faculty offices are located on the second floor of the campus' main educational building, the IST (Innovation, Science, and Technology). The IST's second floor is divided into four quadrants. The Electrical and Computer Engineering Department shares a quadrant with the Mechanical Engineering Department, and both are adjacent to the Department of Computer Science.

Administrative and faculty offices include a total net assignable space of 10,545. An office has an average of 68 square feet, glass-board, desk and auxiliary table, built-in space for storage and small lock-in key storage cabinet. Each office seats one person.

Across the hall from the ECE faculty offices sits an administrative assistant dedicated to the department and a workroom, complete with copier (scanner, fax, etc.), refrigerator, and other essential office equipment. Each quadrant has a collaboration room for departmental meetings, committee work, student collaborations, and student-faculty conferences.

C.3 Classrooms and Associated Equipment

Classrooms and associated equipment that are typically available where the program courses are taught.

Classrooms and teaching labs are primarily located on the 1st floor of the IST building. A typical classroom or teaching lab contains a desk with a computer for the instructor to access teaching materials and seats from 20 to 46 students.

All classrooms have a projector, Claris-boards, and sound-technology so classes can be recorded by instructors. These educational spaces contain different seating options for the comfort of the students and can be easily rearranged depending on the instructional needs. There is 29,620 net assignable square footage in the IST building considered as educational space.

Additionally, there are 16,697 net assignable square footage allocated for research activities conducted by faculty and students. Research labs are located on the 1st floor of the building and depending on the type of research conducted in the lab, they contain specialized equipment, computers, projectors, appropriate safety equipment and security.

C.4 ECE Laboratories

Laboratory facilities including those containing computers (describe available hardware and software) and the associated tools and equipment that support instruction. Include those facilities used by students in the program even if they are not dedicated to the program and state the times they are available to students. Complete Appendix C containing a listing of the major pieces of equipment used by the program in support of instruction.

IST, Room 1013 Research Laboratory: This is an approximately 1747 sq. ft. lab that is used as a research project lab for graduate programs and graduate students. This lab has 10 benches with 20 stations. Each station is equipped with 20 Tektronix MD031004-type oscilloscopes, 20 Tektronix AFG 3052C-type Function Generators, 20 Keithley 22300G-3-1-type DC supplies, 20 Keithley 2110-type multimeters and 20 Lenovo computers with access to all of the university software tools. There are additional 4 benches with computers for control system lab and other course based-projects.

The lab also contains bins of resistors, capacitors, parts bins, lab kits, and analog ICs used for the laboratory courses held in the room. Students enrolled in a course utilizing this lab can request access to the lab for hours that the lab is not used. The lab is managed by a lab technician who is available all the time during the lab sessions. There are about 20 labs scheduled in this room during a week. This typically amounts to approximately 60 hours between Monday and Friday.

Available ECE Software Tools:

- MARSMIP simulation
- VHDL/Verilog – Model Sim
- Multisim 14.0 circuit simulator
- Python Language
- Mathlab 2016
- Quarc –software
- Rockwell PLC studio 5000
- Labview
- Cadence 22nm technology
- NeMOS5 Device simulators

IST, Room 1056 Circuits Laboratory: This is an approximately 927 sq. ft. lab that is utilized by both electrical and computer engineering students enrolled in circuits, electronics, digital logic and control systems laboratory courses (EEL 3111C, EEL 3112C, EEL 3702C, EEL 3304C, EEL 4351C and 4321C). Each student works individually in each lab station in all labs. It is furnished to accommodate 24 stations for 24 students.

IST, Room 1058 Digital and Cyber Physical Lab: This is an approximately 930 sq. ft. lab is completely equipped and finished appropriately to accommodate 24 stations for 24 students. It is used for labs in

computer architecture and organization, microcomputer, cybersecurity, embedded control, and embedded operating systems, and computer science courses. The program has all the equipment, currently in storage, until facilities finalizes furniture delivery and arrangement.

IST, Room 1025 Robotics Lab: This is an approximately 772 sq. ft. lab that is utilized by both electrical and computer engineering and computer science students for graduate and undergraduate labs and projects.

- D. Describe additional classroom, teaching laboratory, research laboratory, office, and other space needed to implement and/or maintain the proposed program through Year 5. Include any projected Instruction and Research (I&R) costs of additional space in Table 2 in Appendix A. Do not include costs for new construction because that information should be provided in response to X (E) below.**

The department of electrical and computer engineering plans for implementation of the proposed Cybersecurity Engineering program in collaboration with the department of computer science. The existing faculties will be utilized for most of the courses, except specialized concentration areas. Florida Polytechnic University plans to move to a new building Applied Research Center (ARC) of 95,000 sq. ft in fall 2021, and that facility would provide additional classrooms, laboratories, and two dedicated cyber security labs to be shared with computer science department.

- E. If a new capital expenditure for instructional or research space is required, indicate where this item appears on the university's fixed capital outlay priority list. Table 2 in Appendix A includes only Instruction and Research (I&R) costs. If non-I&R costs, such as indirect costs affecting libraries and student services, are expected to increase as a result of the program, describe and estimate those expenses in narrative form below. It is expected that high enrollment programs in particular would necessitate increased costs in non-I&R activities.**

Not Applicable

- F. Describe specialized equipment that is currently available to implement the proposed program through Year 5. Focus primarily on instructional and research requirements.**

With carefully class schedules, the existing labs IST, Room 1056 Circuits Laboratory, IST, Room 1058 Digital and Cyber Physical Lab, Computer labs and computing facilities should be able to accommodate up to three (3) lab sections of 24 students in each section, totaling $3 \times 24 = 72$ students per semester. There would be need to project-based lab facility and dedicated equipment for Industrial Control Systems Security, Smart-grid Security, and Hardware Security.

- G. Describe additional specialized equipment that will be needed to implement and/or sustain the proposed program through Year 5. Include projected costs of additional equipment in Table 2 in Appendix A.**

1 st year: No need for equipment	2021-2022	0
2 nd year: software needed \$45k	2022-2023	\$45,000
3 rd year: all equipment: \$ 375k	2023-2024	\$375,000
4 th year: all equipment: \$200k	2024-2025	\$200,000

- H. Describe any additional special categories of resources needed to implement the program through Year 5 (access to proprietary research facilities, specialized services, extended travel, etc.). Include projected costs of special resources in Table 2 in Appendix A.**

	Lab Equipment	Specialized Equipment
RTDS: \$150K	0	150000

Opal RT (Real time HIL): \$130k	0	130000
DSPACE: \$25K	0	25000
5 PC: \$15K	15000	0
Power supply: \$10K	10000	0
Hi-Fi Probs: \$10K	10000	0
Hardware security:	0	0
12 PCs: \$25K	25000	0
PLC: \$40K	0	40000
Smart meters: \$30K	30000	0
Server: \$30K	0	30000
Routers: \$10K	0	10000
Software: \$40K	0	40000
Firewalls: \$15K	0	15000
FPGA: \$30K	0	30000
Microcontrollers: \$5K	0	5000
Oscilloscope: \$20K	20000	0
Chip whisperer: \$10K	0	10000
PSSE license: \$5K	0	5000
Hi Com PCs: \$20k	20000	0
	130000	490000
Total: \$620K		

I. Describe fellowships, scholarships, and graduate assistantships to be allocated to the proposed program through Year 5. Include the projected costs in Table 2 in Appendix A.

Undergraduate students are provided scholarships based on their merit and not by program. As such, there are no specific funds in the form of fellowships, assistantships, or scholarships provided to any program. Graduate assistantships are awarded to students on a competitive basis and some efforts is made by the Graduate Division to apportion these awards based on students' areas of focus within the major. (E.g. M.S. in Engineering of which the Department of ECE supports two specific disciplinary tracks and contributes to one interdisciplinary track.) Faculty with extramural funding also support employment of graduate students.

J. Describe currently available sites for internship and practicum experiences, if appropriate to the program. Describe plans to seek additional sites in Years 1 through 5.

All Florida Poly degrees require students to take an internship as part of their graduation requirement. The emphasis is on external, professional internships, but may also include internal, research-based internships where students work on funded projects with a faculty member or with a team of collaborators on a faculty-driven or industry-sponsored project.

Florida Poly holds both an annual internship fair and an annual career fair and currently sends interns to over 200 companies in throughout Florida and beyond. Some nearby companies include Accusoft, Publix Supermarkets, the Florida Department of Transportation, and Motorola Solutions. Our Director of Industry Engagement and our Office of Career Services continue to reach out and grow relationships with Florida companies to create pathways for interns, careers, sponsored projects, and a range of other opportunities of mutual benefit.

Appendix A.

APPENDIX A

**TABLE 1-A
PROJECTED HEADCOUNT FROM POTENTIAL SOURCES
(Baccalaureate Degree - Cyber Security Program)**

Source of Students (Non-duplicated headcount in any given year)*	Year 1		Year 2		Year 3		Year 4		Year 5	
	HC	FTE	HC	FTE	HC	FTE	HC	FTE	HC	FTE
Upper-level students who are transferring from other majors within the university**	7	7	5	5	3	3	2	2	1	1
Students who initially entered the university as FTIC students and who are progressing from the lower to the upper level***	11	10	34	32	60	57	85	80	90	87
Florida College System transfers to the upper level***	2	2	4	4	6	5	6	5	12	10
Transfers to the upper level from other Florida colleges and universities***	0	0	2	2	6	4	6	4	9	7
Transfers from out of state colleges and universities***	0	0	0	0	8	7	8	7	8	6
Other (Explain)***	0	0	0	0	0	0	0	0	0	0
Totals	20	19	45	43	83	76	107	98	120	111

* List projected annual headcount of students enrolled in the degree program. List projected yearly cumulative ENROLLMENTS instead of admissions.

** If numbers appear in this category, they should go DOWN in later years.

*** Do not include individuals counted in any PRIOR CATEGORY in a given COLUMN.

APPENDIX A

**TABLE 2
PROJECTED COSTS AND FUNDING SOURCES**

Instruction & Research Costs (non-cumulative)	Year 1								Year 5						
	Funding Source							Subtotal columns 1+...+7	Funding Source						Subtotal columns 9+...+14
	Reallocated Base* (E&G)	Enrollment Growth (E&G)	New Recurring (E&G)	New Non-Recurring (E&G)	Contracts & Grants (C&G)	Philanthropy/Endowments	Enterprise Auxiliary Funds		Continuing Base** (E&G)	New Enrollment Growth (E&G)	Other*** (E&G)	Contracts & Grants (C&G)	Philanthropy/Endowments	Enterprise Auxiliary Funds	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
Faculty Salaries and Benefits	0	0	0	350,970	0	0	0	\$350,970	609,670	0	0	0	0	0	\$609,670
A & P Salaries and Benefits	0	0	0	114,096	0	0	0	\$114,096	120,942	0	0	0	0	0	\$120,942
USPS Salaries and Benefits	0	0	0	0	0	0	0	\$0	0	0	0	0	0	0	\$0
Other Personal Services	0	0	0	10,200	0	0	0	\$10,200	13,600	0	0	0	0	0	\$13,600
Assistantships & Fellowships	0	0	0	0	0	0	0	\$0	0	0	0	0	0	0	\$0
Library	0	0	0	46,787	0	0	0	\$46,787	49,594	0	0	0	0	0	\$49,594
Expenses	0	0	0	38,984	0	0	0	\$38,984	43,369	0	0	0	0	0	\$43,369
Operating Capital Outlay	0	0	0	168,750	0	0	0	\$168,750	451,250	0	0	0	0	0	\$451,250
Special Categories	0	0	0	0	0	0	0	\$0	0	0	0	0	0	0	\$0
Total Costs	\$0	\$0	\$0	\$729,787	\$0	\$0	\$0	\$729,787	\$1,288,425	\$0	\$0	\$0	\$0	\$0	\$1,288,425

*Identify reallocation sources in Table 3.

**Includes recurring E&G funded costs ("reallocated base," "enrollment growth," and "new recurring") from Years 1-4 that continue into Year 5.

***Identify if non-recurring.

Faculty and Staff Summary

Total Positions	Year 1	Year 5
Faculty (person-years)	3.08	5.41
A & P (FTE)	2.25	2.25
USPS (FTE)	4.25	4.5

Calculated Cost per Student FTE

	Year 1	Year 5
Total E&G Funding	\$729,787	\$1,288,425
Annual Student FTE	19	111
E&G Cost per FTE	\$38,410	\$11,607

Table 2 Column Explanations		
Reallocated Base* (E&G)	1	E&G funds that are already available in the university's budget and will be reallocated to support the new program. Please include these funds in the Table 3 – Anticipated reallocation of E&G funds and indicate their source.
Enrollment Growth (E&G)	2	Additional E&G funds allocated from the tuition and fees trust fund contingent on enrollment increases.
New Recurring (E&G)	3	Recurring funds appropriated by the Legislature to support implementation of the program.
New Non-Recurring (E&G)	4	Non-recurring funds appropriated by the Legislature to support implementation of the program. Please provide an explanation of the source of these funds in the budget section (section III. A.) of the proposal. These funds can include initial investments, such as infrastructure.
Contracts & Grants (C&G)	5	Contracts and grants funding available for the program.
Philanthropy Endowments	6	Funds provided through the foundation or other Direct Support Organizations (DSO) to support of the program.
Enterprise Auxiliary Funds	7	Use this column for continuing education or market rate programs and provide a rationale in section III.B. in support of the selected tuition model.
Subtotal columns 1+...+7	8	Subtotal of values included in columns 1 through 7.
Continuing Base** (E&G)	9	Includes the sum of columns 1, 2, and 3 over time.
New Enrollment Growth (E&G)	10	See explanation provided for column 2.
Other*** (E&G)	11	These are specific funds provided by the Legislature to support implementation of the program.
Contracts & Grants (C&G)	12	See explanation provided for column 5.
Philanthropy Endowments	13	See explanation provided for column 6.
Enterprise Auxiliary Funds	14	Use this column for continuing education or market rate programs and provide a rationale in section III.B. in support of the selected tuition model.
Subtotal columns 9+...+14	15	Subtotal of values included in columns 9 through 14.

APPENDIX A

**TABLE 3
ANTICIPATED REALLOCATION OF EDUCATION & GENERAL FUNDS***

Program and/or E&G account from which current funds will be reallocated during Year 1	Base before reallocation	Amount to be reallocated	Base after reallocation
Academic Affairs - Faculty Lines	0	0	\$0
	0	0	
	0	0	
	0	0	
	0	0	
	0	0	
Totals	\$0	\$0	\$0

* If not reallocating funds, please submit a zeroed Table 3

**TABLE 4
ANTICIPATED FACULTY PARTICIPATION**

Faculty Code	Faculty Name or "New Hire" Highest Degree Held Academic Discipline or Specialty	Rank	Contract Status	Initial Date for Participation in Program	Mos. Contract Year 1	FTE Year 1	% Effort for Prg. Year 1	PY Year 1	Mos. Contract Year 5	FTE Year 5	% Effort for Prg. Year 5	PY Year 5
A	Navid Khoshavi Najafabadi Computer Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.15	0.11	9	0.75	0.30	0.23
A	Ashiq Sakib Computer Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.33	0.25
A	Onur Toker Electrical Engineering	Assoc. Prof	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.30	0.23
A	Muhammad Ullah Elec.& Computer Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.15	0.11	9	0.75	0.33	0.25
A	Bala Chandrasekaran Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.25	0.19
A	Rawa Adla Elec.& Computer Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.40	0.30
A	Youssif Al-Nashif Elec.& Computer Engineering	Assoc. Prof	MYA	Fall 2021	9	0.75	0.30	0.23	9	0.75	0.40	0.30
A	Jorge Vargas Electrical Engineering	Assoc. Prof	MYA	Fall 2021	9	0.75	0.15	0.11	9	0.75	0.25	0.19
A	Harish Chintakunta Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.33	0.25
A	Suleiman Alswaiss Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.33	0.25
A	Arman Sargolzaei Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.30	0.23
A	Muhammad Rashid Elec. & Electronic Engineering	Professor	MYA	Fall 2021	9	0.75	0.30	0.23	9	0.75	0.50	0.38
A	Hisham Mahmood	Asst. Prof.	MYA	Fall 2021	9	0.75	0.15	0.11	9	0.75	0.25	0.19

Faculty Code	Faculty Name or "New Hire" Highest Degree Held Academic Discipline or Specialty	Rank	Contract Status	Initial Date for Participation in Program	Mos. Contract Year 1	FTE Year 1	% Effort for Prg. Year 1	PY Year 1	Mos. Contract Year 5	FTE Year 5	% Effort for Prg. Year 5	PY Year 5
	Electrical Engineering											
A	Mahmoud Saleh Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.25	0.19
A	Mohammad Reza Khalghani Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.25	0.19
A	Md Selim Habib Photonics Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.10	0.08	9	0.75	0.33	0.25
A	Luis Jaimes Electrical Engineering	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.30	0.23
A	Kanwalinderjit Gagneja Computer Science	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.30	0.23
A	Ashok Patel Computer Science	Asst. Prof.	MYA	Fall 2021	9	0.75	0.20	0.15	9	0.75	0.30	0.23
A	Wei Ding Computer Science	Assoc. Prof	MYA	Fall 2021	9	0.75	0.10	0.08	9	0.75	0.30	0.23
A	Bayazit Karaman Computer Science	Asst. Prof.	MYA	Fall 2021	9	0.75	0.10	0.08	9	0.75	0.30	0.23
Total Person-Years (PY)								3.08			5.40	

Faculty Code	Source of Funding	PY Workload by Budget Classification					
		Year 1				Year 5	
A	Existing faculty on a regular line	Current Education & General Revenue		3.08		5.40	
B	New faculty to be hired on a vacant line	Current Education & General Revenue		0.00		0.00	
C	New faculty to be hired on a new line	New Education & General Revenue		0.00		0.00	
D	Existing faculty hired on contracts/grants	Contracts/Grants		0.00		0.00	
E	New faculty to be hired on contracts/grants	Contracts/Grants		0.00		0.00	
Overall Totals for				Year 1	3.08	Year 5	5.40

APPENDIX B.

Please include the signature of the Equal Opportunity Officer and the Library Director.

Signature of Equal Opportunity Officer

Date

Signature of Library Director

Date

This appendix was created to facilitate the collection of signatures in support of the proposal. Signatures in this section illustrate that the Equal Opportunity Officer has reviewed section II.E of the proposal and the Library Director has reviewed sections X.A and X.B.

Appendix C. Curriculum Vitae

1. **Name:** Rawa Adla

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical and Computer Engineering	University of Aleppo, Syria	1999
Diploma	Computer Science	University of Aleppo, Syria	2001
M.Sc.	Computer Science	University of Michigan, MI	2008
Ph.D.	Electronic and Electrical Engineering	University of Detroit Mercy, MI	2015

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor	Sep, 2019-	FT
University of Arizona	Assistant Professor of Electrical and Computer Engineering	2018 - 2019	FT
University of Detroit Mercy	Visiting Assistant Professor	2015 – 2016	FT
St. Clair County College	Adjunct Professor	2013-2015	PT
University of Detroit Mercy	Teaching Assistant	2010-2014	PT
University of Michigan	Teaching Assistant	2008-2009	PT
University of Aleppo	Instructor	2000-2005	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
Ford Motor Company, Crash Avoidance Metrics Partnership (CAMP), Farmington Hills, MI	Senior Research Engineer and Consultant	2016-2018	FT
University of Detroit Mercy	Graduate Research Assistant	2012-2015	PT

5. **Certifications or Professional Registrations**

6. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (New York)
- Eta Kapa Nu (HKN) - Electrical Engineering Honor Society
- ACM - Association for Computing Machinery

7. **Honors and Awards**

- Best Poster Session Winner Award and to the Success of The IEEE Southeastern Michigan Section Activities, IEEE/SEM Winter 2016 meeting, April 19, 2016.
- Best Poster Presentation Award: "Collision Avoidance Systems in Autonomous Driving," IEEE/SEM
- Fall 2014 meeting, Best Poster Award, November 2014.
- Research Quality Second Place Award: "Bayesian Network Based Vehicle Collision Avoidance System," University of Detroit Mercy, UDM E&S Annual Research Symposium, October 2014.
- Best Poster Presentation Award: "Advanced Sensor Fusion Algorithm for Vehicle Safety System" IEEE/SEM Fall 2013 meeting, Best Poster Award, November 2013.
- Silver Paper Award: "Vehicle Collision Avoidance System Using Multi-Sensor Data Fusion with Dependency Information," The Silver Paper Award, Intelligent Transportation Society-Michigan (ITS-MI) Annual Meeting, 2012.

8. **Service Activities** (within and outside of the institution)

- Reviewers for many conferences papers and journals such as IEEE, IASTED, and IJCITE

- Member of the Steering/Advisory Committees for EMERGING series. ISSN: 2326-9383, ISBN: 978-1-61208-602-6
- Editorial board member of the International Journal of Computer Science and information technology for education IJCSITE
- Committee member, The 6th international conference on model drive engineering software development (Modelsward 2018), January 22 -24, 2018 – Funchal, Madeira, Portugal
- Technical Program Committee member, The 9th IEEE International Conference on Computer Science & Information Technology CSIT 2018, Amman – Jordan, 11-12 July
- Technical Program Committee member, The Ninth International Conference on Emerging Networks and Systems Intelligence (EMERGING 2017), November 12 - 16, 2017 - Barcelona, Spain
- Technical Program Committee member, The 8th IEEE International Conference on Computer Science & Information Technology CSIT 2017, Amman – Jordan, 12-13 July
- Technical Program Committee member, The Eighth International Conference on Emerging Networks and Systems Intelligence (EMERGING 2016), October 9 - 13, 2016 - Venice, Italy
- Technical Program Committee (TPC) member in the 7th IEEE International Conference on Computer Science and Information Technology CSIT 2016
- Member of the College of Engineering and Science’s Computer and Technology Committee, University of Detroit Mercy, 2016
- Member of the Department of Mathematics, Computer Science and Software Engineering’s Curriculum Committee, University of Detroit Mercy, 2016

9. List the Most Important Publications and Presentations from the Past Five (5) years

- Mikael Paulik, Sam Youness, Nizar Al-Holou, Syed Misbahuddin, Rawa Adla, “Internet of Things based Undergraduate Curriculum,” 5th Annual Conf. on Computational Science & Computational Intelligence (CSCI'18) | Dec 13-15, 2018 | Las Vegas, Nevada, USA
- Meier, J.-N., Kailas, A., Adla., Rawa, et. Al, “On Augmenting Adaptive Cruise Control Systems with Vehicular Communication for Smoother Automated Following,” Proc. TRB Annual Meeting, Washington DC, Jan. 2018.
- HRUŠECKÁ, Denisa, Rawa ADLA, Said KRAYEM a Michal PIVNIČKA, “Event-B model for increasing the efficiency of warehouse management,” Polish Journal of Management Studies [online]. 2018, vol. 17, iss. 2, s. 63-74. [cit. 2018-08-18]. ISSN 2081-7452.
- Meier, J.-N., Kailas, A., Adla., Rawa, et. Al, “On Augmenting Adaptive Cruise Control Systems with Vehicular Communication for Smoother Automated Following,” Journal of the Transportation Research Board, 2018
- Parikh. J, Kailas. A, Rawa Adla, et. Al, “Development of Wireless Message for Vehicle-to-Infrastructure Safety Applications,” SAE World Congress, 2018.
- Parikh. J, Kailas. A, Rawa Adla, et. Al, “Validating Prototype Connected Vehicle-to-Infrastructure Safety Application in Real-World Settings,” SAE World Congress, 2018.
- Jan-Niklas Meier, Aravind Kailas, Rawa Adla, et. Al, “Implementation and Evaluation of Cooperative Adaptive Cruise Control Functionalities”, 25th ITS World Congress, Copenhagen, Denmark, 17-21 September 2018
- Meier, J.-N., Abuchaar, O., Adla, Rawa., et. Al, “Cooperative Adaptive Cruise Control Small-Scale Test- Phase 1,” submitted to the United States Department of Transportation, FHWA-JPO, 2017
- Parikh, J., Abubakr, M., Adla, Rawa., et. Al, “Vehicle-to-Infrastructure Program Safety Application Project,” submitted to the United States Department of Transportation, FHWA-JPO, June, 30, 2017
- Stowe, L., Abubakr, M., Adla, Rawa., et. Al, “Advanced Messaging Concept Development (AMCD) Project Vehicle-to-Infrastructure Program,” submitted to the United States Department of Transportation, FHWA-JPO, 2017

- Rawa Adla; Youssef Bazzi; Nizar Al-Holou, "Bayesian network based collision avoidance system," IEEE/ Electro-Information Technology Conference on , pp.605,610, 19-21 May. 2015
- Rawa Adla, Nizar Al-Holou, Youssef Bazzi, "Kalman Filter Based Safety Application," CSC'14, The 2014 World Congress in Computer Science, Computer Engineering, and Applied Computing, The 2014 World Congress Computer Engineering, and Applied Computing, pp. 67-72; 22-25 July 2014.
- Rawa Adla, Youssef Bazzi, Nizar Al-Holou, "Multi Sensor Data Fusion, Methods and Problems," PDPTA'13, The 2013 International Conference on Parallel and Distributed Processing Techniques and Applications, The 2013 World Congress in Computer Science, Computer Engineering, and Applied Computing, pp.1-6, July 2013, <http://world-comp.org/p2013/PDP.html>
- Adla, Rawa; Al-Holou, Nizar; Murad, Mohannad; Bazzi, Youssef A., "Automotive collision avoidance methodologies Sensor-based and ITS-based," Computer Systems and applications (AICCSA), 2013 ACS International Conference on , vol., no., pp.1,8, 27-30 May 2013, doi: 10.1109/AICCSA.2013.6616458, <http://ieeexplore.ieee.org/stamp/stamp.jsp?tp=&arnumber=6616458&isnumber=6616408>
- Rawa Adla, Youssef Bazzi, Nizar Al-Holou, "Vehicle Collision Avoidance System Using MultiSensor Data Fusion with Dependency Information", ITS Michigan-Annual Meeting, The Silver Award, 2012.

Youssif Al-Nashif

Florida Polytechnic University, 4700 Research Way, Lakeland, FL 33805
yalnashif@floridapoly.edu • +1 (863) 874-8566

Education

The University of Arizona, Tucson, AZ, USA

- Ph.D. in Electrical and Computer Engineering *Jan. 2004 - Dec. 2008*
 - Dissertation: *Design, Analysis, and Automation of a Multi-Level Network Behavior Analysis Defense System*
 - Advisor: *Prof. Salim Hariri*

Jordan University of Science and Technology, Irbid, Jordan

- M.Sc. in Electronic and Communication Engineering *Feb. 1999 - Sep. 2000*
 - Thesis: *Topology Transparent Transmission Method in Multi-Hop Packet Radio Network Using Combinatorial Theory*
 - Supervisor: *Prof. Ibrahim Ghareeb*

Jordan University of Science and Technology, Irbid, Jordan

- B.Sc. in Electrical Engineering, Computer Eng. Major *Sep. 1993 - Feb. 1999*

Academic experience

Florida Polytechnic University, Lakeland, FL

- Department Chair, Dept. of Computer Science *Jan. 2018 - present*
- Associate Professor, Dept. of Computer Science *Aug. 2015 - present*
- Associate Professor, Dept. of Computer Engineering *Aug. 2015 - present*
- Academic Program Coordinator, Dept. of Computer Science *Sep. 2015 - Jan. 2018*

Old Dominion University, Norfolk, VA

- Founding Director for the ODU Center for Cybersecurity Education and Research *Feb. 2015 - Jul. 2015*
- Assistant Professor, Dept. of Electrical and Computer Engineering *Jul. 2014 - Jul. 2015*

The University of Arizona, Tucson, AZ

- Assistant Research Professor, Dept. of Electrical and Computer Engineering *Feb. 2009 - Jun. 2014*
- Project Manager, Dept. of Electrical and Computer Eng. *Apr. 2008 - Feb. 2009*
- Research Assistant, Dept. of Electrical and Computer Eng. *Jan. 2004 - Apr. 2008*
- Teaching Assistant, Dept. of Electrical and Computer Eng. *Jan. 2007 - Jun. 2007*

Jordan University of Science and Technology, Irbid, Jordan

- Lecturer, Dept. of Computer Engineering *Sep. 2000 - Dec. 2003*
- Teaching Assistant, Dept. of Electrical Engineering *Feb. 1999 - Aug. 2000*

Non-academic experience

AVIRTEK Inc., Tucson, AZ

- Part-time, Computer Research Scientist *Oct. 2009 - Jun. 2014*

Computer World Establishment, Irbid, Jordan

- Part-time, Computer hardware/software troubleshooter and maintenance man *Sep. 1994 - Sep. 1999*

Current membership in professional organizations

- ACM Professional Member
- A member of the IEEE Society
- A member of the Engineering Society in Amman/Jordan

Honors & awards

- The best poster award from The International Conference on Cloud and Autonomic Computing (CAC 2014), September, 2014
- The solo designer and implementer of Avirteks Inc. Security Solutions. Based on those solutions, Avirtek was chosen with 19 other companies to present Innovative Security Solutions in Washington, D.C. at SINET Showcase 2010. The solutions were labeled as the most innovative Cybersecurity solutions 2010 (<http://www.security-innovation.org/showcase2010.htm>).

Service Activities

Internal

- Academic Program Coordinator for the Department of Computer Science and Information Technology. (Sept. 2015 - present)
- Faculty co-advisor for ACM Florida Polytechnic University ACM Student Chapter. (2017)
- Faculty mentor and judge for Biology Expo 2016.
- Faculty judge for History Expo 2016.
- Search committee chair (Summer 2016).
- Computer Engineering Search Committee member (2017).
- CSIT program review (2016).
- CSIT department representative in the SACS-COC candidacy visit (2017).
- Member in FIPoly Website Steering Committee. (2017).
- Member of Faculty Assembly Constitution Review Committee. (2016).

External

- Associate Editor, Cluster Computing: The Journal of Networks, Software Tools and Applications.
- IEEE Cloud and Autonomic Computing Conf. (ICCAC) 2017, Publication Chair
- IEEE Cloud and Autonomic Computing Conf. (ICCAC) 2017, Web Chair
- IEEE AICCSA 2017, Publication Chair
- IEEE Cloud and Autonomic Computing Conf. (ICCAC) 2016, Publicity Chair
- IEEE AICCSA 2016, Publication Chair
- ICICS 2016, Track Co-Chair for Security and Privacy track.
- ANT-2016 (The 7th International Conference on Ambient Systems, Networks and Technologies), Program Committee member
- IEEE Cloud and Autonomic Computing Conf. (ICCAC) 2015, Publicity Chair
- IEEE AICCSA 2015, Program Chair
- The 24th International Conf. on Computer Communication and Networks (ICCCN 2015), Program Committee member
- ICICS 2014, Program Committee member
- ICCS 2014 (14th International Conference on Computational Science), Program
- ICICS 2013, Program Committee member
- PC member (Autonomic Cybersecurity), ACM Cloud and Autonomic Computing Conference, CAC2013
- PC member (Autonomic Cloud Computing), ACM Cloud and Autonomic Computing Conference, CAC2013
- AICCSA 2013, Publication Chair
- Judge for the 2016 Congressional App Challenge

Sample of Recent Publications

- C. Tunc, F. Fargo, **Y. B. Al-Nashif**, S. Hariri, “Autonomic Cross-Layer Management of Cloud Systems”, In Foundations and Applications of Self* Systems (FAS* W), 2017 IEEE 2nd International Workshops on, pp. 160-165. IEEE, 2017.
- E. Blasch, Y. Badr, S. Hariri, **Y. Al-Nashif**, “Fusion Trust Service Assessment for Crisis Management Environments”, in Fusion Methodologies in Crisis Management - Higher Level Fusion and Decision Making, Galina Rogova and Peter Scott, Eds., pp. 389-420, Springer, 2016.
- B. AlBaalbaki, J. Pacheco, C. Tunc, Salim Hariri, **Y. Al-Nashif**, “Anomaly Behavior Analysis System for ZigBee in Smart Buildings”, in IEEE ACS International Conference on Computer Systems and Applications (AICCSA 2015).
- C. Tunc, S. Hariri, F. D. L. P. Montero, F. Fargo, P. Satam, **Y. Al-Nashif**, “Teaching and Training Cybersecurity as a Cloud Service”, Proceedings of the International Conference on Cloud and Autonomic Computing (ICCAC15), 2015
- P. Satam, H. Alipour, **Y. Al-Nashif**, and S. Hariri, “DNS-IDS: Securing DNS in the Cloud Era”, Proceedings of the International Conference on Cloud and Autonomic Computing (ICCAC15), 2015
- C. Tunc, S. Hariri, **Y. Al-Nashif**, F. De La Pea Monter, F. Fargo, and P. Satam, “CLaaS: Cybersecurity Lab as a Service Design, Analysis, and Evaluation”, Proceedings of the 2nd workshop on Autonomic Cloud Cybersecurity, 2015
- Y. Badr, S. Hariri, **Y. B. Al-Nashif**, E. Blasch, “Resilient and Trustworthy Dynamic Data-driven Application Systems (DDDAS) Services for Crisis Management Environments,” ICCS 2015, pp. 2623-2637
- H. Alipour, **Y. B. Al-Nashif**, P. Satam and S. Hariri, “Wireless Anomaly Detection Based on IEEE 802.11 Behavior Analysis,” in IEEE Transactions on Information Forensics and Security, vol. 10, no. 10, pp. 2158-2170, Oct. 2015.

Samples of Professional Development

- Ongoing research on Trustworthy and Autonomic Computing.
- Ongoing research on Power Management in Cloud Computing.

1. **Name:** Suleiman Alsweiss

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical Engineering	Princess Sumaya University, Jordan	2004
M.Sc.	Electrical Engineering	University of Central Florida, USA	2008
Ph.D.	Electrical Engineering	University of Central Florida, USA	2011

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant professor of Electrical and Computer Engineering	August, 2016-present	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
National Oceanic & Atmospheric Administration (NOAA)	Senior Scientist: Research and Development	November, 2011 – August, 2016	FT

5. **Certifications or Professional Registrations**

- Professional Engineer, Ontario, Canada (from 1977 – 2002)
- Chartered Engineer, United Kingdom (from 1977 – 2005)

6. **Current Membership in Professional Organizations**

- Senior member, The Institute of Electrical and Electronics Engineers (New York)

7. **Honors and Awards**

8. **Service Activities** (within and outside of the institution)

- Editorial board member: The Journal of Atmospheric Science Research
- Reviewer board member: MDPI Remote Sensing
- Reviewer: NASA's MUREP Institutional Research Opportunity
- Reviewer: NASA's Postdoctoral Program (NPP)
- Reviewer: IEEE Transaction on Geosciences and Remote Sensing, IEEE Geosciences and Remote sensing Letters, IEEE Journal of Selected Topics in Applied Earth Observations and Remote Sensing, IEEE access, MDPI Journal of Remote Sensing, MDPI Journal of Marine Science and Engineering, International Journal of Remote Sensing, International Journal of Geo-Information, IEEE South East Conference, Global Space-based Inter-Calibration System (GSICS)
- Participated and chaired sessions in several IEEE conferences
- Participated in NSF grants conference

9. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. S. Alsweiss, R. Hanna, P. Laupattarakasem, W.L. Jones, C.C. Hennon, R. A. Chen, "Non-MLE Approach for Satellite Scatterometer Wind Vector Retrievals in Tropical Cyclones", Remote Sens. Journal, vol. 6, no. 5, pp. 4133-4148, 2014
2. S. Alsweiss, Z. Jelenak, P.S. Chang, J. Park, and P. Meyers, "Inter-calibration Results for the Advanced Microwave Scanning Radiometer-2 over Ocean", IEEE Journal of Selected Topics in Applied Earth Observations and Rem. Sens. (JSTARS), vol. 8, no. 9, pp. 4230-4238, 2015

3. J. Sapp, S. Alswiess, Z. Jelenak, P.S. Chang, S.J. Frasier, J. Carswell, “Airborne Cross-Polarization Observations of the Ocean Surface NRCS at C-band in Moderate Winds”, IEEE Trans. Geosci. Rem. Sens., vol.54, no.10, pp.5975-5992, 2016
4. S. Alswiess, Z. Jelenak, and P.S. Chang, “Remote Sensing of Sea Surface Temperature Using AMSR-2 Measurements”, submitted to the IEEE Journal of Selected Topics in Applied Earth Observations and Rem. Sens. (JSTARS), 2017
5. J. Sapp, S. Alswiess, Z. Jelenak, P. S. Chang and J. Carswell, “Stepped Frequency Microwave Radiometer Wind-Speed Retrieval Improvements”, Remote Sens. 2019, 11(3), 214; doi:10.3390/rs11030214
6. P. S. Chang, Z. Jelenak, S. Alswiess, J. Park, S. Soisuvarn, P. Meyers, and R. Ferraro, “NOAA GCOM-W1/AMSR2 Product Processing, Validation and Utilization”, IEEE IGARSS Conference, Jul. 2014, Canada.
7. P. S. Chang, Z. Jelenak, S. Alswiess, J. Park, S. Soisuvarn, P. Meyers, and R. Ferraro, “An Overview of NOAA's GCOM-W1/AMSR2 Product Processing and Utilization”, IEEE IGARSS Conference, Jul. 2015, Italy.
8. J. Sapp, S. Alswiess, Z. Jelenak, and P. S. Chang, “Stepped Frequency Microwave Radiometer Retrieval Error Characterization”, IGARSS Conference, Jul. 2017, USA.
9. P. S. Chang, Z. Jelenak, S. Alswiess, S. Soisuvarn, P. Meyers, and R. Ferraro, “An Overview of NOAA’s GCOM-W1/AMSR-2 Product Processing and Utilization”, IEEE IGARSS Conference, Jul. 2017, USA.
10. S. Alswiess, J. Sapp, Z. Jelenak, and P. S. Chang, “Validation of AMSR2 Oceanic Environmental Data Records Using Tropical Cyclone Composite Fields”, IEEE IGARSS Conference, Jul. 2018, USA. (<https://ieeexplore.ieee.org/document/8517426>)
11. L. Nichols, Z. Weingarten, C. Didier, J. Prine, M. Cathcart, S. Alswiess, and R. Integlia, “Toward an AR Multi-perspective Active Imaging Environment for Application Development”, SPIE Defense and Security Conference, May 2018, USA (<https://doi.org/10.1117/12.2305105>).
12. M. Jernigan, S. Alswiess, J. Cathcart, and R. Razdan, “Conceptual Sensors Testing Framework for Autonomous Vehicles”, IEEE VNC conference, Nov. 2018, Taiwan.
13. M. Brinkmann, O. Toker, and S. Alswiess, “Design of an FPGA/SoC Hardware Accelerator for MIT Coffee Can Radar Systems”, IEEE South East conference, April. 2019, Alabama, USA.
14. J. Vargas, S. Alswiess, M. Jernigan, A. Amin, M. Brinkmann, and R. Razdan, “Development of Sensors Testbed for Autonomous Vehicles”, IEEE South East conference, April. 2019, Alabama, USA.

10. List the most recent professional development activities

- Consultant to the Ocean Vector Winds Team at NOAA/NESDIS/STAR
- Plan and participate in field experiment campaigns aboard NOAA’s P3 hurricane hunters
- Co-advising graduate students (Msc and PhD) at Florida Polytechnic University and other Universities (e.g. UCF)

1. **Name:** Balasubramaniyan Chandrasekaran

2. **Degrees**

Degree	Discipline	Institution	Year
B.E.	Electronics and Communications Engineering	Visveswaraiah Technological University, India	2007
M.S.	Electrical Engineering	University of North Carolina at Charlotte	2010
Ph.D.	Electrical Engineering	University of North Carolina at Charlotte	2017

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor, Computer Engineering	Aug 2018-	FT
Teaching Fellow	Fellowship	Aug 2016 – Dec 2016	PT
Teaching Assistant	Student Work	Aug 2014 – May 2017	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
Lara Technologies, India	Software Engineer	2010-2014	FT
Tech Mahindra, India	Technical Associate	2007-2008	FT

5. **Current Membership in Professional Organizations**

- Member, Institute of Electrical and Electronics Engineers (IEEE)

6. **Honors and Awards**

- 2016 - Provost's Doctoral Teaching Fellowship

7. **Service Activities** (within and outside of the institution)

- Paper Reviewer: IEEE during 2015 - 2017

8. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. Chandrasekaran, B., & Conrad, J. M. (2017, February). Complete Coverage Planning: Achieving Human Interaction and Maximum Coverage During an Autonomous Robotic Vehicle Navigation of an Unknown Terrain. In Workshops at the Thirty First AAAI Conference on Artificial Intelligence.
2. Chandrasekaran, B., Gangadhar, S., & Conrad, J. M. (2017, April). A Survey of Multisensor Fusion Techniques, Architectures and Methodologies. In SoutheastCon, 2017 (pp. 1-8). IEEE.
3. Chandrasekaran, B., & Conrad, J. M. (2016, March). Sensor fusion using a selective sensor framework to achieve decision and task execution. In SoutheastCon, 2016 (pp. 1-7). IEEE.
4. Chandrasekaran, B., & Conrad, J. M. (2015, April). Human-robot collaboration: A survey. In SoutheastCon 2015 (pp. 1-8). IEEE.

5. **List the most recent professional development activities**

- ABET program evaluation committee member for electrical and computer engineering.
- Faculty Development series organized by Florida Polytechnic University (Fall 2017):
 - Course Assessment
 - Research development/Sponsored Research

Dr. Harish Chintakunta | Curriculum Vitae

Education

- Doctor of Philosophy in Electrical Engineering, North Carolina State University, 2013
- Master of Science in Electrical Engineering, North Carolina State University, 2008
- Bachelor of Technology in Electronics and Communications Engineering, Indian Institute of Technology, 2006

Academic Experience

- Florida Polytechnic University, Assistant Professor of Electrical Engineering, 2016-present, full time
- Coordinated Science Laboratory at University of Illinois, Urbana Champaign, Post-doctoral researcher, 2014-2015, full time.
- Department of Electrical and Computer Engineering at North Carolina State University, Post-doctoral researcher, 2013-2014.

Current membership in professional organizations

- Institute of Electrical and Electronics Engineers (IEEE)

Service activities

- Serving on the board for collaboration between Florida Polytechnic University and Lakeland regional hospital.
- Department representative to the faculty assembly.
- Summer student workshops on networking, data acquisition and programming.
- Served in hiring committees for advanced technology and computer engineering departments.
- Served as a reviewer for several peer reviewed journals.

Research Grants

- Real time monitoring and prediction of reduced visibility events on Florida's highways. Granted by Florida Department of Transportation (FDOT). Grant amount: \$1,500,000.

Selected publications

- Jennifer Gamble, Harish Chintakunta, and Hamid Krim. Node Dominance: Revealing Community and Core-Periphery Structure in Social Networks. IEEE Transactions on Signal and Information Processing over Networks (TSiPN). 2016.
- Hamid Krim, Thanos Gentimis, and Harish Chintakunta. Discovering the Whole by the Coarse: A topological paradigm for data analysis. IEEE Signal Processing Magazine. 2016.
- Harish Chintakunta, and Athanasios Gentimis. Influence of topology in information flow in social networks. Annual Asilomar Conference on Signals, Systems, and Computers (ASILOMAR). 2016.s
- Yang Chen, Harish Chintakunta, Yuliy Baryshnikov and P.R. Kumar. Persistent-Homology-based Detection of Power System Low-frequency Oscillations using PMUs. IEEE Global Conference on Signal and Information Processing (GlobalSIP). 2016.
- Jennifer Gamble, Harish Chintakunta, and Hamid Krim. Coordinate-Free Quantification of Coverage in Dynamic Sensor Networks. Signal Processing. 2015.
- Harish Chintakunta and Hamid Krim. Distributed localization of coverage holes using Topological Persistence. IEEE Transactions on Signal Processing (TSP). 2014.
- Harish Chintakunta, Thanos Gentimis, Rocio Gonzalez Diaz, Dr., Maria-Jose Jimenez, and Hamid Krim. An entropy based persistent barcode. Special issue on Graph based representation (Gbr2013), Pattern Recognition. 2014.

1. **Name:** Md Selim Habib

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical and Electronic Engineering	Rajshahi University of Engineering and Technology, Bangladesh	2008
M.Sc.	Electrical and Electronic Engineering	Rajshahi University of Engineering and Technology, Bangladesh	2012
Ph.D.	Photonics Engineering	Technical University of Denmark, Denmark	2017

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor of Electrical and Computer Engineering	Aug. 12, 2019-	FT
University of Central Florida	Postdoctoral Research Associate	Sep. 2017 – Aug. 2019	FT
Technical University of Denmark	Postdoctoral Researcher	Apr. 2017 – July 2017	FT
Rajshahi University of Engineering and Technology	Assistant Professor of Electrical and Electronic Engineering	2013 – 2014	FT
Rajshahi University of Engineering and Technology	Assistant Professor of Electrical and Electronic Engineering	2010 – 2013	FT

4. **Non-Academic Experience**

5. **Certifications or Professional Registrations**

6. **Current Membership in Professional Organizations**

- Senior Member, The Institute of Electrical and Electronics Engineers (IEEE), USA
- Early Career Professional Member, Optical Society of America (OSA), USA
- Executive officer: Fiber modeling and fabrication group, OSA, USA

7. **Honors and Awards**

- 2016: Otto Mønstedts Fond, Oticon Fond, and IDA Fond for External research stay in USA
- 2014: University Gold Medal, Rajshahi University of Engineering and Technology, Bangladesh
- 2006-2009: EEE Association Award, Rajshahi University of Engineering and Technology, Bangladesh

8. **Service Activities** (within and outside of the institution)

- Review papers: Optics Letters, Optics Express, IEEE PTL, IEEE JLT, IEEE Sensors Letters, IEEE Photonics Journal, IEEE J Select Top in Quantum Electronics, IEEE Access, Applied Optics, Optics Communication, Optical Fiber Technology, Chinese Optics Letters, Sensing and Bio-Sensing Research, J Electromagnetic waves & Applications, Optical and Quantum Electronics, Sensors, Applied Sciences.

9. **List the Most Important Publications and Presentations from the Past Five (5) years**

- [1] **M. Selim Habib**, J. E. A. Lopez, C. Markos, A. Schulzgen, R. Amezcua Correa Single-mode, “Low loss hollow-core anti-resonant fiber designs,” *Optics Express*, vol. 27, pp. 3824-3836, 2019.

- [2] D. Jayasuriya, C. R. Petersen, D. Furniss, C. Markos, Z. Tang, **M. Selim Habib et al.**, “Mid-IR supercontinuum generation in birefringent, low loss, ultra-high numerical aperture Ge-As-Se-Te chalcogenide step-index fiber,” *Optical Materials Express*, vol. 9, pp. 2617-2629, 2019.
- [3] Abubakar I. Adamu, **M. Selim Habib et al.**, “Deep-UV to Mid-IR Supercontinuum Generation driven by Mid-IR Ultrashort Pulses in a Gas-filled Hollow-core Fiber,” *Nature Scientific Reports*, vol. 9, pp. 4446, 2019.
- [4] **M. Selim Habib**, C. Markos, J. E. A. Lopez, R. Amezcua Correa, “Multi-octave supercontinuum from visible to midIR and Bend Effects on Ultrafast Nonlinear Dynamics in Gas-filled Hollow-core Fiber,” *Applied Optics* vol. 58, pp. D7-D11, 2019 [**Editor’s peak**].
- [5] X. Ding, **M. Selim Habib**, R. Amezcua Correa, J. Moses, “Near-octave intense mid-infrared by adiabatic down-conversion in hollow anti-resonant hollow fiber,” *Optics Letters*, vol. 44, pp. 1084-1087, 2019.
- [6] M. Saiful Islam, J. Sultana, R. A. Aoni, **M. Selim Habib**, A. Dinovitser, B. W. H. Ng, D. Abbott, “Localized Surface Plasmon Resonance Biosensor: An Improved Technique for SERS Response Intensification,” *Optics Letters*, vol. 44, pp. 1134-1137, 2019.
- [7] **M. Selim Habib**, C. Markos, J. E. A. Lopez, R. Amezcua Correa, “Extreme UV Light Generation Through Dispersive Wave Trapping in a Tapered Gas-Filled Hollow Fiber,” *IEEE Photonics Technology Letters*, vol. 31, pp. 795-798, 2019.
- [8] M. Bache, **M. Selim Habib**, C. Markos, J Lægsgaard, “Poor-man’s model of hollow-core anti-resonant fibers,” *JOSA B*, vol. 36, pp. 69-80, 2019.
- [9] **M. Selim Habib**, C. Markos, J.E. Antonio-Lopez, R. Amezcua Correa, O. Bang, M. Bache, “Multi-stage generation of extreme ultraviolet dispersive waves by tapering gas-filled hollow-core anti-resonant fibers,” *Optics Express*, vol. 26, pp. 24357-24371, 2018.
- [10] **M. Selim Habib**, O. Bang, M. Bache, “Low-loss single-mode hollow-core fiber with anisotropic anti-resonant elements,” *Optics Express*, vol. 24, pp. 8429-8436, 2016.
- [11] **M. Selim Habib**, O. Bang, M. Bache, “Low-loss hollow-core anti-resonant fibers with semi-circular nested tubes,” *IEEE J Selected Top in Quantum Electronics*, vol. 22, pp. 4402106, 2016.
- [12] **M. Selim Habib**, O. Bang, M. Bache, “Low-loss hollow-core silica fibers with adjacent nested anti-resonant tubes,” *Optics Express*, vol. 23, pp. 17394-17406, 2015.
- [13] G. K. M. Hasanuzzaman, **M. Selim Habib**, S. M. Abdur Razzak, M. Anwar Hossain, Y. Namihira, “Low loss single mode porous-core kagome photonic crystal fiber for THz wave guidance,” *IEEE Journal of Lightwave Technology*, vol. 33, pp. 4027-4031, 2015.
- [14] Abubakar I. Adamu, **M. Selim Habib et al.**, “Multioctave supercontinuum generation from deep-UV to mid-IR in a noble gas-filled fibers,” SPIE Photonics West, 2-5 February, 2019, San Francisco, USA [**Invited talk**].
- [15] Abubakar I. Adamu, **M. Selim Habib et al.**, “Deep-UV dispersive wave generation in a gas-filled fiber pumped with mid-IR pulses,” SPIE Photonics West, 2-5 February, 2019, San Francisco, USA.
- [16] Abubakar I. Adamu, **M. Selim Habib et al.**, “Supercontinuum generation from deep-UV to mid-IR in a noble gas-filled fiber pumped with ultrashort mid IR pulses,” Advances in Photonics Congress, 2-5 July, 2018, Zurich, Switzerland [**Post-deadline paper**].
- [17] **M. Selim Habib**, O. Bang, M. Bache, “Anisotropic Anti-resonant Elements gives Broadband Single-mode Low-loss Hollow-core Fibers,” CLEO/USA Conference, 05-10 June, 2016, San Jose, USA.

10. List the most recent professional development activities

- Associate Editor: *IEEE Access*
- Feature Editor: *Applied Optics*
- Topic Editor: *Fibers*

1. **Name:** Mohammad Reza Khalghani

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical Engineering	Sadjad University of Technology, Iran	2010
M.Sc.	Information and Systems Engineering	University of Birjand, Iran	2012
Ph.D.	Electronic and Electrical Engineering	West Virginia University, US	2019

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor	August 2019- now	FT
West Virginia University	Research Assistant	2016 - 2019	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
Khorasan Regional Electric Company, Iran Ministry of Energy	Research Officer: Research and Development	2013-2014	FT

5. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (IEEE), USA
- Member, IEEE- Power & Energy Society (IEEE-PES), USA

6. **Honors and Awards**

- 2019 – IEEE PES General Meeting Conference: Best Paper Award
- 2012, National Elite Foundation, Iran, (Highest Institute for Elite People).

7. **Service Activities** (within and outside of the institution)

- Technical Program Assistant in North American Power Symposium (NAPS) 2017.
- Technical Reviewer: IEEE Transaction on Vehicular Technology.
- Technical Reviewer: Energies.
- Technical Reviewer: Journal of Applied Energy.
- Technical Reviewer: Journal of Neural Computing and Applications (NCAA).
- Technical Reviewer: Journal Sustainable Cities and Society.
- Technical Reviewer: PES General Meeting Conference 2019.
- Technical Reviewer: Optimal Control, Applications and Methods.
- Technical Reviewer: International Journal of Hydrogen Energy.
- Technical Reviewer: International Journal of Power and Energy Systems.
- Technical Reviewer: Turkish Journal of Electrical Engineering & Computer Sciences.
- Technical Reviewer: Journal of Nonlinear Dynamics, Springer Ltd.
- Technical Reviewer: Journal of Electrical Engineering & Technology.
- Technical Reviewer: IEEE Symposium on Computers & Informatics Conference.
- Technical Reviewer: IEEE International Conference on Computer Applications and Industrial Electronics (ICCAIE).

8. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. **M. R. Khalghani**, M. H. Khooban, E. Mahboubi-Moghaddam, N. Vafamand and M. Goodarzi, "A self-tuning load frequency control strategy for microgrids: Human brain emotional learning," *International Journal of Power and Energy Systems*, Vol. 75, pp. 311–319, February 2016.
2. **M. R. Khalghani**, M. Ramezani, and M. Rajabi-Mashhadi, "Demonstrating The Importance Of Applying A New Probabilistic Power Flow Strategy To Evaluate Power Systems With High Penetration Of Wind Farms," *Journal of Energy Engineering-ASCE*, 10.1061/(ASCE)EY.1943-7897.0000332 , 04016002, 2016.
3. H. Heydari-Doostabad, **M. R. Khalghani**, M. H. Khooban, "A Novel Control System Design to Improve LVRT Capability of Fixed Speed Wind Turbines using STATCOM in Presence of Voltage Fault," *International Journal of Power and Energy Systems*, Vol. 77, pp. 280-286, 2016.
4. M. R. Soltanpour, M. H. Khooban, **M. R. Khalghani**, "An Optimal and Intelligent Control Strategy for a Class of Nonlinear Systems: Adaptive Fuzzy Sliding Mode," *Journal of Vibration and Control*, Vol. 22, Issue 1, pp. 159-175, 2016.
5. **M.R. Khalghani**, and M.H. Khooban, "A Novel Self-Tuning Control Method Based on Regulated Bi-objective Emotional Learning Controller's Structure with TLBO Algorithm to Control DVR Compensator," *Journal of Applied Soft Computing*, Vol. 24, pp. 912–922, November 2014.
6. **M.R. Khalghani**, M.A. Shamsi-nejad and M. H. Khooban, "DVR Control Using Bi-objective Optimization to Improve Power Quality's Indices," *IET Science, Measurement & Technology*, Vol. 8, Issue 4, pp. 203–213, 2014.
7. **M.R. Khalghani**, M.A. Shamsi-nejad, M. Farshad and M.H. Khooban, "Modifying power quality's indices of load by Presenting an Adaptive Method Based on Hebb Learning Algorithm for Controlling DVR," *AUTOMATIKA—Journal for Control, Measurement, Electronics, Computing and Communications*, Vol. 55, No 2, 2014.
8. **M. R. Khalghani**, J. Solanki, S. Khushalani-Solanki and A. Sargolzaei, "Stochastic Load Frequency Control of Microgrids Including Wind Source Based on Identification Method," 2018 IEEE International Conference on Environment and Electrical Engineering and 2018 IEEE Industrial and Commercial Power Systems Europe (EEEIC / I&CPS Europe), Palermo, pp. 1-6, 2018.
9. **M. R. Khalghani**, J. Solanki, S. Khushalani-Solanki and A. Sargolzaei, "Resilient and Stochastic Load Frequency Control of Microgrids," Submitted to IEEE PES General Meeting, Atlanta, pp. 1-5, 2019.
10. **M. R. Khalghani**, S. Solanki, and J. Solanki, "A Load Frequency Control for Microgrid including Stochastic Elements Based on Hebb Learning," 2017 North American Power Symposium (NAPS), Morgantown, WV, 2017, pp. 1-6.
11. **M. R. Khalghani**, S. Solanki, J. Solanki, A. Sargolzaei, "Cyber Disruption Detection in Linear Power Systems," 2017 North American Power Symposium (NAPS), Morgantown, WV, 2017, pp. 1-6.
12. **M. R. Khalghani**, S. Solanki, and J. Solanki, "Optimal Integration and Location of PHEV Aggregators in Power Distribution Systems," 2016 North American Power Symposium (NAPS), Denver, CO, 2016, pp. 1-6.
13. **M. R. Khalghani**, and M.A. Shamsi-nejad, "A novel self-tuning control structure to control DVR compensator using bi-objective human brain Emotional learning," 20th Electric Power Distribution Conference (EPDC), Zahedan, Iran, 2015.
14. **M. R. Khalghani**, S. Khushalani-Solanki and J. Solanki, "Load Frequency Control in a Microgrid Including Electric Vehicle Using Neuroscience Based Controllers", Book Title: *Microgrids: Design, Applications and Control*, Nova Science Inc., 2018.

9. List the most recent professional development activities

- Strategic planning Committee, Florida Polytechnic University, 2019.
- Employee Activities Committee, Florida Polytechnic University, 2019.

Name: Navid Khoshavi Najafabadi

A. Education

Degree	Discipline	Institution	Year
B.Sc.	Computer Engineering	Sepahan Science and Technology Institute of Higher Education	2009
M.Sc.	Computer Engineering	Amirkabir University of Technology	2012
M.Sc.	Computer Engineering	University of Central Florida	2016
Ph.D.	Computer Engineering	University of Central Florida	2017

B. Academic Experience

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor of ECE and CS	May 2018-	FT
Florida Polytechnic University	Instructor	Aug. 2017 – May 2018	FT

C. Current Membership in Professional Organization

- Member, Association for Computing Machinery (ACM)
- Member, Institute of Electrical and Electronics Engineers (IEEE)

D. Honors and Awards

- Feature Paper of Month, *IEEE Transactions on Computers* for the paper titled “Energy-Aware Adaptive Restore Schemes for MLC STT-RAM Cache,” May 2017.
- Best Paper Nomination, *18 International Symposium on Quality Electronic Design* for the paper titled “Variation-Immune Resistive Non-Volatile Memory using Self-Organized Sub-Bank Circuit Designs,” 2017.
- Graduation Presentation and Student Government Association Fellowships to present in ISQED 2017.
- Graduation Presentation and Student Government Association Fellowships to present in ISQED 2016.
- Iranian-American Community Center Scholarship for the 2015-2016 academic year.
- David T. & Jane M. Donaldson Memorial Scholarship for the 2015-2016 academic year.
- SRE Hans Reiche Scholarship, 2015.
- Graduation Presentation Fellowship to present my paper in RAMS 2015.

E. Service Activities (within and outside of the institution)

- Member of Enrollment Management and Annual Awards Committees, Florida Polytechnic University,
- Reviewer for papers: IEEE Access, IEEE Transactions on Device and Materials Reliability, Elsevier Microelectronics Journal, Elsevier Microelectronics Reliability Journal, IEEE Transactions on Computers, IEEE Transactions on Circuits and Systems, IEEE Transactions on VLSI, International Journal of Nanoscience and Nanotechnology, IET Micro & Nano Letters, IEEE Computer Society Annual Symposium on VLSI,
- NSF REU Site Project Assessor: Research Experiences on the Internet of Things (IoT) at University of Central Florida, July 28, 2017,
- TPC member of 2nd International Conference on Computer Science and Technology (CST2017).

F. Research Activities

A. Funded Projects

Arman Sargolzaei (FPU PI), Navid Khoshavi (Co-PI), Kang Yen (Co-PI) “Preventing, Detecting, and Responding to attacks on Safety-Critical Cyber Physical Systems” Florida Cybersecurity Center, *July 2018 – June 2019*, \$58,708.

B. List the Most Important Presentations and Seminars from the Past Five (5) years

- N. Khoshavi, “Energy-aware Data Movement in Non-Volatile Memory Hierarchies,” Micron, 2017.
- Paper presentation, ISQED, San Francisco, CA, USA, 14 March - 15 March 2017.
- Paper presentation, ISQED, San Francisco, CA, USA, 15 March - 16 March 2016.
- Invited Presentation, NSF MIST I/UCRC Center Meeting, Orlando, FL, USA, 13 May, 2015.
- Organization member of Multi-functional Integrated System Technology (MIST) Center meeting, May 2015.
- Paper presentation, Reliability and Maintainability Symposium, Palm Harbor, FL, 2015.
- Organization member of Reliability and Maintainability Symposium, January 2015.

- Invited Presentation, NSF MIST I/UCRC Center Meeting, University of Florida, Gainesville, FL, 2014.
- Organization member of International Conference on Evolutionary Computation, December 2014.

C. List the Most Important Publications from the Past Five (5) years

- [1] N. **Khoshavi** and R. F. DeMara, "Read-Tuned STT-RAM and eDRAM Cache Hierarchies for Throughput and Energy Optimization," *IEEE Access*, 2018.
- [2] S. Salehi, N. **Khoshavi**, R. Zand, and R. F. DeMara, "Self-Organized Sub-bank SHE-MRAM-based LLC: an Energy-Efficient and Variation-Immune Read and Write Architecture," *Elsevier Integration, the VLSI Journal*, 2018.
- [3] S. Salehi, N. **Khoshavi**, and R. F. DeMara, "Leveraging Process Variability for Non-Volatile Cache Resilience and Yield," *IEEE Transactions On Emerging Topics in Computing*, 2018.
- [4] N. **Khoshavi**, R. A. Ashraf, R. F. DeMara, S. Kiamehr, F. Oboril, M. B. Tahoori, "Contemporary CMOS Aging Mitigation Techniques: Survey, Taxonomy, and Methods," *Elsevier Integration, the VLSI Journal*, in-press, 2017.
- [5] N. **Khoshavi**, S. Salehi, R. F. DeMara, "Variation-Immune Resistive Non-Volatile Memory using Self-Organized Sub-Bank Circuit Designs" *Proceedings of 18th International Symposium on Quality Electronic Design (ISQED 2017), Best paper candidate, March 14-15, Santa Clara, CA, USA, 2017.*
- [6] X. Chen, N. **Khoshavi**, R. F. DeMara, J. Wang, D. Huang, W. Wen and Y. Chen, "Energy-Aware Adaptive Restore Schemes for MLC STT-RAM Cache," *IEEE Transactions on Computers, Selected as feature paper of May 2017*, 2016.
- [7] R. Ashraf, N. **Khoshavi**, A. Alzahrani, R. F. DeMara, S. Kiamehr and M. Tahoori, "Area-Energy Tradeoffs of Logic Wear-Leveling for BTI-induced Aging," *ACM International Conference on Computing Frontiers*, pp. 37-44, 2016.
- [8] X. Chen, N. **Khoshavi**, J. Zhou, D. Huang, R. F. DeMara, J. Wang, W. Wen and Y. Chen, "AOS: Adaptive Overwrite Scheme for Energy-Efficient MLC STT-RAM Cache," *53rd Design Automation Conference*, pp. 1-6, 2016.
- [9] R. F. DeMara, N. **Khoshavi**, S. Pyle, J. Edison, R. Hartshorne, B. Chen, M. Georgiopoulos, "Redesigning Computer Engineering Gateway Courses Using a Novel Remediation Hierarchy," in *Proceedings of American Association for Engineering Education National Conference (ASEE-16), June 26-29, New Orleans, LA, USA, 2016.*
- [10] R. F. DeMara, S. Salehi, N. **Khoshavi**, R. Hartshorne, B. Chen, "Strengthening STEM Laboratory Assessment Using Student-Narrative Portfolios Interwoven with Online Evaluation," in *Proceedings of ASEE Southeast Section Conference*, Alabama, USA, 2016.
- [11] A. Roohi, R. F. DeMara, N. **Khoshavi**, "Design and Evaluation of an Ultra-Area-Efficient Fault-Tolerant QCA Full Adder," *Elsevier Journal of Microelectronics*, 2015.

1. **Name:** Hisham Mahmood

2. **Degrees**

Degree	Discipline	Institution	Year
Ph.D.	Electrical Engineering	University of Western Ontario, Canada	2015
M.Sc.	Control Engineering	Lakehead University, Canada	2008
B.Sc.(Eng.)	Electrical Engineering	University of Basrah, Iraq	1998

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor of Electrical Engineering	Aug 13, 2018-present	FT
University of Exeter, UK	Research Fellow in the Department of Renewable Energy	Nov 2017 – July 2018	FT
University of Western Ontario, Canada	Postdoctoral Research Fellow and Lecturer of - Department of Electrical and Computer Engineering	Jan 2015 – Oct 2017	FT
University of Western Ontario, Canada	Research Assistant - Department of Electrical and Computer Engineering	2008 – 2014	FT
Lakehead University, Canada	Research Assistant - Department of Electrical and Computer Engineering	2006 – 2008	FT
Higher Institute of Technology, Libya	Lecturer and Department Chair – Department of Electrical Engineering	2001 – 2005	FT
Great March University, Libya	Lecturer of Electrical Engineering	2001 - 2003	PT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
HiT Power, UK	Design and Development Engineer	Nov 2017 – July 2018	PT
Cornwall New Energy, UK	Consultant	Nov 2017 – July 2018	PT

5. **Certifications or Professional Registrations**

6. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (New York)

7. **Honors and Awards**

8. **Service Activities** (within and outside of the institution)

- Review papers for:
 - IEEE Transactions on Power Electronics
 - IEEE Transactions on Industrial Electronics
 - IEEE Journal of Emerging and Selected Topics in Power Electronics
 - IEEE Transactions on Sustainable Energy
 - IEEE Transactions on Smart Grid
 - IEEE Transactions on Power Systems
- Chaired sessions for IEEE conferences

9. List the Most Important Publications and Presentations from the Past Five (5) years

1. Hisham Mahmood, D. Michaelson, J. Jiang, "Decentralized power management of a PV/battery hybrid unit in a droop controlled islanded microgrid," *IEEE Transactions on Power Electronics*, vol. 30, no. 12, pp. 7215–7229, Dec. 2015.
2. Hisham Mahmood, D. Michaelson, J. Jiang, "Reactive power sharing in islanded microgrids using adaptive voltage droop control," *IEEE Transactions on Smart Grid*, vol. 6, no. 6, pp. 3052–3060, Nov. 2015.
3. Hisham Mahmood, D. Michaelson, J. Jiang, "Strategies for independent deployment and autonomous control of PV and battery units in islanded microgrids," *IEEE Journal of Emerging and Selected Topics in Power Electronics*, vol. 3, no. 3, pp. 742–755, Sept. 2015.
4. Hisham Mahmood, D. Michaelson, J. Jiang, "Accurate reactive power sharing in an islanded microgrid using adaptive virtual impedances," *IEEE Transactions on Power Electronics*, vol. 30, no. 3, pp. 1605–1617, Mar. 2015.
5. Hisham Mahmood, D. Michaelson, J. Jiang, "A power management strategy for PV/battery hybrid systems in islanded microgrids," *IEEE Journal of Emerging and Selected Topics in Power Electronics*, vol. 2, no. 4, pp. 870–882, Dec. 2014.
6. Hisham Mahmood, J. Jiang, "Modeling and control system design of a grid connected VSC considering the effect of the interface transformer type," *IEEE Transactions on Smart Grid*, vol. 3, no. 1, pp. 122–134, Mar. 2012.
7. Hisham Mahmood, J. Jiang, "Autonomous Coordination of Multiple PV/Battery Hybrid Units in Islanded Microgrids," *IEEE Transactions on Smart Grid*, Accepted, May 2017.
8. D. Michaelson, Hisham Mahmood, J. Jiang, "A Predictive Energy Management System using Pre-emptive Load Shedding for Islanded Photovoltaic Microgrids," *IEEE Transactions on Industrial Electronics*, vol. 64, no. 7, pp. 5440–5448, Jul. 2017.
9. Hisham Mahmood, J. Jiang, "Decentralized Power Management of Multiple PV, Battery, and Droop Units in an Islanded Microgrid," *IEEE Transactions on Smart Grid*, Accepted, Dec. 2017.
10. Hisham Mahmood, J. Jiang, "A control strategy of a distributed generation unit for seamless transfer between grid connected and islanded modes," in *Proc. IEEE International Symp. Ind. Electron. (ISIE)*, June 2014, pp. 2518–2523.
11. D. Michaelson, Hisham Mahmood, J. Jiang, "A predictive energy management strategy with pre-emptive load shedding for an islanded PV-battery microgrid," in *Proc. IEEE Ind. Electron. Conf.*, Nov 2013, pp. 1501–1506.
12. Hisham Mahmood, D. Michaelson, J. Jiang, "Control strategy for a standalone PV/battery hybrid system," in *Proc. IEEE Ind. Electron. Conf.*, Oct 2012, pp. 3412–3418.
13. Hisham Mahmood, K. Natarajan, "Parasitics and voltage collapse of the DC-DC boost converter," in *Proc. of IEEE Canadian Conference on Electrical and Computer Engineering*, May 2008, pp. 273–278.

10. List the most recent professional development activities

- Served as a consultant with Cornwall New Energy, UK
- Participate in the design of 100 kW grid connected battery charger with HiT Power, UK
- Planning, design and implementation of a laboratory scale microgrid for the Distributed Generation Laboratory, University of Western Ontario, Canada
- Developed a graduate course on Modeling and Control of Power Electronic Converters at the University of Western Ontario, Canada
- Co-supervised PhD and Master's students at the University of Exeter in UK, and University of Western Ontario in Canada

1. **Name:** Muhammad H. Rashid

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical Engineering	Bangladesh University of Eng. and Technology, Dhaka	1967
M.Sc.	Information and Systems Engineering	University of Birmingham, UK	1971
Ph.D.	Electronic and Electrical Engineering	University of Birmingham, UK	1976

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Professor and Chair of Electrical and Computer Engineering	Jan 8, 2018-	FT
Florida Polytechnic University	Professor of Electrical Engineering	2017 - 2018	FT
University of West Florida	Professor of Electrical and Computer Engineering	2007 – 2016	FT
University of Florida	Professor and Program Director of Electrical and Computer Engineering	1997-2007	FT
Indiana-Purdue University Fort Wayne	Professor and Chair of Engineering Department	1989-2007	FT
Purdue University Calumet	Associate Professor and Professor	1985- 1989	FT
Concordia University, Canada	Associate Professor	1981-1985	FT
University of Connecticut	Visiting Assistant Professor	1980-1981	FT
Higher Institute of Electronics – Malta and Libya	Lecturer and Head of Control Engineering	1977-1980	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
Lucas Group Research Centre, England, UK	Research Officer: Research and Development	1976-1977	FT
Brush Electrical Machines Ltd., England, UK	Senior Development Engineer: Project Development	1974-1976	FT
Eastern Refinery Ltd., Bangladesh	Engineer - Instruments & Control	1968-1970	FT
Water & Power Development Authority, Bangladesh	Assistant Engineer – Operation	1968-1968	FT

5. **Certifications or Professional Registrations**

- Professional Engineer, Ontario, Canada (from 1977 – 2002)
- Chartered Engineer, United Kingdom (from 1977 – 2005)

6. **Current Membership in Professional Organizations**

- Life Fellow, The Institute of Electrical and Electronics Engineers (New York)
- Fellow, The Institution of Engineering and Technology, (London, UK)
- Member, American Society of Engineering Education (ASEE)

7. **Honors and Awards**

- 2013 – IEEE Industry Applications Society: *Outstanding Achievement Award*
- 2008 IEEE: Undergraduate Teaching Award
- 2002 IEEE: Educational Activities Board Meritorious Achievement Award in Continuing Education

- 2001-2003: Distinguished Lecturer and Speaker of the IEEE-Industry Applications Society.
- 2010 - : Distinguished Lecturer of the IEEE Education Society.
- 1991: IEEE Outstanding Engineer Award

8. **Service Activities** (within and outside of the institution)

- Review papers: Member, IEEE - Education Society, Industry Applications Society, Industrial Electronics Society, Magnetics Society, Circuit & Systems Society, Power Electronics society, and Power Engineering Society.

9. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. M H. Rashid, *Microelectronic Circuits: Analysis and Design*, Cengage Publishing, 2017. ISBN-13: 978-1305635166, ISBN-10: 1305635167
2. M. H Rashid, *Power Electronics – Devices, Circuits and Applications*. Pearson Publishing, 2014, ISBN-10: 0133125904 • ISBN-13: 9780133125900
3. M. H. Rashid, *Introduction to PSpice Using OrCAD/LTspice for Circuits and Electronics*, Cengage Publishing – on production expected to be published in 2017.
4. M. H. Rashid (editor), *Power Electronics Handbook*, Butterworth Heinemann, on production expected to be published in 2017.
5. M H. Rashid (editor), *Electric Renewable Energy Systems*, Elsevier Publishing, 2016, ISBN-13: 978-0128044483, ISBN-10: 0128044489
6. M. H. Rashid (editor), *Alternative Energy in Power Electronics*, Elsevier Publishing, 2015, ISBN-13: 978-0124167148, ISBN-10: 0124167144
7. M H. Rashid, *Electronic Circuits and Applications*, 1/e. ISBN # 9788131522844, 562 Pages, CL Engineering, 2014.
8. M H. Rashid, *Electronic Devices and Circuits*, 1/e. ISBN # 978813152285, 804 Pages, CL Engineering, 2014.
9. M H. Rashid, *Linear Integrated Circuits*, 1/e. ISBN # 9788131522837, 534 Pages, CL Engineering, 2014.
10. M. H Rashid, *SPICE for Power Electronics and Electric Power*, 3/e, CRC Pres, May 2012, 560 pages.
11. M. H Rashid, *The Process of Outcome-Based Education - Implementation, Assessment and Evaluations*, .2012 UiTM Press, Malaysia
12. Jimmy Kocher, and M. H Rashid, “Engineering Our Food: Possible Risks verses Reward”. Original. Research Article Procedia - Social and Behavioral Sciences, Volume 176, 20 February 2015, Pages 927-932.
13. M. H. Rashid, Comparison of ABET Outcome Requirements And Washington Accord Attributes, presentation at the 2015 IEE Colloquium, New York City, November 5-6, 2015.

14. **List the most recent professional development activities**

- ABET program evaluator for electrical, computer and general engineering.
- The Academic Accreditor for the Institution of Engineering and Technology (IET, UK)
- Editor-in-Chief of a *Series in Electric Energy System* with Springer Publishing.
- Editor-in-Chief of a *Series in Power Electronics and Applications* with CRC Press,
- Editor-in-Chief of a *Series in Nanotechnology and Applications* with CRC Press,
- Served as an External Examiner for undergraduate program for the faculty of electrical engineering for undergraduate program at the University of Technology Malaysia (MARA) from 2004-2016.
- Serves as an International Advisory Board Member of numerous international conferences.
- Gave numerous keynote lectures in international conferences in electrical and electronic engineering in China, India, Malaysia, Bangladesh, Pakistan, Palestine, and Iran.
- Reviewed Ph.D. theses as an external examiner for Nanyang Technological University Singapore.
- Reviewed Ph.D. theses as an external examiner for Universiti Putra Malaysia (UPM)

1. **Name:** Saleem Sahawneh

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Computer Engineering	Yarmouk University, Jordan	1996
M.Sc.	Electrical Engineering	University of Central Florida, USA	2013
Ph.D.	Electrical Engineering	University of Central Florida, USA	2017

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Adjunct professor	Aug 21, 2017-	PT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
University of Central Florida, USA	Research Assistant	2013-2017	FT
MyCom North America, USA	Network Switching System Engineer	2009-2012	FT
Walden house Inc. , USA	System Administrator	2008-2009	FT

5. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers , IEEE
- Member, Jordan Engineers Association, (Amman, Jordan)

6. **Honors and Awards**

- 2013: Member of Delta Epsilon Iota Academic Honor Society

7. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. Saleem Sahawneh, Linwood Jones, Sayak K. Biswas and Daniel Cecil “Hurricane Brightness Temperature Image Geolocation Validation”, IEEE Geoscience and remoter sensing letters, volume 14, Issue 11, October 2017
2. Saleem Sahawneh , Linwood Jones ”Hurricane Imaging Radiometer (HIRAD) Brightness Temperature Validation”, presented at IEEE International Geoscience and remote sensing symposium 2017, Fort worth, Texas, July 2017.
3. Saleem Sahawneh, Spencer Farrar, James Johnson, Linwood Jones “Hurricane Imaging Radiometer wind speed and rain rate retrievals during the 2010 GRIP flight experiment”, Presented at 13th Specialist Meeting on Microwave Radiometry and Remote Sensing of the Environment, Pasadena, California, March 2014.
4. Miller, T., M. James, J. Roberts, S. Biswas, D. Cecil, W. L. Jones, J. Johnson, S. Farrar, S. Sahawneh, C. S. Ruf, M. Morris, E. Uhlhorn and P. Black, “The Hurricane Imaging Radiometer: Present and Future,” Proc. 2013 International Geoscience and Remote Sensing Symposium, Melbourne, AUSTRALIA, doi: , 22-26 July 2013.
5. Saleem Sahawneh , Spencer Farrar, James Johnson, Linwood Jones, Jason Roberts, Sayak Biswas, Daniel Cecil ”Hurricane wind speed and rain rate measurements using the airborne Hurricane Imaging Radiometer (HIRAD)”, Presented at IEEE SoutheastCon 2013, Jacksonville, Florida, April 2013.

6. **List the most recent professional development activities**

Attended the 2017 IGARSS conference (microwave radiometry)

1. **Name:** Ashiq A. Sakib

2. **Degrees**

Degree	Discipline	Institution	Year
B. Tech.	Electronics and Communication Engineering	Institute of Engineering and Management, West Bengal University of Technology, India	2013
Ph.D.	Computer Engineering	North Dakota State University, US	2019

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor of Electrical and Computer Engineering	Aug. 12, 2019-	FT
North Dakota State University	Teaching Assistant	Aug. 2014 – May. 2018	FT
North Dakota State University	Research Assistant	Jan. 2018 – July 2019	FT

4. **Non-Academic Experience**

Institution	Rank & Title	Period	FT/PT
Centre for Electronics and Test Engineers (CETE), Ministry of Information Technology, Govt. of West Bengal, India	Industrial Trainee	June 2013- August 2013	PT

5. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (IEEE), USA
- Member, IEEE- Circuits and Systems Society (IEEE-CAS), USA
- Member, IEEE- Eta Kappa Nu (IEEE-HKN), USA
- Member, Phi-Kappa-Phi (PKP), USA

6. **Honors and Awards**

- Love of Learning award offered by the honor society of Phi Kappa Phi, 2018.
- Selected as one of the 10 early PhD students in the Student Activities program to attend the IEEE-VTS'17 conference held in Las Vegas, 2017.
- National Science Foundation (NSF) Travel Grants.
- Outstanding Teaching Assistant (Nominated from the ECE department at NDSU).
- Outstanding Ambassador of the department, Institute of Engineering and Management, 2013.
- Dhaka Board Scholarship for outstanding result, Govt. of Bangladesh, 2007.

7. **Service Activities** (within and outside of the institution)

- Technical Reviewer: IEEE International Symposium on Circuits and Systems (ISCAS).
- Technical Reviewer: IEEE Mid-West Symposium on Circuits and Systems (MWSCAS).
- Technical Reviewer: IEEE International Symposium on VLSI (ISVLSI).
- Technical Reviewer: IEEE Asia Pacific Conference on Circuits and Systems (APCCAS).
- Vice-President (2018) and Treasurer (2017), IEEE-Eta Kappa Nu Honor Society, Gamma Tau Chapter.

- University Curriculum Committee, North Dakota State University.
- Graduate Studies Senator, Student Government, North Dakota State University.

8. List the Most Important Publications and Presentations from the Past Five (5) years

- [1] Book Chapter: **A. A. Sakib**, S. Le, S. C. Smith, and S. K. Srinivasan, “Chapter 15: Asynchronous Circuit Verification,” Asynchronous Circuit Applications, Institution of Engineering and Technology (IET), London, UK (In Press).
- [2] Journal: **A. A. Sakib**, S. C. Smith, S. K. Srinivasan, “Formal Modeling and Verification of PCHB Asynchronous Circuits,” IEEE Transactions on VLSI, pp. 1-14, doi: 10.1109/TVLSI.2019.2937087, 2019.
- [3] Peer-reviewed Conference: **A. A. Sakib**, S. C. Smith, and S. K. Srinivasan, “Formal Modeling and Verification for Pre-Charge Half Buffer Gates and Circuits,” IEEE International Midwest Symposium on Circuits and Systems (MWSCAS), pp. 519-522.
- [4] Peer-reviewed Conference: **A. A. Sakib**, S. C. Smith, and S. K. Srinivasan, “An Equivalence Verification Methodology for Combinational Pre-Charge Half Buffer Asynchronous Circuits.” IEEE International Midwest Symposium on Circuits and Systems (MWSCAS), pp. 767-770.
- [5] Peer-reviewed Conference: M. Hossain, **A. A. Sakib**, S. C. Smith, and S. K. Srinivasan, “An Equivalence Verification Methodology Asynchronous Sleep Convention Logic Circuits.” IEEE International Symposium on Circuits and Systems (ISCAS), 2019, pp. 1-5.
- [6] **A. A. Sakib** and S. C. Smith, “Verification Methodology for QDI Asynchronous Circuits.” – IEEE VLSI Test Symposium (VTS), 2017.
- [7] Presentation: **A. A. Sakib**, “Solving real world problems” – College of Graduate and Interdisciplinary Studies, North Dakota State University (Presentation).
- [8] Presentation: IEEE Red River Valley Graduate Research Competition, 2018(Poster Presentation).
- [9] Presentation: IEEE Red River Valley Graduate Research Competition, 2017(Poster Presentation).

9. List the most recent professional development activities

- ECE Curriculum Committee, Florida Polytechnic University, 2019.
- Program Assessment Committee, Florida Polytechnic University, 2019.
- Faculty Adviser, Sub-Club, Florida Polytechnic University, 2019.
- Working on instating the honor society of IEEE-HKN in the Dept. of ECE at Florida Polytechnic University.

1. **Name:** Mahmoud Saleh

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.	Electrical Engineering	El Shorouk Academy, Egypt	2010
M.E.	Electrical Engineering	The City College at the City University of New York	2013
Ph.D.	Electrical Engineering	The City College at the City University of New York	2019

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor of Electrical and Computer Engineering	Oct 14, 2019 - present	FT
The City College at the City University of New York	Researcher – Department of Electrical Engineering	Apr 2019- June 2019	FT
Bronx Community College	Adjunct lecturer - Department of Engineering, Physics, and Technology	Aug 2018 – Jan 2019	PT
The City College at the City University of New York	Graduate Research Assistant – Department of Electrical Engineering	Aug 2014 – Apr 2019	FT
El Shorouk Academy, Egypt	Lecturer of Electrical Power and Machines Engineering	Jan 2011 – May 2012	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
CCNY, ConEdison Electric Utility, and Metropolitan Transit Authority (MTA) at New York	Graduate Research Assistant: Lead and Modeling Engineer	Jan 2017 – Jan 2018	FT
Zahn Innovation Center at New York City	Cofounder of PluginBlocks, an Educational Startup	Jan 2016 – Aug 2016	PT
LaunchR Accelerator at Rutgers University	Cofounder of Ondemand-Microgrid Startup	Jan 2016 – Apr 2016	PT

5. **Certifications or Professional Registrations**

- Professional Engineer (PE), passed at North Carolina (Apr 2017)
- Fundamental Engineering (FE), passed at the American University at Cairo, Egypt (Oct 2011)
- Neural Networks and Deep Learning Certificate (Apr 2018)

6. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (IEEE), USA

7. **Honors and Awards**

- 2018 - IEEE International Conference on Renewable Energy Research and Applications: *Best Paper*
- 2017 - IEEE System Council: *James O. Gray Scholarship for research in process control systems engineering and planet automation*
- 2017 – IEEE Power and Energy Society: *Student Congress Travel Award*
- 2016 - 9th Annual Graduate Student Research Symposium at The City College of New York: *First place*
- 2016 & 2017 – IEEE Industry Applications Society: *Travel award*
- 2010 - El Shorouk Engineering Academy: *Valedictorian*

8. **Service Activities** (within and outside of the institution)

- Research Committee member, Florida Polytechnic University
- Reviewer for IEEE Transactions on Smart Grids
- Reviewer for IEEE Transactions on Industry and Application Society
- Review papers at: IEEE Power and Energy Conference at Illinois (PECI), IEEE Smart Grid Conference (SGC), IEEE International Conference on Renewable Energy Research, The 8th IEEE India International Conference on Power Electronics, The 3rd International Conference on Energy Engineering and Environmental Protection, IEEE Industry Application Society Annual meeting, and IEEE Texas Power and Energy Conference (TPEC)

9. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. **M. Saleh**, Y. Esa and A. Mohamed, "Impact of information and communication technology limitations on microgrid operation," *Energies Journal*, 2019.
2. M El Hariri, E Harmon, T Youssef, **M Saleh**, H Habib, O Mohammed, "The IEC 61850 Sampled Measured Values Protocol: Analysis, Threat Identification, and Feasibility of Using NN Forecasters to Detect Spoofed Packets," *Energies Journal*, 2019.
3. M El Hariri, T Youssef, **M Saleh**, S Faddel, H Habib, O Mohammed, "A Framework for Analyzing and Testing Cyber Physical Interactions for Smart Grid Applications," *Electronics Journal, Applications for Smart Cyber Physical Systems issue*, 2019.
4. O. Dutta, C. Chan, **M. Saleh**, A.Mohamed, "Active Distribution Management for Prevention of Cascading Failure," submitted to *IEEE Transmission and Distribution*, 2019.
5. **M. Saleh**, M El Hariri, "Denial of Service Attacks on Centralized Controlled DC Microgrids: Vulnerability Assessment and Recommendations," submitted to *International Federation of Automatic Control (IFAC)*, 2019.
6. M.khodaparastan, O. Dutta, **M. Saleh**, A.Mohamed, "Modeling and design of DC Rail Transit Systems with Various Energy Storage Systems," *IEEE Transactions on Vehicular Technology*, Jan 2019.
7. **M. Saleh**, Y. Esa, and A. Moahmed, "Impact of Communication Latency on the Bus Voltage of Centrally Controlled DC Microgrid during Islanding," *IEEE Transactions on Sustainable Energy*, 2019.
8. **M. Saleh**, Y. Esa, and A. Moahmed "Communication Based Control for DC Microgrids," *IEEE Smart Grid Transactions*, 2018.
9. **M. Saleh**, Y. Esa and A. Mohamed, "Application of Complex Network Analysis in Electric Power Systems," *Energies Journal, Smart Grids issue*, March 2018.
10. **M. Saleh**, Y. Esa, and A. Moahmed, "Effect of Wireless Communication Delay on Bus Voltage of Centralized Communication Based Control DC Microgrid," *IEEE Energy Conversion Congress and Exposition (ECCE)*, 2018.
11. **M. Saleh**, O. Dutta, Y. Esa, and A. Moahmed, "Quantitative Analysis of Regenerative Energy in Electric Rail Traction Systems," *Industry and Application Society (IAS)*, Cincinnati, OH, 1-5 Oct 2017.
12. **M. Saleh**, Y. Esa, and A. Moahmed, "Energy Management Algorithm for Resilient Controlled Delivery Grids," *Industry and Application Society (IAS)*, Cincinnati, OH, 1-5 Octo 2017.
13. **M. Saleh**, Y. Esa, and A. Moahmed, "Centralized Control for DC Microgrid Using Finite State Machine," *IEEE Innovative Smart Grid Technologies (ISGT)*, Washington D.C., USA, 23-26 Apr 2017.
14. **M. Saleh**, Y. Esa and A. Mohamed, "Hardware Based Testing of Communication Based Control for DC Microgrid," *International Conference on Renewable Energy Research and Applications (ICRERA)*, San Diego, CA, 2017.
15. O. Dutta, **M. Saleh**, A.Mohamed, "HESS in DC Rail Transit System: Optimal Sizing and System Design," *International Conference on Renewable Energy Research and Applications (ICRERA)*, San Diego, CA, 2017.
16. **M. Saleh**, Y.esa, A.Mohamed, "Optimal Microgrids Placement in Electric Distribution Systems Using Complex Network Framework," *International Conference on Renewable Energy Research and Applications (ICRERA)*, San Diego, CA, 2017.
17. **M. Saleh**, Y. Esa, Y. Mhandi, W. Brandauer and A. Mohamed, "Design and Implementation of CCNY DC Microgrid Testbed," 2016 *IEEE Industry Applications Society Annual Meeting*, Portland, OR, 2016.
18. **M. Saleh**, A. Althaibani, Y. Esa, Y. Mhandi and A. Mohamed, "Impact of Clustering Microgrids on their Stability and Resilience during Blackouts," 2015 *International Conference on Smart Grid and Clean Energy Technologies (ICSGCE)*, Offenburg, 2015, pp. 195-200.

10. **List the most recent professional development activities**

- Editorial board member at American Journal of Electrical Power and Energy Systems
- Editorial board member at SCIREA Journal of Energy, SCIREA Journal of Electrical Engineering, and Donnish Journal of Internet and Information Systems
- Delivered talks at National Renewable Energy Laboratory, Arizona State, Penn State, and New Mexico Universities
- Lead engineer to design, simulate, build and implement a microgrid testbed setup at CCNY
- In the process of forming IEEE Industry and Application Society (IAS) and Power and Energy Society (PES) joint student branch chapter at Florida Polytechnic University

1. **Name:** Arman Sargolzaei

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical Engineering	Sadjad University of Technology	2010
M.Sc.	Electrical Engineering	Florida International University	2012
Ph.D.	Electrical Engineering	Florida International University	2015

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor	2016- Pres	FT
Florida International University	Assistant Scientist/ Scholar	2015 - 2016	FT
Florida International University	Graduate Assistant	2012 - 2013	PT
Florida International University	Research Assistant	2011 - 2012	PT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
PLC International Inc, Miami, USA	System Development Engineer	2013 - 2015	FT
PLC International Inc, Miami, USA	Hardware and Software Developer	2012 - 2012	FT

5. **Certifications or Professional Registrations**

- Theoretical and hands-on training on digital power line carrier UCC 2021D.
- Cryptography I, Stanford University.
- Training in Human subject's protection, Virginia Tech

6. **Current Membership in Professional Organizations**

- 2014-Present Student Member, IEEE Power & Energy Society (PES).
- 2014-Present Student Member, IEEE Communications Society.
- 2014-Present Student Member, International Society of Automation (ISA).
- 2014-Present Student Member, IEEE Computational Intelligence Society.
- 2013-Present Young Professional Member, IEEE.
- 2010-Present Member, IEEE.

7. **Honors and Awards**

- Faculty Research Excellence Award, FPU, 2017
- Best Project Excellence Award, Rockwell Automation, 2017
- Best Graduate Student Among all Graduate Students, FIU, 2015.
- The most Innovative Product, ITEXPO, 2014 and 2015.
- Dean's Scholarship Award, FIU, 2014.
- Travel Grant, IEEE Computational Intelligent Society (CIS), 2014.
- GPSC Award, FIU, 2014.
- GPSC Award, FIU, 2013.
- Best Paper Award, CCCM Conference, 2010.

8. **Service Activities** (within and outside of the institution)

- Editorial board member for International Journal of Instrumentation and Control Systems, International Journal of Machine Learning and Application
- Reviewer for IEEE Transaction on Smart Grid, IEEE Transaction on Cybernetics, Journal of Energy and Power Engineering, Asian Journal of Control, Springer-Plus Journal, IEEE Workshop on Machine Learning for Predictive Models in Engineering Applications, International Conference on

Advanced in Communication Technology, ASE journal of Elsevier, IEEE International Conference on Power Electronics, Drivers and Energy Systems,

- Workshop Chairs and organizer for IEEE Workshop on Machine Learning in Security of Cyber-Physical Systems
- Institutional Effectiveness Committee member at Florida Polytechnic University, Introduction in mathematical in Cyber-Security curriculum development at Florida International University.

9. List the Most Important Publications and Presentations from the Past Five (5) years

1. Abbaspour, A., Aboutalebi, P., Yen, K., and Sargolzaei, A. "Neural adaptive observer-based sensor and actuator fault detection in nonlinear systems: Application in UAV." *ISA Transactions*, Volume 67, pp. 317-329, (2017).
2. Sargolzaei, A., Yen, K., Abdelghani, M., Sargolzaei, S., Carbanar, B., "Resilient Design of Networked Control Systems Under Time Delay Switch Attacks, Application in Smart Grid", *IEEE ACCESS*, V5, pp 15901-15912, (2017).
3. Sargolzaei, A., Yen, K., and Abdelghani, M.N., "Preventing Time-Delay Switch Attack on Load Frequency Control in Distributed Power Grid", *IEEE Transaction on Smart Grid*, Volume 7, No. 2, pp. 1176-1185, (2016).
4. Sargolzaei, A., Abdelghani, M., Yen, K., and Sargolzaei, S., "Sensorimotor control: computing the immediate future from the delayed present." *BMC bioinformatics*, Volume 17, no. 7, pp. 501-509, (2016).
5. Sargolzaei, A., Yen, K., and Abdelghani, M.N, M. N., Mehbodniya, Sargolzaei, S., "A Novel Technique for Detection of Time Delay Switch Attack on Load Frequency Control", *Intelligent Control and Automation*, Volume 6, pp. 205-214, October 2015.
6. Sargolzaei, A., Yen, K., and M. N. Abdelghani. "Delayed inputs attack on load frequency control in smart grid." In *Innovative Smart Grid Technologies Conference (ISGT), 2014 IEEE PES*, pp. 1-5. IEEE, (2014).
7. S. Noei, A. Sargolzaei, A. Abbaspour, K. Yen, "A Decision Support System for Improving Resiliency of Cooperative Adaptive Cruise Control Systems", *Complex Adaptive Systems*, Elsevier, (2016).
8. A. Abbaspour, K. Yen, S. Noei, A. Sargolzaei, "Detection of Fault Data Injection Attack on UAV Using Adaptive Neural Network", *Complex Adaptive Systems*, Elsevier, (2016).
9. S. Sargolzaei, A. Sargolzaei, M. Cabrerizo, G. Chen, M. Goryawala, A. Pinzon-Ardila, S. M. Gonzalez-Arias, M. Adjouadi, "Estimating Intracranial Volume in Brain Research: An Evaluation of Methods", *Neuroinformatics journal*, Springer, IF: 2.82, (2015).
10. S. Sargolzaei, A. Sargolzaei, M. Cabrerizo, M. Goryawala, Q. Zhou, S. Noei, G. Chen, R. Duara, W. Barker and M. Adjouadi, "Intracranial volume estimation in patients with Alzheimer's disease", *BMC Bioinformatics*, Springer, IF: 2.57 (2014).
11. S. Sargolzaei, M. Cabrerizo, A. Sargolzaei, S. Noei, H. Rajaei, A. Salah Eddin, A. Pinzon-Ardila, S. M. Gonzalez Arias, P. Jayakar and M. Adjouadi, "A probabilistic approach for pediatric epilepsy diagnosis using brain functional connectivity networks", *BMC Bioinformatics*, Springer, IF: 2.57, (2014).
12. A. Moghads, A. Sargolzaei, A. Sarwat, K. Yen, "Active and Reactive Power Control for Three-Phase PV Module-Integrated Converter Based on a Single-Stage Inverter", *IEEE Applied Power Electronics (APEC 2017)*, Tampa, FL, USA, (2017).
13. A.Moghadas, A. Sargolzaei, A. Sarwat, K. Yen, "Model Predictive Power Control Approach for Three-Phase Single-Stage Grid-Tied PV Module-Integrated Converter", *IEEE Industry Applications Society Annual Meeting*, Portland, OR, USA, (2016).

10. List the most recent professional development activities

- Serves as a chair and reviewer of several international conferences.
- Gave lectures in international conferences and workshops in electrical and electronic engineering.
- Reviewing Ph.D. theses as an external examiner for Florida International University.

1. **Name:** Saman Sargolzaei

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.	Electrical and Computer Engineering	Mazandaran University, Babol	2006
M.Sc.	Electrical Engineering	Amirkabir University of Technology, Tehran	2009
M.Sc.	Electrical and Computer Engineering	University of Mimai, FL	2012
Ph.D.	Electrical Engineering	Florida International University, FL	2015

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Visiting assistant professor	2019 -	FT
University of California Los Angeles (UCLA)	Postdoctoral scholar	2016 - 19	FT
Wentworth Institute of Technology	Visiting assistant professor	2015 - 16	FT
Georgia Institute of Technology (GaTech)	Postdoctoral fellow	2015	FT

4. **Non-Academic Experience**

5. **Certifications or Professional Registrations**

- “Course Development and Education Leadership”, UCLA Bioscience Postdoc Educational Leadership Program, Spring 2018.
- “An Introduction to Evidence-Based STEM Undergraduate Education”, The Center for the Integration of Research Teaching and Learning (CIRTL), Spring 2017.

6. **Current Membership in Professional Organizations**

- Member, The Institute of Electrical and Electronics Engineers (New York)
- Member, Engineering in Medicine and Biology Society (EMBS)

7. **Honors and Awards**

- 2017 – National Neurotrauma Society sensor workshop award.
- 2017 – National Neurotrauma Society meeting travel award.
- 2015 – Worlds’ Ahead Graduate Recognition by FIU Office of the President.
- 2015 – Outstanding Graduate Student Life Award by FIU Office of the Provost.
- 2014 – Recipient of Perry (FIU founding president) graduate scholarship.

8. **Service Activities** (within and outside of the institution)

- Publication committee member, Department of computer science, Florida Polytechnic University.
- Grad SLAM semi-final judge, University Graduate School, University of California Los Angeles.
- Chair of social committee, Postdoctoral association, University of California Los Angeles.
- Technology fee advisory council member, Florida International University.
- Faculty senate academic misconduct committee member, Florida International University.
- Graduate student advisory board member, University Graduate School, Florida International University.
- Reviewer for IEEE journal of biomedical health and informatics, IEEE Transactions for biomedical circuits and systems, Neural regeneration research, PLOS One, Computers in biology and medicine, Journal of applied statistics.

- Community services for Autism Speaks, Dance Marathon, Race for Hope, Kids Club.

9. List the Most Important Publications and Presentations from the Past Five (5) years

- S. Sargolzaei, A. Sargolzaei, M. Cabrerizo, G. Chen, M. Goryawala, A. Pinzon-Ardila, S. Gonzalez-Arias, M. Adjouadi. "Estimating intracranial volume in brain research: an evaluation of methods." *Neuroinformatics* 13.4 (2015): 427-441.
- S. Sargolzaei, H. Elahi, A. Sokoloff, M. Ghovanloo. "A Dual-Mode Magnetic–Acoustic System for Monitoring Fluid Intake Behavior in Animals." *IEEE Transactions on Biomedical Engineering* 64.9 (2016): 2090-2097.
- S. Sargolzaei, M. Cabrerizo, A. Sargolzaei, S. Noei, A. Eddin, H. Rajaei, A. Pinzon-Ardila, S. Gonzalez-Arias, P. Jayakar, M. Adjouadi. "A probabilistic approach for pediatric epilepsy diagnosis using brain functional connectivity networks." *BMC bioinformatics* 16.7 (2015): S9.
- S. Sargolzaei, A. Sargolzaei, M. Cabrerizo, G. Chen, M. Goryawala, S. Noei, Q. Zhou, R. Duara, W. Barker, M. Adjouadi. "A practical guideline for intracranial volume estimation in patients with Alzheimer's disease." *BMC bioinformatics* 16.7 (2015): S8.
- S. Sargolzaei, M. Cabrerizo, M. Goryawala, A. Eddin, and M. Adjouadi. "Scalp EEG brain functional connectivity networks in pediatric epilepsy." *Computers in biology and medicine* 56 (2015): 158-166.
- N. Maria, S. Sargolzaei, M. Prins, E. Dennis, R. Asarnow, D. Hovda, N. Harris, C. Giza. "Bridging the gap: Mechanisms of plasticity and repair after pediatric TBI." *Experimental neurology* (2019).
- A. Sargolzaei, K. Yen, M. Abdelghani, S. Sargolzaei, B. Carbanar. "Resilient design of networked control systems under time delay switch attacks, application in smart grid." *IEEE Access* 5 (2017): 15901-15912.
- A. Sokoloff, Z. Yang, S. Sargolzaei, K. Strait, A. Krasnopeyev, K. Easley, S. Mimche, M. Ghovanloo. "Magnetic implants in the tongue for assistive technologies: Tests of migration; oromotor function; and tissue response in miniature pigs." *Archives of oral biology* 81 (2017): 81-89.
- A. Sargolzaei, K. Yen, M. Abdelghani, A. Abbaspour, S. Sargolzaei. "Generalized attack model for networked control systems, evaluation of control methods." *Intelligent Control and Automation* 8.03 (2017): 164.

10. List the most recent professional development activities

- Mentoring an IEEE Computer Science Society undergraduate student club for technical and research paper writing.
- Served for three years as application reviewer for UCLA Undergraduate Research Scholars Program (URSP).
- Certified for Course Development and Education Leadership, UCLA Bioscience Postdoc Educational Leadership Program.
- Completed Spring 2017 CIRTL Network MOOC, An Introduction to Evidence-Based STEM Undergraduate Education.
- Submitted a research grant funding to Department of Defense (DoD) Epilepsy Research program.
- Gave two invited talks at UCLA Synapse to Circuit club (2018) and NIH Neuroimaging Research Core (2016).

1. **Name:** Onur Toker

2. **Degrees**

Degree	Discipline	Institution	Year
B.S.	Electrical Engineering	Bogazici Univ., Istanbul/Turkey	1990
	Mathematics		1990
	Physics		1990
M.S.	Electrical Engineering	Ohio State, Columbus OH	1992
	Mathematics		1994
Ph.D.	Electrical Engineering	Ohio State, Columbus OH	1995

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University Dept. of Electrical and Computer Engineering	Associate Prof. of Computer Engineering	2018 -	FT
TC Fatih Univ., Istanbul/Turkey Dept. of Electrical and Electronics Engineering	Associate Prof., Prof. (2012) of Electrical and Electronics Engineering	2004-2016	FT
K.F.U.P.M., Dhahran/K.S.A. College of Computer Sciences and Engineering	Assistant Prof., Associate Prof. (2004) of Computer Science and Engineering	1997-2004	FT
Univ. of California, Riverside Dept. of Electrical Engineering	Postgraduate Researcher	1996-1997	FT
Eindhoven Univ. of Technology, The Netherlands	Postdoctoral Researcher	1995-1996	FT

4. **Non-Academic Experience**

Company	Job Title & Position Description	Period	FT/PT
Stealth Mode Startup	Embedded Software Engineer	2018-2018	PT
DAQRI Sunnyvale, CA / Pasadena, CA	FPGA Design Engineer	2017-2018	FT
Quanergy Sunnyvale, CA	Embedded Systems Engineer	2017-2018	FT
Teknobil Istanbul/TURKEY	SW Developer, Consultant	1998-2004	PT

5. **Certifications or Professional Registrations**

6. **Current Membership in Professional Organizations**

- Member, Institute of Electrical and Electronics Engineers (IEEE)

7. **Honors and Awards**

- Interdisciplinary Research award, College of Computer Sciences and Engineering, KFUPM, 2004
- Interdisciplinary Research award, College of Computer Sciences and Engineering, KFUPM, 2003
- DISC Fellowship award, 1996.
- Best presentation award, ACC 1995 (WA-16 session).
- Ohio State University Presidential Fellowship award, 1994.

- Bogazici University Dean's High Honor List, 1990.
- Ranked first among the graduating seniors in the double major program, and received an award from the Rector of the University, 1990.

8. **Service Activities** (within and outside of the institution)

- Reviewed several papers for various international journals and conferences.

9. **List the Most Important Publications and Presentations from the Past Five (5) years**

1. O. Toker, H. Gumuskaya, C. Ulas, and B. T. Yılmaz, "Lightweight Wireless Protocol Based on IEEE 802.11 for Delay Sensitive Telerobotic Systems, T. Journal of Electrical Engineering & Computer Sciences, Vol. 21, No. 5 (2013), pp. 1394-1410.
2. H. S. Efendioglu, T. Yıldırım, O. Toker, and K. Fidanboyly, "New statistical features for the design of fiber optic statistical mode sensors", Optical Fiber Technology, vol. 21 (2013), pp. 279-284.
3. F. Camcı, C. Ozkurt, O. Toker, V. Atamuradova, "Sampling based State of Health estimation methodology for Li-ion batteries", Journal of Power Sources, vol. 278 (2015), pp. 668-674.
4. B. Enez, E. Gur, B. Okur, O. Toker, A. Sisman, "A Low-cost Biomarker-based SAW-Biosensor Design for Early Detection of Prostate Cancer," Biosensors 2016 (26th Anniversary World Congress on Biosensors), Gothenburg, Sweden (2016).
5. M. B. Alver, O. Toker, K. Fidanboyly, "Polar Format Statistical Image Processing Based Fiber Optic Pressure Sensors", Proc. SPIE 9217, Applications of Digital Image Processing XXXVII, San Diego, CA (2014), pp. 9217F-1 - 9217F-7.
6. K. Alemdar, S. Likoglu, K. Fidanboyly, O. Toker, "A Novel Periodic Macrobending Hetero-core Fiber Optic Sensor Embedded in Textile for Respiratory Movements Analysis", Proc. SPIE 9062, Smart Sensor Phenomena, Technology, Networks, and Systems Integration, San Diego, CA, (2014), pp. 90620D-1 - 90620D-11.
7. S. Likoglu, K. Alemdar, K. Fidanboyly, O. Toker, "A Novel Microbending Hetero-Core Fiber Optic Sensor for Force and Location Sensing with Applications to Home Security", Proc. SPIE 9062, Smart Sensor Phenomena, Technology, Networks, and Systems Integration, San Diego, CA, (2014), pp. 90620C-1 - 90620C-11.
8. C. Ozkurt, F. Camcı, B. Esat, O. Toker, "Cost Benefit Analysis of Individual Cell Control in Batteries for Electric Vehicles", 23rd IEEE International Symposium on Industrial Electronics (ISIE), Istanbul, Turkey, (2014), pp. 1800-1804.
9. H. Efendioglu, T. Yıldırım, O. Toker, K. Fidanboyly, "Intelligent fiber-optic statistical mode sensors using novel features and artificial neural networks", Proc. SPIE 8693, Smart Sensor Phenomena, Technology, Networks, and Systems Integration, San Diego, CA, (2013).

10. **List the most recent professional development activities**

- Reviewed Ph.D. theses as an external examiner for Istanbul Technical University (ITU)

1. **Name:** Muhammad S. Ullah

2. **Degrees**

Degree	Discipline	Institution	Year
B.Sc.(Eng.)	Electrical and Electronic Engineering	Chittagong University of Engineering and Technology, Bangladesh	2008
M.SE.	Electrical and Computer Engineering	Purdue University Northwest, USA	2013
Ph.D.	Electrical and Computer Engineering	University of Missouri-Kansas City, USA	2016

3. **Academic Experience**

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University	Assistant Professor	August 15, 2016-	FT
University of Missouri-Kansas City	Instructor and Graduate Research Assistant	August 2013-May 2016	PT
Purdue University Northwest	Graduate Teaching and Research Assistant	August 2011-May 2013	PT
Chittagong University of Engineering and Technology	Lecturer	September 2008-August 2011	FT

4. **Non-Academic Experience**

Company	Job Title & Position	Period	FT/PT
Microwave Packaging Technology, Inc	R&D Engineer	May 2015-August 2015	PT

5. **Certifications or Professional Registrations**

- Training Certificate in Industrial Control with PLC, Institute of Energy Technology at Chittagong University of Engineering and Technology, June 2008
- Training Certificate in Industrial Technology on Electrical and Instrumentation, Training Institute for Chemical Industries, Bangladesh, May 2007

6. **Current Membership in Professional Organizations**

- Professional Member, Association for Computing Machinery (ACM)
- Professional Member, Institute of Electrical and Electronic Engineering (IEEE)

7. **Honors and Awards**

- December 2017 **Teen Driver Education Task Force Choice Award**, Office of the Tax Collector, 5th Annual Polytechnic BIO Expo, Florida Polytechnic University.
- April 2017 **Florida Polytechnic University's President Choice Award**, 4th BIO EXPO Award Ceremony, Florida Polytechnic University.
- April 2016 **Best Poster Presentation Award**, University of Missouri-Kansas City Community Scholar Symposium
- January 2016 **Interdisciplinary Applied Mathematics Fellowship (IAMP) Award**, Department of Mathematics and Statistics, University of Missouri-Kansas City
- April 2015 **Preparing Future Faculty Scholar Award**, The School of Graduate Studies, University of Missouri-Kansas City
- May 2015 **Outstanding PhD Student Award**, The School of Computing and Engineering, University of Missouri-Kansas City
- August 2013-May 2016 **Graduate Teaching and Research Assistantships**, Department of Computer Science Electrical Engineering, University of Missouri-Kansas City
- May 2013 **Purdue University Calumet Chapter of Sigma Xi Student Research Award**, Sigma Xi-The Scientific Research Society, USA
- April 2013 **Student Research Day Presentation Award**, The Graduate School, Purdue University Calumet

8. **Service Activities** (within and outside of the institution)
 - **Member**, Academic Standard Committee, Florida Polytechnic University (2016~)
 - **Member**, Computer Engineering Search Committee (2017-2018), Computer Science and Information Technology (2016-2017), Computer Engineering Search Committee (2017~2018)
 - **Judge**, Middle School Physical, Florida Junior Academy of Science, Florida Polytechnic University, March 11, 2017.
9. **List the Most Important Publications and Presentations from the Past Five (5) years**
 1. **M. S. Ullah**, Abdullah G. Alharbi and Masud H. Chowdhury, "BPSK Modulation Based Exact BER Computation for Network Intra-Chip RF Interconnect," *The 29th IEEE International Conference on Microelectronics*, Beirut, Lebanon, pp. 91-94, 10- 13 December 2017.
 2. **M. S. Ullah** and Masud H. Chowdhury, "Analytical Models of High Speed RLC Interconnect Delay for Complex and Real Poles," *IEEE Transactions on Very Large Scale Integration Systems*, vol. 25, no. 6, pp. 1831-1841, February 2017.
 3. **M. S. Ullah** and Masud H. Chowdhury, "Subthreshold Swing Characteristics of Multilayer MoS₂ Tunnel FET," *IEEE 58th International Midwest Symposium on Circuits and Systems*, Fort Collins, Colorado, pp. 1-4, 2-5 August 2015.
 4. **M. S. Ullah** and Masud H. Chowdhury, "Multilayer Molybdenum disulphide based Tunnel Transistor" *IEEE International Symposium on Circuits and Systems*, Lisbon, Portugal, pp. 1929-1932, 24-27 May 2015.
 5. **M. S. Ullah** and Masud H. Chowdhury, "A new real pole delay model for RLC interconnect using second order approximation," *IEEE 57th International Midwest Symposium on Circuits and Systems*, College Station, TX, USA, pp. 238-241, 3-6 August 2014.
 6. **M. S. Ullah** and Masud H. Chowdhury, "Analysis of RLC interconnect delay model using second order approximation," *IEEE International Symposium on Circuits and Systems*, Melbourne, Australia, pp. 2756-2759, 1-5 May 2014.
 7. **M. S. Ullah** and K. Gopalan, "Deception detection in speech using Bark band and perceptually significant energy features," *IEEE 56th International Midwest Symposium on Circuits and Systems*, Columbus, OH, USA, pp.1212-1215, 3-7 August, 2013.
 8. **M. S. Ullah**, "A review of higher order statistics and spectra in communication systems," *The Global Journal of Science Frontier Research*, vol. 13, no. 4, pp. 31-50, May 2013.

10 List the most recent professional development activities

- Journal Paper Review
 - Reviewer, *IEEE Transactions on Very Large Scale Integration Systems*, *Microelectronics Journal*, Elsevier, *Journal of Circuit, Systems and Signal Processing*, Springer
- Seminars Attend
 - "The Future of STEM Education and Research", The 81st Annual Meeting of the Florida Academy of Sciences at Florida Polytechnic University, Lakeland, FL, March 10, 2017.
 - The Division of Diversity and Inclusion's Eighth Annual Martin Luther King Jr. Lecture on "Building Community in an Hour of Chaos: Progress in the Age of Obama", UMKC Pierson Auditorium, January 27, 2016
 - Effective Teaching Practice Session class that organized by Association of College and University Educators (ACUE), UMKC Hospital Hill Campus, September 22, 2015
- Workshops, Technical Presentations and Seminars
 - "TFET-An Energy Efficient Electronic Device for Future Nanoscale Technology," Faculty Research on Renewable Energy and Sustainability Showcase Hour, Lakeland, FL, 9th -10th October 2017
 - "Accuracy Characterization of High Speed VLSI Interconnect Network," The 81st Annual Meeting of the Florida Academy of Sciences, Lakeland, FL, March 10-11, 2017.

1. Name

Jorge M. Vargas

2. Degrees

Degree	Discipline	Institution	Year
B.Sc.	Electrical Engineering	Florida International University (FIU)	1999
M.Sc.	Electrical Engineering	Florida International University (FIU)	2001
Ph.D.	Electrical Engineering	Florida International University (FIU)	2005

3. Academic Experience

Institution	Rank & Title	Period	FT/PT
Florida Polytechnic University (FPU)	Associate Professor, APC	2013-present	FT
Turabo University	Associate Professor	2009-2013	FT
Turabo University	Assistant Professor	2006-2009	FT

4. Non-Academic Experience

Company	Job Title & Position Description	Period	FT/PT
FIU, FAST Center- Future Aerospace Science and Technology	RA and Electrical Engineer: R&D	2002-2005	FT
IBM Microelectronics Division	Product Development Engineer: Product Dev.	2001-2002	FT
FIU, FAST Center- Future Aerospace Science and Technology	Graduate Research Assistant: RF/ Microwave Eng.	1999-2001	FT

5. Certifications or Professional Registrations

N/A

6. Current Membership in Professional Organizations

- IEEE- Senior member
- ASEE
- Eta Kappa Nu
- SHPE

7. Honors and Awards

- 5-year service recognition at Florida Poly, 2019
- Nominated for the Exemplary Service to Others award, FPU, 2018
- Institutional Excellence Award (runner-up), FPU, 2017
- Distinguished Graduate of the Graduate School, FIU, 2005

- Outstanding PhD award (runner-up), Florida International University, 2005
- Distinctive Student Award, FIU, 2001 and 2004

8. Service Activities

- Reviewer for IEEE Transactions on Applied Superconductivity
- Reviewer for IEEE Microwave and Wireless Components Letters

9. List the Most Important Publications and Presentations

- Akbas M., Sargolzaei A., Alnaser A., Sahawneh S., Alswiss S., Vargas J., Razdan R. “Unsettled Technology Areas in Autonomous Vehicle Test and Validation,” SAE EDGE, SAE International, June 2019
- Vargas J., Alswiss S., Jernigan M., Amin A., Brinkmann M., and Razdan R., “Development of Sensors Testbed for Autonomous Vehicles”, IEEE South East conference, April. 2019, Alabama, USA.
- Carpenter M., Yakymyshyn C., Micher L., Drake C. and Vargas J. “Proposal-Based Learning for Freshman Introduction to Engineering,” ASEE, 2016. DOI:10.18260/p.26009; and permanent URL: <https://peer.asee.org/26009>
- Vargas J. M., Hijazi Y., Vlasov Y.A. and Larkins G.L., Jr. “Effectiveness of BaTiO₃ dielectric patches on YBCO thin films for MEM switches.” *Journal of Physics: Conf. Series Institute of Physics*, 2014, 507(4):042045.
- Vargas J. M., Bogozi A., Noel J., Hijazi Y., Vlasov Y.A. and Larkins G.L., Jr. “Reliability of suspended bridges on superconducting microstrip filters using MEMS switches.” *IEEE Trans. On Appl. Supercond.* , 2011, v. 21, no. 3, p. 567-570.
- Vargas J.M., Noel J., Brzhezinskaya M., Vlasov Yu.A., Larkins G.L., Jr. “Design and fabrication of two switched superconducting microstrip hairpin filters using series MEM switches.” *IEEE Trans. On Appl. Supercond.*, 2007, v. 17, no. 2, p. 898-901.
- Martinez J.A., Brzhezinskaya M., Bogozi A., Vargas J.M., Vlasov Y.A., Larkins G.L. Jr. “Optimization of a MEMS Switched Superconducting Microstrip Hairpin Filter.” *Advances in Cryogenic Engineering*, 2006.
- Bogozi A., Brzhezinskaya M., Martinez J., Vargas J.M., Vlasov Y.A., Larkins, G.L. Jr., Datye A.V., Wu K.H. “Advances in Elastic Modulus Study of Gold Thin Film for Use as an Actuated Membrane in a Superconducting RF MEM Switch.” *Advances in Cryogenic Engineering*, 2006.

10. List the most recent professional development activities

- Work with local industries such as Green Road Energy to establish senior design projects at Florida Poly
- Co-advise graduate students at Florida Poly
- Served as an Academic Program Coordinator (APC) at Florida Poly
- Made efforts relating course development, EE program development, graduate program development, equipment selection, and lab space development in the EE department at Florida Poly

Appendix D. Faculty Workload Summary

Faculty Workload Summary for Cybersecurity Engineering Academic Year 2019 – 2020

Faculty Member	PT or FT	Classes Taught (Course No./Credit Hrs.) Term and Year	Teaching	Research or Scholarship	Service / Other	% Time Devoted to the Program
Fall 2019						
Computer Engineering						
Youssif Al-Nashif	FT	CAP 5830-Modeling and Simulation CIS 4367-Computer Security COP 2034-Intro to Programming Using Python COP 4935C-Senior Design 2 EEL 5741-Microcomputers	71%	7%	22%	100.0%
Balasubramanian Chandrasekaran	FT	EEL 4664C-Kinematics and Control of Robotic Systems EEL 4768C-Computer Architecture and Organization (2 sections) EGS 5930-Adv. Kinematics and Control of Robotic Systems	58%	33%	8%	100.0%
Navid Khoshavi Najafabadi	FT	CIS 4362-Applied Cryptography EEL 4768-Computer Architecture and Organization (2 sections)	60%	13%	27%	100.0%
Ashiq Sakib	FT	EEL 3702C-Digital Logic Design CDA 3631C-Embedded Operating Systems	75%	15%	10%	100.0%
Muhammad Ullah	FT	CDA 4210-VLSI Design EEE 4510-Digital Signal Processing EEL 3702C-Digital Logic Design (2 sections)	92%	0%	8%	100.0%
Onur Toker	FT	EEL 4746-Microcomputers EEL 4914C-Senior Design 1 EEL 4915C-Senior Design 2	80%	15%	5%	100%
Rawa Adla	FT	EEL 4746-S1 Microcomputers EEL 4746-S2 Microcomputers	75%	15%	5%	100%
Electrical Engineering						
Jorge Vargas	FT	EEL 3111C-Circuits 1 EEL 3470-Electromagnetic Fields and Applications	75%	15%	10%	100%
Harish Chintakunta	FT	EEL 3111C-Circuits1 (2 sections) EEL 4515-Digital Communication Systems (Independent Study) EGN 4930-Software Defined Radio Communications EEL 3804C-Analog Electronics	75%	17%	8%	100%
Suleiman Alsweiss	FT	EEL 3112C-Circuits2 EEL 4508-Satellite Communication	75%	15%	10%	100%
Arman Sargolzaei	FT	EEE 4531C-Techniques for High Fidelity Signal Acquisition EEL 4652-Control Theory	65%	25%	10%	100%
Muhammad Rashid	FT	EEL 4242-Power Electronics (3 credits) EEL 5245-Power Electronics (3 credits)	50%	10%	50%	100%
Mahmoud Saleh	FT	None	0%	90%	10%	100%

Faculty Member	PT or FT	Classes Taught (Course No./Credit Hrs.) Term and Year	Teaching	Research or Scholarship	Service / Other	% Time Devoted to the Program
Mohammad Reza Khalghani	FT	EEL 3287- Renewable Energy and Sustainability IDS 1380- Introduction to STEM EEL 4251- Power Systems Analysis	75%	15%	10%	100%
Md Selim Habib	FT	EEE 3310-Digital Electronics EEE 4351-Electronic Devices EEL 4448-Optoelectronics	75%	17%	8%	100%
Hisham Mahmoud	FT	EEL 3135 Systems and Signals EEL 4220 Electronic Motor Control EEL 5235 Electronic Motor Control	70%	20%	10%	100%
Computer Science						
Luis Jaimes	FT	COP 4610-Operating Systems Concepts (3 sections)	69.3%	15.3%	15.3%	100%
Kanwalinderjit Gagneja	FT	CIS 4203-Digital Forensics (2 sections) COP 2271C-Intro to Computation & Programming	69.3%	15.3%	15.3%	100%
Ashok Patel	FT	CIS 4204-Ethical Hacking (2 sections) CIS 4369 Web Applications Security	69.3%	15.3%	15.3%	100%
Wei Ding	FT	COP 2272C-Computer Programming 1 (2 sections) COP 3834C-Web Application Development	69.3%	15.3%	15.3%	100%
Bayazit Karaman	FT	CDA 2108-Intro to Computer Systems COP 4415-Data Structures (2 sections)	69%	23%	8%	100%
Spring 2020						
Computer Engineering						
Youssif Al-Nashif	FT	COP 2271C – Intro to Computation & Programming IDS 5975 – Thesis 2 (2 students)	25%	42%	33%	100%
Balasubramanian Chandrasekaran	FT	EEL 4660C & EEL 5669C-Autonomous Robotic Systems EEL 4768C-Computer Architecture & Organization (2 sections) EGN 1007C-Concept & Methods EGN 5975-Thesis 2 (2 students)	83.3%	8.3%	8.3%	100%
Navid Khoshavi Najafabadi	PT	CIS 4362-Applied Cryptography COP 3530-Data Structures & Algorithms EEL 4768C-Computer Architecture & Organization	75%	16%	9%	100%
Ashiq Sakib	FT	EEL 3702C- Digital Logic Design CDA 4685C- Embedded Control CDA 5685C- Embedded Control	75%	15%	10%	100%
Muhammad Ullah	FT	EEL 3702C Digital Logic Design (2 sections) EEL 4794 Power Aware Design EGN 5975 Thesis 2 (1 student)	63%	29%	8%	100%
Onur Toker	FT	EGN 1007C – Concepts and Methods EEL 4914C Senior Design 1 EEL 4915C Senior Design 2	85%	15%	5%	100%
Rawa Adla	FT	EEL 4746 C – Microcomputers- 2 sections	50%	42%	8%	100%
Electrical Engineering						
Jorge Vargas	FT	EEL 3111C-Circuits 1 EEL 4421-RF and Microwave Systems	75%	15%	10%	100%
Harish Chintakunta	FT	EEL 3111C-Circuits 1 (2 sections) EEL 4515-Digital Communication Systems	67%	25%	8%	100%

Faculty Member	PT or FT	Classes Taught (Course No./Credit Hrs.) Term and Year	Teaching	Research or Scholarship	Service / Other	% Time Devoted to the Program
Suleiman Alsweiss	FT	EEL 4759-Digital Image Processing EEL 5820-Advanced Digital Image Processing EEE 4510-Digital Signal Processing EEE 5507-Advanced Digital Signal Processing	75%	15%	10%	100%
Arman Sargolzaei	FT	EEL 4321C-Hardware or System in the Loop Simulation and Characterization- EEL 4612-Control System Design EEL 5613-Modern Controls	85%	5%	10%	100%
Muhammad Rashid	FT	EEE 5311-Analog IC Design	25%	10%	65%	100%
Mahmoud Saleh	FT	EEL 3112C-Circuits 2 (2 sections)	33%	58%	8%	100%
Mohammad Reza Khalghani	FT	EEL 4283- Renewable Energy Systems EEL 4290- Sustainability for Engineering Technology and Entrepreneurs EEL 5283- Advanced Renewable Energy Systems	75%	15%	10%	100%
Md Selim Habib	FT	EEE 3304C-Analog Electronics EEE 3310-Digital Electronics EEE 4376-Analog Integrated Circuits EGN 1007C-Concepts & Methods	67%	25%	8%	100%
Hisham Mahmoud	FT	EEL 3135 Systems and Signals EEL 3211C Basic Electric Energy Engineering	70%	20%	10%	100%
Computer Science						
Luis Jaimes	FT	CAP 4612-Machine Learning CAP 4610-Operating Systems Concepts (2 sections) IDS 5975-Thesis (1 student)	77%	15%	8%	100%
Kanwalinderjit Gagneja	FT	CIS 4203-Digital Forensics CNT 4409-Network Security COP 2271C-Intro to Computation & Programming	75%	17%	8%	100%
Ashok Patel	FT	CIS 4204-Ethical Hacking CIS 4369-Web Application Security COP 2271C-Intro to Computation & Programming COP 3337C-Object Oriented Programming	77%	15%	8%	100%
Wei Ding	FT	CNT 3004C-Intro to Computer Networks (2 sections) COP 5272-Computation Theory	75%	17%	8%	100%
Bayazit Karaman	FT	CDA 2108-Intro to Computer Systems COP 3337C-Object Oriented Programming (2 sections)	75%	15%	8%	100%

Article 12: Salary for the Collective Bargaining Agreement with the United Faculty of Florida

ARTICLE 12
SALARIES
[AMENDED MAY 6, 2020]

The parties of this Agreement recognize the importance of providing appropriate compensation as an essential component in the delivery of quality higher education programs and quality scholarship that is recognized nationally and internationally.

12.1 Annual Salary Increases. The following table describes the implementation of merit increases throughout the life of this Agreement with the qualifications described below.

BARGAINING-UNIT MEMBER ON PAYROLL AS OF:	PERIOD OF PERFORMANCE REVIEWED FOR MERIT	INCREASE TAKES EFFECT FIRST PAY PERIOD:	MERIT INCREASE TO BASE SALARY AMOUNT ¹ :
June 30, 2018	AY 2017 – 2018	January 17, 2019	ME: 2% EE: 2.75% EX: 3.5%
June 30, 2019	AY 2018 – 2019	July 1, 2019	0%
June 30, 2020	AY 2019 – 2020	July 1, 2020	0%

¹ME: Meets Expectations; EE: Exceeds Expectations; EX: Exemplary.

Eligibility: The salary increases described in the above table in Section 12.1 shall be distributed to each bargaining unit member if the bargaining unit member received an annual evaluation and received a rating of “Meets Expectations” or above; individuals that received below a “Meets Expectations” are not eligible for any increase.

12.2 Other Increases (OI). The University BOT may provide annual OIs up to one percent (1.0%) of the total salary rate of the bargaining-unit.

(a) OIs may be granted at any time at any time in the following circumstances:

1. In response to verified written offers of outside employment;
2. As recognition for special achievements and/or exceptional merit, including, but not limited to, awards from national or international academic/professional community or funding agencies;
3. To address compression and inversion;



May 6, 2020

May 6, 2020

- 1 4. For equity and market equity considerations;
- 2 (b) No other OIs shall be provided unless negotiated with UFF and ratified by both parties.
- 3 (c) The University shall notify the UFF annually on OI.

4 12.3 University Awards.

- 5 (a) The University may provide a competitive annual Employee awards program to
6 acknowledge and celebrate the efforts of Employees for their contribution in making
7 the University a world-class leader in science, technology, engineering and math
8 (STEM) education.
- 9 (b) Awards that have a monetary component must be awarded as the result of a
10 competitive process open to all Employees covered by this contract. The process and
11 criteria for the award must be clearly defined and shared with all eligible Employees.
- 12 (c) The total pool for competitive awards for bargaining unit members will not exceed
13 \$5,000.
- 14 (d) This section shall retroactively apply to recipient(s) of the 2018 Ablaze Awards.

15 12.4 Promotion Increases. A bargaining-unit member who receives a promotion utilizing the
16 promotion procedures in this collective bargaining agreement shall receive the base-salary
17 increase shown below, effective August 15 following the academic year in which the successful
18 review takes place.

CURRENT RANK	PROMOTION RANK	PROMOTION INCREASE TO BASE SALARY AMOUNT
Assistant Professor	Associate Professor	9% or increase to minimum of 90% of median target salary, whichever is greater
Associate Professor	Professor	9% or increase to minimum of 90% of median target salary, whichever is greater

19 Median target salary noted in the above table is the median salary provided by College and
20 University Professional Association (CUPA) for the rank and field for the individual using the
21 following target universities, when they participate in the salary survey, as comparators: Alfred
22 University, Kettering University, Rose-Hulman Institute of Technology, South Dakota School
23 of Mines, University of Alaska Southeast, University of Central Florida, University of South
24 Florida, Clarkson University, Colorado School of Mines, Franklin W. Olin College of




1 Engineering, Illinois Institute of Technology, Oregon Institute of Technology, Rochester
2 Institute of Technology.

3 12.5 Legislatively Mandated Increases. Any additional legislatively mandated increases shall be
4 implemented following the corresponding law and do not conflict with this agreement.

5 12.6 Salary floors. The salary floors for all bargaining-unit members with meets-expectations ratings
6 or above shall follow 85% of the median salary (parity level) for comparable roles and
7 comparable ranks in the target salary for peer institutions.

8 12.7 Starting Salary. All bargaining-unit positions will be hired at a starting salary commensurate
9 with their experience. It is expected that those salaries will typically be within 20% of
10 employees within that unit at a similar rank and/or experience level. In exceptional cases,
11 bargaining-unit positions may be hired at a salary above that range contingent on extraordinary
12 experience and extramural funding.

13 12.8 Grievability. The only issues to be addressed in a grievance filed pursuant to this Agreement
14 (Article 11) alleging violation of this Article are whether there is unlawful discrimination
15 pursuant to state or federal law, or whether there is an arbitrary and capricious application of
16 the provisions of one or more sections of this Article.

17 12.9 Increases Contingent on Receipt of New Recurring/Non-Recurring Funds. Unless the
18 University chooses to fund the increases, and in the event the University does not receive
19 sufficient new legislative or performance funding to fund the salary increases, they shall
20 become void and re-opened for negotiations by the parties.

21 12.10 Labor Management Committee. The University and the UFF agree to form a Labor
22 Management Committee (“Committee”) for the purpose of examining opportunities for
23 advancement (i.e. promotions, longevity increases, etc.) for employees holding the title of
24 Instructor, Assistant Librarian, or Wellness Counselor. The Committee shall meet and confer,
25 with the intention that the Committee will make a recommendation to the collective bargaining
26 teams for possible inclusion in the next collective bargaining agreement. The Committee shall
27 consist of a minimum of two representatives each from the University and UFF. At least one
28 representative from the University should hold the title of Vice Provost or higher. The
29 Committee shall be formed and have its first meeting within six (6) months from the
30 ratification of this Agreement. The Committee shall meet at least three times each semester
31 (fall and spring) unless otherwise agreed, or they have agreed to a recommendation for the
32 University and UFF’s collective bargaining teams. This provision shall expire at the end of this
33 Agreement’s term.



May 6, 2020

May 6, 2020

**MOU with the UFF regarding the change to
remote instruction in spring 2020**

**MEMORANDUM OF UNDERSTANDING
RE: COVID-19 HEALTH EMERGENCY**

During the current health emergency brought on by the coronavirus pandemic, UFF-FPU and the Florida Polytechnic University Board of Trustees are committed to maintaining the productive and efficient operation of the University in a safe and healthy environment. UFF-FPU and Florida Poly Board of Trustees are committed to working together to promote the appropriate solutions to meeting our mission, which is strongly focused on providing education to our students, despite the difficulties that COVID19 has presented to the university and its faculty. To this end, we agree to the following terms and conditions:

1. Faculty shall be provided the option of excluding Spring 2020 Student Assessment of Instruction and any other subjective evaluation regarding remote instructional effectiveness in Spring 2020 of their course delivery from their 2020-2021 annual performance evaluation. Discussion of DFW rate and Course GPA may be considered, but a direct comparison of remote and non-remote, with the expectation that they are equivalent, is not appropriate.
 - a. If a faculty member chooses to exclude Spring 2020 Student Assessment of Instruction and any other subjective evaluation of teaching regarding remote instructional effectiveness in Spring 2020 from the 2020-2021 annual performance evaluation, Spring 2020 Student Assessment of Instruction and any other subjective evaluation of teaching regarding remote instructional effectiveness in Spring 2020 will likewise be excluded from consideration for reappointment or promotion. In reappointment and/or promotion consideration, discussion of DFW rate and Course GPA may be considered BUT direct comparison of remote and non-remote delivery, with the expectation that they are equivalent, is not appropriate.
 - b. If a faculty member chooses not to exclude the items listed in 1a from their performance in Spring 2020 from the 2020-2021 annual performance evaluation, the evaluation will be based on the Amended Evaluation Guidelines which account for the challenges of remote instruction, assessment, and examination.
 - c. Faculty members must declare their choice regarding the evaluator's use of Student Assessment of Instruction and any other subjective evaluation of teaching regarding remote instructional effectiveness in Spring 2020 when they submit the Faculty activity report for the 2020-2021 evaluation period.
 - d. When a faculty member submits their Faculty Activity Report for the 2020-2021 period, they may also, as an addendum to the research section of the FAR, include a statement detailing specific impacts of the COVID19 pandemic on their teaching, research activity, and service. Such a statement will be carefully considered by the evaluator.
 - e. Faculty members that were prevented from conducting research due to circumstances related to the COVID19 pandemic (Ex. Access to labs, travel restrictions, business closures, etc.) shall not be negatively evaluated as a result of those impacts. However, if possible, faculty members must make reasonable attempts to fulfill their obligations as much as possible, using remote tools that are available to them, during this time. A failure to make reasonable attempts to fulfill those obligations may be considered by the evaluator.
2. Faculty who have a teaching assignment during Summer shall receive Amended Evaluation Guidelines which account for the challenges of remote instruction, assessment, and examination. These guidelines are attached to this MOU as an appendix.

3. Florida Polytechnic University policy 1.0061P (Adopted June 3, 2015), and federal and state intellectual property law, shall apply to all course content and course delivery materials created as a result of the mandated transition to online instruction.
 - a. As to Recordings of Remote Instruction (“Recordings”) produced for remote instruction during paid time of the faculty member, which are not produced using significant University *facilities or equipment*:
 - i. Such Recordings are considered to have been developed using significant University Resources under FPU policy 1.0061P(G).
 1. However, if the faculty member wishes to own their individual intellectual property rights as to such Recordings, the faculty member must make a disclosure in writing to the Provost’s Office, consistent with the disclosure requirements described FPU policy 1.0061P(M).
 2. Upon receipt of the disclosure, the University will waive its rights in the disclosed Recordings, pursuant to FPU Policy 1.0061P(T), contingent upon a perpetual nonexclusive, royalty-free grant to the University to use the Recordings for educational and research purposes.
 - ii. University provided computers or tablet devices are not considered as significant facilities nor as significant equipment.
 - b. The University will not waive its rights for Recordings of Remote Instruction or intellectual property which are:
 - i. Developed during paid time of the faculty member and are also produced using significant University facilities or equipment, or
 - ii. Developed in the course of, or pursuant to, other agreement with the University.
 - iii. Developed specifically as a work-for-hire.
4. The impacts of COVID-19 on the Florida Polytechnic University community are changing constantly. Nothing in this memorandum shall be construed as a waiver of the Florida Polytechnic University’s right to implement measures pursuant to directives from appropriate state and/or federal authorities or that the Florida Polytechnic University otherwise deems essential to protecting the health and safety of students, faculty, and staff. Nothing in this memorandum shall be construed as a waiver of the Florida Polytechnic University’s obligation to engage in bargaining over the impacts of such decisions upon request by UFF – Florida Poly.

Appendix A – Amended Annual Evaluation Guidelines for Faculty 2020-2021 (SPRING 2020)

Appendix B – Amended Annual Evaluation Guidelines for Faculty 2020-2021 (SUMMER/FALL 2020)

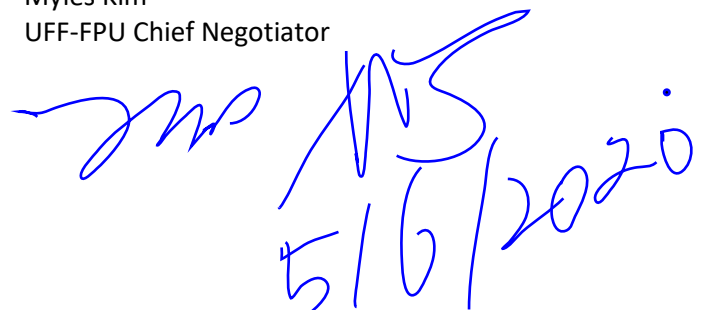
Appendix C – Online Starter Kit Overview



Alexander Landback
FPU-BOT Chief Negotiator

Myles Kim

Myles Kim
UFF-FPU Chief Negotiator



Amended Annual Evaluation Guidelines for Faculty 2020-2021 (For the Remote Instruction period that started on March 16 through the end of the Spring 2020 semester, not to be used for a face-to-face instruction period)

(adopted based on Department Suggestions and Discussion/Recommended by Evaluation Panel)

Evaluators must consider the rank when evaluating teaching, research, and service; said consideration is tied to the expectations based on rank in the faculty handbook

Faculty must comply with and follow instructions of department chair regarding teaching scheduling and standards, research procedures and compliance, and service requirements.

Overall scores consider the fare form credit given.

Evaluation Key:

Unsatisfactory (U)	Performance that is clearly substandard. Performance improvement plan is mandated, and termination may be appropriate.
Needs Improvement (NI)	Performance that is below a reasonable expectation for the faculty rank that an individual holds
Meets Expectations (ME)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description.
Exceeds Expectations (EE)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description. The individual has distinguished themselves in some way by performing at a level that is above a normal expectation for their faculty rank.
Exemplary (E)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description. The individual has truly done something that is outstanding and that is not present in the majority of the faculty.

Teaching:

University teaching and student learning encompass much more than the hours faculty members spend in the classroom. Teaching also involves keeping up with the field (both technical and changes in pedagogy), planning lectures, creating instructional materials, appropriately utilizing the CANVAS LMS, constructing tests, grading papers, mentoring/interacting with students, participating in tutorials, recitations, and formal teaching committees, working with graduate students, supervising student educational assistants (SEAs), conducting office hours, and participating in professional development programs. Because many aspects of teaching remain invisible to students, their evaluations alone are inadequate to provide comprehensive and convergent evidence of teaching effectiveness. In addition to student assessments, some departments may have obtained evaluations from individuals who both understand the subject matter and recognize the intellectual effort and pedagogical merit involved in various instructional activities.

Evaluation Philosophy: Evaluations are earned by faculty and supported by the evidence (both quality and quantity) that a faculty member is performing his or her duties at a certain level. To achieve a “Meets Expectations” rating, a faculty typically *must* perform the appropriate core duties in the teaching that were assigned. An evaluator may consider elements such as number of students and student credit hours supported, number of different courses delivered, and also should consider how effective the communication with students is based on a range of elements including the course syllabus, SAI results and comments, and use of CANVAS.

Elements to consider:

Evidence:

- Courses taught
- Student Credit hours produced
- DFW rate
- Course GPA
- SAI – used carefully noting the transition to the online environment
- Thesis or projects directed, where applicable
- Thesis or projects committee, where applicable
- Instructional materials sufficient to demonstrate performance ratings below

Elements that are core duties and typically, where appropriate, are present to achieve MEETS EXPECTATIONS performance (based on evidence supplied in the dossier):

- Syllabus timeliness, construction, and compliance with required standards
- Presence to deliver course AND be appropriately available to students (e.g. office hours) – for the remote period, evidence of an ongoing effort during the remote period that connects with students on a weekly, or more frequently, basis.
- Participates and cooperates appropriately in multi section courses
- Curricular Rigor; evidence based upon items such as alignment between outcomes and assessments, syllabus, course materials, examinations, and examination practice
- Grading aligns as a fair assessment of mastery of material and is fair to students, noting the challenges of remote instruction and assessment .
- Grading and examination policies and execution lead to proper and fair assessment, noting the challenges of remote instruction and assessment .
- Grades assignments and exams in a timely manner, noting the challenges of remote instruction and assessment, faculty must make a good faith effort to make remote examination and proctoring work properly but are not accountability for system bugs and difficulties.
- Adheres to appropriate student learning outcomes to ensure we provide a quality education: evidenced by examinations and completion of planned course material
- Submits midterm and final grades consistently and on-time, maintains approved syllabus and updated accurate gradebook in Canvas, submits assessment reports and other documentation consistently and on time - noting that there might be some careful changes in syllabi that are appropriately coordinated with other sections.

- Submits attendance reports as required, tracks student attendance in Canvas or appropriate verifiable method
- Appropriate use of SEAs as per department and academic affairs guidelines and demonstrating appropriate responsibility in the delivery of the course
- Appropriate interactions, consistent with university policy and guidelines, with students and appropriate professional behavior in communication with students
- Demonstration of ongoing and reasonable improvements in courses, and a plan for further improvements, that have been delivered multiple times by the faculty member
- Executes teaching duties with honesty and integrity

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating This must be very carefully considered in the context of the institution and is specifically not a list-based, check-box exercise. If a faculty member is clearly demonstrating effectiveness in all of the areas for consideration under meets expectations, with respect to their workload, consideration of exceeds expectation may be appropriate. Evidence presented must support teaching and pedagogical excellence that is distinct from the Meets Expectations requirements. The evaluator must judge the effectiveness of the individual's contribution, and determine if it warrants a higher than Meets Expectation rating.

Examples might be:

- Successful course delivery innovation – has attracted students' interests, increasing retention and curricular progression. Demonstration of effective results in the remote environment, indications of strong foundations for remote delivery.
- Curricular Innovation: New course development, innovation in pedagogy that is significant
- Active Participation in curriculum development for new concentration, or a new degree program
- For Exemplary the faculty has truly done something that is outstanding and that is not present in the majority of the faculty such as:
 - Successful Curricular innovation – has attracted interests from other universities, increasing enrollment
 - Demonstrable impact on student retention and facilitating progression to timely graduation
 - Extraordinary leadership of execution in remote instruction period as evidenced by documented contribution to departmental or institutional efforts that support multiple sections or faculty.

Research:

Research at Florida Poly is evolving as a core duty for the faculty that do not hold the title instructor. While research can be hard to measure, as a core duty, faculty need to demonstrate activity and success in this realm. If faculty do not have time to do research, this will be indicated on their FARE form in terms of the credit granted; where there is no time, the rating should be N/A. Where there is time, the rating expectation must be adjusted to reflect the amount of time available. For instance, if a person has only a small amount of credit available for research, achieving Meets Expectations performance requires demonstrated progress commensurate with the time allocated. If there is more time, the progress must be more significant. Regardless of time available, an above Meets Expectations score requires the presence of items from the evidence list identified below. Research must advance the mission of the university and support the program and concentration(s) in which the faculty member teaches.

The remote instruction period likely produced time availability constraints so that the time available for research may have been impacted. In addition, those with laboratory efforts likely will exhibit slower progress due to lower availability of laboratory time and the personnel to serve laboratory projects. Evaluators will use their judgement as they assess how the broader COVID-19 pandemic might lead to unforeseen consequences that may negatively affect research productivity (e.g. canceled conferences, inability to travel or access necessary resources, etc.).

Elements to consider:

Evidence:

- Refereed Publications
- Non-refereed publications
- Books, book contributions
- Presentations or invited talks
- Funded projects
- Works in Progress where there is work product as evidence
- Proposals submitted
- Editorial position in a national level journal
- Students supported/advised and/or student effort in research programs
- Research activity with students that has an outcome
- Other activity pre-approved by Department Chair and/or Division Director.

Elements that are core duties and typically must be present, as demonstrated by evidence, to achieve MEET EXPECTATIONS performance: Examples are not exhaustive, but all activity must demonstrate impact and relevance to university and field.

Core element that must be present:

- Adequate progress on clearly defined, multi-year research plan (ideally explicitly laid out, but may be evident in other ways)
- Executes research duties with honesty and integrity

Other core elements that are appropriate to consider

- Appropriate pursuit/success in developing a funded research program,
- Works/Proposals in progress reflect substantial progress toward completion and promise of likely success.

- Recognizable major publication (s) or significant grant funding with progress on grant commensurate with grant size
- Substantial industry project with significant impact on research, development, application (where the faculty member secured prior approval, followed appropriate procedures, and advances the research and/or educational mission of the University, department, and/or program.)
- Publication in high impact factor journals
- Research awards such as grants
- Honorific research societies
- Compliance with all rules, regulations, disclosures, and requirements associated with research, including following institutional protocols for engagement with external partners or potential partners.
- Research presentation or publication that receives public recognition and/or publicity, or impacts public policy or enhances the University's economic impact
- Successful publication or presentation at a national conference or significant contribution to a state or regional conference.
- Any of the items in the "Facts" column that hold demonstrable national or international impact or advance the program, department, and university's reputation.

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating

This must be very carefully considered in the context of the institution and is specifically not a list based, check box exercise. Evidence presented must support research excellence that is distinct from the Meets Expectations requirements.

. Examples might be:

- Significant research award from a competitive proposal process
- Publication activity that is of high quality and above the norm for the department

Service

Service comes in a variety of capacities. The basic levels are departmental, division-level (where applicable), and institutional. Institutional service includes University committees but also leadership and advising of student organizations, clubs, or professional societies. Service also includes externally-focused service in the form of community relationships or formal efforts to solicit industry engagement in either curricular or research capacities, or unfunded consulting relationship with local, state, or federal government, private entities, or industry. A third broad category is professional service, which may include affiliations with state or national organizations as an organizer, peer reviewer, society fellow, or other activity that advances the discipline or profession and demonstrates recognition of the faculty-member's expertise and authority.

Elements to consider:

Evidence:

- Nature of service assignments
- Student organizations supervised
- Community-related service
- Industry or other agency service
- Professional service
- Demonstrated contribution and impact of contribution to service roles.

Elements that are core duties and typically must be present to achieve and provide evidence to MEET EXPECTATIONS performance:

- Service remains a core duty that during remote instruction is fulfilled with remote work.
- Executes service duties with honesty and integrity and demonstrates collegiality in performing service roles
- Regular, documented active participation in assigned service duties
- Participation in department meetings
- Demonstrable results or progress made on external service activity
- Significant, demonstrated contribution to internally assigned service roles that enable the unit or organization to fill a gap, solve a problem, or advance in some important way (e.g. contribution to curriculum advisory board relationship).
- Successfully develop or lead co-curricular project such as speaker-series or other events or competitions.
- Initiate meaningful service contribution to program, department, or University.
- Sponsor a new student organization or grow an existing one.
- Enable the organization to achieve positive impact on campus community or a professional society that advances the culture of learning among students in the discipline. All rules must be followed when leading student clubs or organizations.
- Foster significant one-time relationship or potential for extended relationship with external entity that benefits the program, department, or University through research, curriculum, in new or existing areas.
- Provide professional service that raises the profile of the program, department, and university.
- Member of grant review committee for governmental agency or foundation, editorial board, journal reviewer or co-editor

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating

- This must be very carefully considered in the context of the institution and is specifically not a list based, check box exercise. Evidence presented must support service excellence that is distinct from the Meets Expectations requirements.

An example might be:

- Significant, demonstrated contribution to internally assigned service roles that enable the unit or organization to fill a gap, solve a problem, or improve productivity

Amended Annual Evaluation Guidelines for Faculty 2020-2021 (Summer and Fall 2020)

(adopted based on Department Suggestions and Discussion/Recommended by Evaluation Panel)

Evaluators must consider the rank when evaluating teaching, research, and service; said consideration is tied to the expectations based on rank in the faculty handbook

Faculty must comply with and follow instructions of department chair regarding teaching scheduling and standards, research procedures and compliance, and service requirements.

Overall scores consider the fare form credit given. DO NOT FORGET to rate summer activity for teaching and or research (presuming that it was compensated by the University).

Evaluation Key:

Unsatisfactory (U)	Performance that is clearly substandard. Performance improvement plan is mandated, and termination may be appropriate.
Needs Improvement (NI)	Performance that is below a reasonable expectation for the faculty rank that an individual holds
Meets Expectations (ME)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description.
Exceeds Expectations (EE)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description. The individual has distinguished themselves in some way by performing at a level that is above a normal expectation for their faculty rank.
Exemplary (E)	Performance is sound for the faculty rank held and within reasonable expectations for the person's job description. The individual has truly done something that is outstanding and that is not present in the majority of the faculty.

Teaching:

University teaching and student learning encompass much more than the hours faculty members spend in the classroom. Teaching also involves keeping up with the field (both technical and changes in pedagogy), planning lectures, creating instructional materials, appropriately utilizing the CANVAS LMS, constructing tests, grading papers, mentoring/interacting with students, participating in tutorials, recitations, and formal teaching committees, working with graduate students, supervising student educational assistants (SEAs), conducting office hours, and participating in professional development programs. Because many aspects of teaching remain invisible to students, their evaluations alone are inadequate to provide comprehensive and convergent evidence of teaching effectiveness. In addition to student assessments, some departments may have obtained evaluations from individuals who both understand the subject matter and recognize the intellectual effort and pedagogical merit involved in various instructional activities.

Evaluation Philosophy: Evaluations are earned by faculty and supported by the evidence (both quality and quantity) that a faculty member is performing his or her duties at a certain level. To achieve a “Meets Expectations” rating, a faculty typically *must* perform the appropriate core duties in the teaching that were assigned. An evaluator may consider elements such as number of students and student credit hours supported, number of different courses delivered, and also should consider how effective the communication with students is based on a range of elements including the course syllabus, SAI results and comments, and use of CANVAS.

Elements to consider:

Evidence:

- Courses taught
- Student Credit hours produced
- DFW rate
- Course GPA
- SAI – used carefully noting the transition to the online environment
- Thesis or projects directed, where applicable
- Thesis or projects committee, where applicable
- Instructional materials sufficient to demonstrate performance ratings below

Elements that are core duties and typically, where appropriate, are present to achieve MEETS EXPECTATIONS performance (based on evidence supplied in the dossier):

- Syllabus timeliness, construction, and compliance with required standards
- Presence to deliver course AND be appropriately available to students (e.g. office hours) – If the class, or a portion of the class is delivered remotely, evidence of an ongoing effort during the remote period that connects with students on a weekly, or more frequently, basis.
- Participates and cooperates appropriately in multi section courses
- Curricular Rigor; evidence based upon items such as alignment between outcomes and assessments, syllabus, course materials, examinations, and examination practice
- Grading aligns as a fair assessment of mastery of material and is fair to students
- Grading and examination policies and execution lead to proper and fair assessment
- Grades assignments and exams in a timely manner, faculty must make a good faith effort to make remote examination and proctoring work properly but are not accountable for system bugs and difficulties. For remote instruction, Faculty must maintain strong engagement by publishing expectations for and adhering to grading timeliness. Only in rare instances should assignments or exams not be returned within ten days.
- Adheres to appropriate student learning outcomes to ensure we provide a quality education: evidenced by examinations and completion of planned course material
- Submits midterm and final grades consistently and on-time, maintains approved syllabus and updated accurate gradebook in Canvas, submits assessment reports and other

documentation consistently and on time - noting that there might be some careful changes in syllabi that are appropriately coordinated with other sections.

- Submits attendance reports as required, tracks student attendance in Canvas or appropriate verifiable method
- Appropriate use of SEAs as per department and academic affairs guidelines and demonstrating appropriate responsibility in the delivery of the course
- Appropriate interactions, consistent with university policy and guidelines, with students and appropriate professional behavior in communication with students
- Demonstration of ongoing and reasonable improvements in courses, and a plan for further improvements, that have been delivered multiple times by the faculty member
- Executes teaching duties with honesty and integrity
- For remote delivery, provides course organization with Canvas that adheres to the Florida Poly Canvas starter kit model. The course organization must clearly provide instructions for how material will be delivered, how interactions will be managed (asynchronous, synchronous, tools, and expectations for interactions, including instructor response-time to student inquiries), and how assessment will be handled. In addition, expectations and clear instructions for students must be present in syllabus and in the course materials especially in terms of expectations for student participation in synchronous activities.
- If during Fall 2020 instruction transitions from remote to live or vice-versa, evaluators must consider the disruption such a transition will cause. In particular, evaluators must treat SAIs, DFWs, and course GPAs with a great deal of care as students will likely find such a transition challenging.

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating This must be very carefully considered in the context of the institution and is specifically not a list-based, check-box exercise. If a faculty member is clearly demonstrating effectiveness in all of the areas for consideration under meets expectations, consideration of exceeds expectation may be appropriate, but is not required. Evidence presented must support teaching and pedagogical excellence that is distinct from the Meets Expectations requirements. The evaluator must judge the effectiveness of the individual's contribution, and determine if it warrants a higher than Meets Expectation rating.

Examples might be:

- Successful course delivery innovation – has attracted students' interests, increasing retention and curricular progression. Demonstration of effective results in the remote environment, indications of strong foundation for remote delivery.
- Curricular Innovation: New course development, innovation in pedagogy that is significant
- Active Participation in curriculum development for new concentration, or a new degree program
- For Exemplary the faculty has truly done something that is outstanding and that is not present in the majority of the faculty such as:
 - Successful Curricular innovation – has attracted interests from other universities, increasing enrollment
 - Demonstrable impact on student retention and facilitating progression to timely graduation
 - Extraordinary leadership of execution in remote instruction period as evidenced by documented contribution to departmental or institutional efforts that support multiple sections or faculty.

Research:

Research at Florida Poly is evolving as a core duty for the faculty that do not hold the title instructor. While research can be hard to measure, as a core duty, faculty need to demonstrate activity and success in this realm. If faculty do not have time to do research, this will be indicated on their FARE form in terms of the credit granted; where there is no time, the rating should be N/A. Where there is time, the rating expectation must be adjusted to reflect the amount of time available. For instance, if a person has only a small amount of credit available for research, achieving Meets Expectations performance requires demonstrated progress commensurate with the time allocated. If there is more time, the progress must be more significant. Regardless of time available, an above Meets Expectations score requires the presence of items from the evidence list identified below. Research must advance the mission of the university and support the program and concentration(s) in which the faculty member teaches.

The remote instruction period likely produced time availability constraints so that the time available for research may have been impacted. In addition, those with laboratory efforts likely will exhibit slower progress due to lower availability of laboratory time and the personnel to serve laboratory projects. Evaluators will use their judgement as they assess how the broader COVID-19 pandemic might lead to unforeseen consequences that may negatively affect research productivity (e.g. canceled conferences, inability to travel or access necessary resources, etc.).

Elements to consider:

Evidence:

- Refereed Publications
- Non-refereed publications
- Books, book contributions
- Presentations or invited talks
- Funded projects
- Works in Progress where there is work product as evidence
- Proposals submitted
- Editorial position in a national level journal
- Students supported/advised and/or student effort in research programs
- Research activity with students that has an outcome
- Other activity pre-approved by Department Chair and/or Division Director.

Elements that are core duties and typically must be present, as demonstrated by evidence, to achieve MEET EXPECTATIONS performance: Examples are not exhaustive, but all activity must demonstrate impact and relevance to university and field.

Core element that must be present:

- Adequate progress on clearly defined, multi-year research plan (ideally explicitly laid out, but may be evident in other ways)
- Executes research duties with honesty and integrity

Other core elements that are appropriate to consider

- Appropriate pursuit/success in developing a funded research program,
- Works/Proposals in progress reflect substantial progress toward completion and promise of likely success.
- Recognizable major publication (s) or significant grant funding with progress on grant commensurate with grant size
- Substantial industry project with significant impact on research, development, application (where the faculty member secured prior approval, followed appropriate procedures, and advances the research and/or educational mission of the University, department, and/or program.)
- Publication in high impact factor journals
- Research awards such as grants
- Honorific research societies
- Compliance with all rules, regulations, disclosures, and requirements associated with research, including following institutional protocols for engagement with external partners or potential partners.
- Research presentation or publication that receives public recognition and/or publicity, or impacts public policy or enhances the University's economic impact

- Successful publication or presentation at a national conference or significant contribution to a state or regional conference.
- Any of the items in the “Facts” column that hold demonstrable national or international impact or advance the program, department, and university’s reputation.

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating

This must be very carefully considered in the context of the institution and is specifically not a list based, check box exercise. Evidence presented must support research excellence that is distinct from the Meets Expectations requirements.

. Examples might be:

- Significant research award from a competitive proposal process
- Publication activity that is of high quality and above the norm for the department

Service

Service comes in a variety of capacities. The basic levels are departmental, division-level (where applicable), and institutional. Institutional service includes University committees but also leadership and advising of student organizations, clubs, or professional societies. Service also includes externally-focused service in the form of community relationships or formal efforts to solicit industry engagement in either curricular or research capacities, or unfunded consulting relationship with local, state, or federal government, private entities, or industry. A third broad category is professional service, which may include affiliations with state or national organizations as an organizer, peer reviewer, society fellow, or other activity that advances the discipline or profession and demonstrates recognition of the faculty-member's expertise and authority.

Elements to consider:

Evidence:

- Nature of service assignments
- Student organizations supervised
- Community-related service
- Industry or other agency service
- Professional service
- Demonstrated contribution and impact of contribution to service roles.

Elements that are core duties and typically must be present to achieve and provide evidence to MEET EXPECTATIONS performance:

- Service remains a core duty that during remote instruction is fulfilled with remote work.
- Executes service duties with honesty and integrity and demonstrates collegiality in performing service roles
- Regular, documented active participation in assigned service duties
- Participation in department meetings
- Demonstrable results or progress made on external service activity
- Significant, demonstrated contribution to internally assigned service roles that enable the unit or organization to fill a gap, solve a problem, or advance in some important way (e.g. contribution to curriculum advisory board relationship).
- Successfully develop or lead co-curricular project such as speaker-series or other events or competitions.
- Initiate meaningful service contribution to program, department, or University.
- Sponsor a new student organization or grow an existing one.
- Enable the organization to achieve positive impact on campus community or a professional society that advances the culture of learning among students in the discipline. All rules must be followed when leading student clubs or organizations.
- Foster significant one-time relationship or potential for extended relationship with external entity that benefits the program, department, or University through research, curriculum, in new or existing areas.
- Provide professional service that raises the profile of the program, department, and university.
- Member of grant review committee for governmental agency or foundation, editorial board, journal reviewer or co-editor

Elements that may be used by an evaluator to justify an Exceeds Expectations or Exemplary rating

- This must be very carefully considered in the context of the institution and is specifically not a list based, check box exercise. Evidence presented must support service excellence that is distinct from the Meets Expectations requirements.

An example might be:

- Significant, demonstrated contribution to internally assigned service roles that enable the unit or organization to fill a gap, solve a problem, or improve productivity

This screenshot shows the left-hand navigation menu with options like Home, Syllabus, Modules, People, Grades, Library, Writing Services, Courses, Panopto, AEFIS Tools, Calendar, Inbox, and Help. The main content area displays the 'Orientation Module - Complete this First' section with a 'Complete All Items' button. Below this, a list of modules is shown, including 'Start Here', 'Meet Your Instructor', 'Textbook and Required Materials', 'Technology Requirements and Skills', 'Student Support Services', 'Canvas Help', and 'Keys to Success in an Online Course'. A blue arrow points from the 'Start Here' link in this list to the 'Start Here' page shown in the next slide.

Florida Poly Canvas Starter-Kit Overview

The starter kit is built from the homepage and is organized by modules that standard components such as overview to week (or content “chunk”), resources, and assignments. This slide shows relationships among pages in brief. Subsequent slides show detail.

This screenshot shows the course homepage for 'Summer C Blueprint Course'. It features a central banner with the Florida Polytechnic University logo and a 'Welcome to Our Course!' message. Below the banner, it states 'This course is being delivered completely online. Summer C Semester: May 11 - August 7'. A 'Course Information' section contains four buttons: 'Start Here', 'Modules', 'Syllabus', and 'Instructor'. Each button has a brief description: 'Click Start Here to begin completing the orientation module', 'Go here to access all your weekly course activities and announcements', 'View policies and other important information about this course', and 'Contact information about your professor.' A blue arrow points from the 'Start Here' button to the 'Start Here' page in the next slide.

This screenshot shows the course navigation menu on the right side of the interface. It lists 'Week 1 | May 11-17', 'Week 2 | May 18-24', and 'Week 3 | May 25-31'. Under each week, there are links for 'Week X Overview', 'Resources', and 'Assignments'. A blue arrow points from the 'Week 1 Overview' link to the 'Week 1 Overview' page in the next slide.

This screenshot shows the 'Start Here' page for a course. It includes a breadcrumb trail 'Summer C Blueprint > Pages > Start Here'. The page title is 'Start Here' and the subtitle is 'Welcome to (Name of Course)'. Below the title, there are instructions to 'Create your own course orientation video' and 'embed the video' here if you choose. A list of bullet points provides guidance: 'welcome students', 'introduce yourself', 'introduce the course', 'give a tour of how to navigate the course', and 'tell students what to do the first week'. A paragraph explains that the orientation module is essential for helping students get off to the right start and succeed in the course. A blue arrow points from the 'Start Here' page to the 'Week 1 Overview' page in the next slide.

The online course starter kit is visible even without logging into Canvas:
<https://floridapolytechnic.instructure.com/courses/3982>

This screenshot shows the 'Week 1 Overview' page. It includes a navigation menu on the left with options like Syllabus, Modules, People, Grades, Library, Writing Services, Panopto, and AEFIS Tools. The main content area has a title 'Week 1 Overview' and a subtitle 'Topic Overview'. Below the title, there are instructions to 'upload and embed an image' or 'create a video' if you choose. The 'Topic Overview' section contains a paragraph of placeholder text. The 'Learning Outcomes' section lists three outcomes: 'EX Learning Outcome 1', 'EX Learning Outcome 2', and 'EX Learning Outcome 3'. The 'Task List' section includes the instruction 'In order to achieve these outcomes, please complete the following:' followed by '1. Discussion Activity'. A blue arrow points from the 'Week 1 Overview' page to the 'Week 1 Overview' page in the next slide.

Main Page

Home
Syllabus
Modules
People
Grades
Library
Writing Services
Panopto
AEFIS Tools

Account
Dashboard
Courses
Calendar
Inbox
Help

Recent Announcements

Summer C Blueprint Course

Welcome to Our Course!
This course is being delivered completely online.
Summer C Semester: May 11 - August 7

Course Information








Start Here	Modules	Syllabus	Instructor
Click Start Here to begin completing the orientation module.	Go here to access all your weekly course activities and assignments.	View policies and other important information about this course.	Contact information about your professor.

Orientation Module



- Account
- Dashboard
- Courses
- Calendar
- Inbox
- Help

- Home
- Syllabus
- Modules
- People
- Grades
- Library
- Writing Services
- Panopto
- AEFIS Tools

Orientation Module - Complete this First		Complete All Items
 Start Here	View	<input type="radio"/>
 Meet Your Instructor	View	<input type="radio"/>
 Textbook and Required Materials	View	<input type="radio"/>
 Technology Requirements and Skills	View	<input type="radio"/>
 Student Support Services	View	<input type="radio"/>
 Canvas Help	View	<input type="radio"/>
 Keys to Success in an Online Course	View	<input type="radio"/>
Required Attendance Activity		

Inside Orientation Module

Summer C Blueprint > Pages > Start Here

Home
Account
Syllabus
Dashboard
Modules
Courses
People
Grades
Library
Writing Services
Panopto
Inbox
AEFIS Tools
Help

Start Here

Welcome to (Name of Course)

[Create your own course orientation video](#) and [embed the video](#) here if you choose. In this short video, you might:

- welcome students
- introduce yourself
- introduce the course
- give a tour of how to navigate the course
- and tell students what to do the first week.

An orientation module is essential to helping your students get off to the right start and succeed in your course. The orientation module here is largely a breakdown of the syllabus. The module consists of important components that students need for course success. To ensure that students read and understand each component of the orientation module, you may consider [creating requirements for the orientation module](#) module and/or an orientation quiz ([here are some example orientation and syllabus quizzes](#)). There is an [example orientation quiz](#) in this template.

Weekly (or Topic-driven) Modules

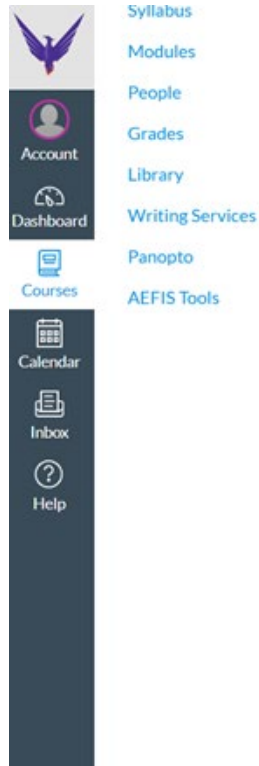
The screenshot displays a learning management system interface. On the left is a vertical sidebar with a dark blue background and white icons and text. The sidebar contains the following items from top to bottom: a purple bird logo, a profile icon labeled 'Account', a dashboard icon labeled 'Dashboard', a book icon labeled 'Courses', a calendar icon labeled 'Calendar', a mail icon labeled 'Inbox', and a question mark icon labeled 'Help'. The main content area on the right is white and features three weekly module sections. Each section is headed by a grey bar with a white arrow and text indicating the week and dates. Below each header are three rows: 'Week X Overview' with a document icon, 'Resources', and 'Assignments'. The first section is for 'Week 1 | May 11-17', the second for 'Week 2 | May 18-24', and the third for 'Week 3 | May 25-31'. The 'Week 3 Overview' row is partially cut off at the bottom of the image.

• Week 1 May 11-17
📄 Week 1 Overview
Resources
Assignments

• Week 2 May 18-24
📄 Week 2 Overview
Resources
Assignments

• Week 3 May 25-31
📄 Week 3 Overview

Inside Weekly Module



Syllabus
Modules
People
Grades
Library
Writing Services
Panopto
AEFIS Tools

Week 1 Overview

[[upload and embed an image](#) or [create a video](#) if you choose]

Topic Overview

Introduce the weekly topic here. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque aliquam erat tincidunt dui pulvinar, ac malesuada massa aliquet. Nulla neque ipsum, pellentesque vulputate lorem sit amet, porttitor consectetur leo. Sed velit felis, scelerisque quis ultrices vel, venenatis et nunc. Phasellus condimentum augue sit amet mauris tempor, aliquet ullamcorper enim auctor. Aliquam sit amet nisl quis ipsum faucibus consequat. In id placerat ante. Proin commodo velit ullamcorper leo rutrum, in tincidunt orci congue. Duis vestibulum eu nisi quis accumsan. Donec tempor ex quis rhoncus rhoncus. Suspendisse efficitur sem sed nisl bibendum, id auctor nulla tristique. Curabitur imperdiet augue sit amet ipsum imperdiet, nec pulvinar dui rhoncus.

Learning Outcomes

After successful completion of these activities, you will be able to:

- EX. Learning Outcome 1 (see this [Learning Objective Builder tool](#) for help creating outcomes)
- EX. Learning Outcome 2
- EX. Learning Outcome 3

Task List

In order to achieve these outcomes, please complete the following:

1. Discussion Activity

Student Code of Conduct: Revised May 2020

THE FLORIDA POLYTECHNIC UNIVERSITY BOARD OF TRUSTEES

FPU-3.006 Student Code of Conduct

(1) Introduction

- (a) **Community Values.** The Student Code of Conduct is designed to promote responsible behavior for all students consistent with the values and welfare of the Florida Polytechnic University (“University”) community. It exists to define the behavioral rights and responsibilities of University students and student organizations. The Student Code of Conduct fosters and enhances the academic mission of the University as well as protects the rights of all University students, faculty, and staff.
- (b) **Applicability.** The Student Code of Conduct applies to the conduct of any student or student organization that occurs: on University property; at University or student-sponsored activities; and at locations where a University course or program is being conducted, including foreign locations such as study abroad and exchange programs. It also applies to off-campus conduct and online conduct that adversely affects the University community and/or the pursuit of its objectives.

(2) Authority

- (a) The Florida Polytechnic University Board of Trustees is charged with the responsibility and authority for creating a Student Conduct Review Process. Authority for the Student Conduct Review Process rests with the University President or designee (“President”).
- (b) Student organizations are also regulated under this authority.

(3) Definitions

- (a) **Responding Party.** Any student or student organization that has been charged with violating the Student Code of Conduct.
- (b) **Advisor.** The person chosen by the Responding party who may assist and/or accompany the Responding party throughout the Student Conduct Review Process.
- (c) **Business Day.** Monday through Friday from 8 am to 5 pm, excluding University holidays.
- (d) **Reporting Party.** A person that believes that he or she has been a victim of a student’s misconduct or any person who submits an allegation that a student violated the Student Code of Conduct.
- (e) **Sanction.** Outcome(s) imposed on the Responsible.
- (f) **Faculty Member.** Any person hired by the University to conduct classroom or teaching activities or who is otherwise considered by the University to be a member of its faculty.
- (g) **Good Standing.** A conduct status describing a student who does not have pending charges under the Student Code of Conduct or incomplete misconduct Sanctions.
- (h) **Hearing Body.** Any person or persons appointed by the Vice Provost of Student Affairs or designee to conduct hearings to determine whether the Responding party has violated the Student Code of Conduct and impose Sanctions. This includes a Hearing Officer or Hearing Panel.
- (i) **May.** The term “may” is used in the permissive sense.
- (j) **Policy.** Any written policies, regulations, or rules of the University as found in, but not limited to, the Student Code of Conduct; University Policies, Regulation and

Rules webpage; the Student Handbook; Housing Policies and Rules, and the Undergraduate and the Graduate Catalogs.

- (k) **Preponderance of the Evidence.** Information considered as a whole that indicates the facts sought to be proved are more likely than not. This is the burden of proof that must be met in a determination of responsible or not responsible.
 - (l) **Representative.** An Office of Student Development employee designated by the Vice Provost of Student Affairs to fulfill specified duties under the Student Conduct Review Process.
 - (m) **Responsible.** A student or student organization that has been found to have violated the Student Code of Conduct by a preponderance of the evidence.
 - (n) **Student.**
 - (i) Persons taking courses at the University (full-time or part-time) in undergraduate, graduate, or professional studies;
 - (ii) Persons who withdraw from the University after allegedly violating the Student Code of Conduct;
 - (iii) Persons who were previously enrolled but are not officially enrolled for a particular term and have a continuing relationship with the University; or
 - (iv) Persons who have been notified of their acceptance for admission to the University.
 - (o) **Student Organization.** A registered student organization as described in FPU- 3.002 Student Government and Student Organizations.
 - (p) **University Community.** Includes any University officer, employee, student, applicant, visitor, agent, vendor, or contractor.
 - (q) **University Official.** Includes any person employed by the University that is performing assigned administrative or professional responsibilities.
 - (r) **University Property.** Property owned or controlled by the University.
 - (s) **Witness.** A person who has relevant information to help a decision maker determine whether or not an alleged violation of the Student Code of Conduct has taken place.
- (4) **Student Rights In the Student Conduct Review Process.** The student has the right to:
- (a) Be free from self-incrimination. However, the rights and rules of evidence or procedure in a civil or criminal proceeding do not apply to the Student Conduct Review Process.
 - (b) Be informed of and receive just and unbiased treatment under the Policies of the University, in its courses, in its residential life, and in its extracurricular activities;
 - (c) Be informed of decisions impacting their status, advancement, or exercise of University benefits, and have the opportunity to appeal, through a defined process and framework, those decisions in accordance with the procedures prescribed in this Student Code of Conduct;
 - (d) Have past behavior considered only when related to the charge(s);
 - (e) Privacy, including the confidentiality of education records according to the Federal Family Educational Rights and Privacy Act of 1974 (FERPA);
 - (f) Adequate notice of charges and a fair and impartial hearing under the Student Code of Conduct;
 - (g) Be secure in their persons, living quarters, papers, and effects against unreasonable searches and seizures by the University; and
 - (h) Ready access to established University Policies.

- (5) **Student Responsibilities.** The student has the responsibility to:
- (a) Observe and comply with all University Policies and local, state, and federal laws;
 - (b) Respect the rights and privacy of others;
 - (c) Accept the Sanctions imposed due to one's actions;
 - (d) Maintain high standards of academic integrity and honor in all work submitted; and
 - (e) Conduct oneself in a manner that does not infringe upon the rights of other members of the University community.
- (6) **Misconduct.** Any student or student organization found to have committed or to have attempted to commit the following misconduct is subject to Sanctions in accordance with this Student Code of Conduct.
- (a) **Acts of Dishonesty**, including but not limited to the following:
 - (i) **Cheating, plagiarism**, or other forms of academic dishonesty as defined in University Regulation FPU-5.005 Academic Integrity.
 - (ii) **Furnishing false information** to any University official, faculty member, or office.
 - (iii) **Forgery, alteration, or misuse** of any University document, record, or instrument of identification.
 - (b) **Disruption or obstruction** of teaching, research, administration, disciplinary proceedings, other University activities, including its public service functions, on or off campus, or of other authorized non-University activities when the conduct occurs on University property.
 - (c) **Physical abuse, verbal abuse, threats, intimidation, harassment, stalking, coercion**, and/or other conduct that threatens or endangers the health or safety of any person, group, or animal that is not of a sexual nature, including bullying. Bullying is repeated and/or severe aggressive behaviors that intimidate or intentionally harm or control another person physically or emotionally, and such conduct is not protected by freedom of expression.
 - (d) **Sexual misconduct** as defined in University Policies.
 - (e) **Attempted or actual theft** of and/or **damage to property**, including intellectual property, of the University or property of a member of the University community or other personal or public property, on or off campus.
 - (f) **Hazing**, means any action or situation, which occurs on or off University property, that recklessly or intentionally endangers the mental or physical health or safety of a student for purposes including, but not limited to, initiation, admission into, affiliation with, or the perpetuation or furtherance of a tradition or ritual of any University student organization or group whether or not officially recognized by the University. Hazing includes, but is not limited to, pressuring or coercing the student into violating state or federal law; any brutality of a physical nature, such as whipping, beating, branding, exposure to the elements, forced consumption of any food, liquor, drug, or other substance; or other forced physical activity that could adversely affect the physical health or safety of the student; or any activity that would subject the student to extreme mental stress, such as sleep deprivation, forced exclusion from social contact, forced conduct that could result in extreme embarrassment, or other forced activity that could adversely affect the mental health or dignity of the student. Hazing does not include customary athletic events or other similar contests or competitions or any activity or conduct that furthers a legal and legitimate objective.
 - (g) **Failure to comply with directions** of University officials or law enforcement officers acting in performance of their duties and/or failure to identify oneself to such persons

when requested to do so.

- (h) **Unauthorized possession, duplication or use of keys** to any University property or unauthorized entry into or use of University property.
- (i) **Violation of any University Policy.**
- (j) **Violation of any federal state, or local law.**
- (k) **Use, possession, manufacturing, selling or distribution of marijuana, heroin, narcotics, or other controlled substances**, except as expressly permitted by law. This includes the misuse of prescription drugs, paraphernalia used for drugs (e.g. bong, glass pipes, etc.) and the un-prescribed use, inhalation, or ingestion of a substance (e.g. nitrous oxide, glue, paint, etc.) that could alter a person's mental state.
- (l) **Use, consumption, possession, manufacturing, selling or distribution of alcoholic beverages** (except as expressly permitted by University Policies), paraphernalia used for consumption of alcohol (e.g. kegs, bong, etc.) or public intoxication. Alcoholic beverages may not, in any circumstance, be used by, possessed by or distributed to any person under twenty-one (21) years of age.
- (m) Attending class, an Organizational meeting or other University event that is specific for an educational purpose while under the influence of the substances listed in sections (k) and (l)
- (n) **Control or operation of any vehicle**, including non-motorized vehicles, **while impaired** by alcohol or another substance.
- (o) **Illegal or unauthorized possession of firearms, explosives, weapons, or dangerous chemicals** on University property or use of any such item, even if legally possessed, in a manner that harms or threatens others.
- (p) Soliciting, facilitating, or participating in any **illegal gambling**, bookmaking or illegal betting whether through a bookmaker, a parlay card, a pool or any other method of organized gambling.
- (q) Causing or attempting to cause a **fire or explosion; falsely reporting a fire, explosion, or an explosive device; tampering with fire safety equipment; or failure to evacuate** University buildings during a fire alarm.
- (r) **Unauthorized posting of commercial advertising** or engaging in **commercial activity** as described in University Policies.
- (s) **Participation in an on-campus or off-campus demonstration, riot or activity that disrupts the normal operations** of the University and/or infringes on the rights of other members of the University community; or leading or inciting others to disrupt scheduled and/or normal activities within any campus building or area.
- (t) **Obstruction of the free flow of pedestrian or vehicular traffic** on University property or at University sponsored or supervised functions.
- (u) **Conduct that is disorderly, lewd, or indecent; breach of peace;** or aiding, abetting, or procuring another person to breach the peace on University property or at functions the University or members of the University community have sponsored or participated in.
 - (i) **Disorderly Conduct** includes, but is not limited to: any unauthorized use of electronic or other devices to make an audio or video record of any person while on University property without his or her prior knowledge, or without his or her effective consent when such a recording is likely to cause injury or distress. This includes, but is not limited to, surreptitiously taking pictures of another person in a gym, locker room, or restroom.
- (v) **Theft or other abuse of computer facilities and resources**, including but not limited

to:

- (i) Unauthorized entry into a file to use, read, or change the contents, or for any other purpose.
- (i) Unauthorized transfer of a file.
- (ii) Use of another individual's identification and/or password.
- (iii) Use of computing facilities and resources to interfere with the work of another student, faculty member or University Official.
- (iv) Use of computing facilities and resources to send obscene or abusive messages.
- (v) Use of computing facilities and resources to interfere with normal operation of the University computing system.
- (vii) Use of computing facilities and resources in violation of copyright laws.
- (w) **Residence Hall Policy Violation**, includes violations of any policy or regulation governing University Housing, as well as, the Resident Handbook.
- (x) **Abuse of the Student Conduct Review Process**, including but not limited to:
 - (i) Failing to obey the notice from the Office of Student Development or a University official to appear for a meeting or hearing as part of the Student Conduct Review Process.
 - (ii) Falsifying, distorting, or misrepresenting of information before a Hearing.
 - (ii) Disrupting or interfering with the orderly conduct of a Student Conduct Review Process.
 - (iii) Reporting a violation of the Student Code of Conduct in bad faith.
 - (iv) Attempting to discourage an individual's proper participation in, or use of, the Student Conduct Review Process.
 - (v) Attempting to improperly influence the impartiality of a Hearing Body prior to, and/or during the course of, the Student Conduct Review Process.
 - (vi) Harassing (verbal or physical) and/or intimidation of a Hearing Body prior to, during, and/or after a Student Conduct Review Proceeding.
 - (vii) Failing to comply with the Sanction(s) imposed under the Student Code of Conduct.
 - (viii) Influencing or attempting to influence another person to commit an abuse of the Student Conduct Review Process.
 - (ix) **Retaliation** against a person(s) alleging misconduct or participating in the student conduct review process.

(7) **Sanctions.** The Responsible is subject to Sanctions commensurate with the offense with consideration given to any aggravating and mitigating circumstances, including but not limited to the Responsible's conduct record at the University. The Responsible's efforts to get help or assist others may be taken into account in determining Sanctions. The Responsible's failure to complete Sanctions may result in a registration, transcript, final grades, and/or diploma hold. Sanctions that may be imposed upon the Responsible include, but are not limited to:

- (a) **Deactivation.** The loss of all privileges, including University recognition, for a specified period of time when the Responsible is an organization.
- (b) **Discretionary Educational Sanctions.** Work assignments, essays, service to the University, or other related discretionary Sanctions.
- (c) **Fines.** Previously established and published financial fines may be imposed.
- (d) **Loss of Privileges.** Denial of specified privileges for a designated period of time.

- (e) **Probation.** A designated period of time where more severe disciplinary Sanctions will be imposed if the Responsible is found to violate the Student Code of Conduct during the probation period.
 - (f) **Residence Hall Expulsion.** Permanent separation of the Responsible from the residence halls.
 - (g) **Residence Hall Suspension.** Separation of the Responsible from the residence halls for a definite period of time, after which the Responsible is eligible to return. Conditions for returning to the residence halls may be specified.
 - (h) **Restitution.** Requiring compensation for loss, damage, or injury. This may take the form of appropriate service and/or monetary or material replacement.
 - (i) **Revocation of Admission and/or Degree.** Admission to the University or a degree awarded from the University may be revoked for fraud, misrepresentation, or other violation of University standards in obtaining the degree, or for other violations that were committed by the student prior to graduation.
 - (j) **University Expulsion.** Permanent separation of the Responsible from the University.
 - (k) **Deferred Suspension.** Suspension that will be imposed at a defined future date or time unless sanctions are completed as described by the hearing officer and there are no further policy violations.
 - (k) **University Suspension.** Separation of the Responsible from the University for a definite period of time. Conditions for readmission to the University will be specified. The Vice Provost of Student Enrollment or designee will instruct the Registrar to place an overlay on the Responsible's transcript during the period of suspension indicating the period of suspension. Further, while on University Suspension, a hold will be placed on the Responsible's record to prevent registration. All assigned educational Sanctions must be completed prior to the restoration of student privileges; otherwise the suspension will remain in effect. A suspended student is not permitted on University property during the length of his/her suspension. A suspension may be deferred so that the Responsible can attend classes for the remainder of the semester.
 - (l) **Warning.** A notice in writing to the Responsible that the Responsible is violating or has violated the Student Code of Conduct.
 - (m) **Withholding Degree.** The University may withhold awarding a degree otherwise earned until the completion of the process set forth in this Student Code of Conduct, including the completion of any Sanctions imposed.
 - (n) One or more of the Sanctions listed above may be imposed for any single violation.
- (8) Interim Suspension.** In certain situations, the Provost or designee may impose a University or residence hall interim suspension prior to the completion of the Student Conduct Review Process.
- (a) An interim suspension may be imposed:
 - (i) To ensure the safety and well-being of members of the University community or preservation of University property; or
 - (ii) If the student poses an ongoing threat of disruption of, or interference with, the normal operations of the University.
 - (b) If requested in writing by the student, an interim suspension is subject to a review at a hearing within three (3) business days by the Provost or designee to determine the status of the interim suspension. The outcome of an interim suspension hearing

remains in effect until the final disposition of the charges unless the Provost or designee decides otherwise.

- (c) During the interim suspension, the student may be denied access to the residence halls and/or to the campus (including classes) and/or all other University activities or privileges for which the student might otherwise be eligible, as the Provost or designee determines to be appropriate.
- (d) The interim suspension does not replace the regular Student Conduct Review Process, which proceeds on the normal schedule, up to and through a formal hearing, if required.
- (e) If the student is subsequently found not responsible for the violation, the University will:
 - i) Correct any record of the change in enrollment status in the student's permanent records and reports in a manner compliant with state and federal laws; and
 - ii) Refund to the student a pro rata portion of any charges for tuition and out-of-state fees, as appropriate, if the temporary suspension of the student's ability to attend classes lasts for more than ten (10) business days.

(9) Student Conduct Review Process

(a) General Provisions.

(i) Requests for reasonable accommodations. The Responding party, Reporting party, or other person participating in the Student Conduct Review Process may submit a request for reasonable accommodations for a documented disability for any part of the Student Conduct Review Process to the Office of Student Development representative (the "Representative"). The Representative must receive such requests at least three (3) business days prior to the part of the Student Conduct Review Process for which the person is requesting accommodations.

- (1) The Representative has the discretion to grant such requests. The Representative also has the discretion to waive the three (3) business day requirement.

(ii) Requests for Postponement. The Responding party or Reporting party may request to postpone any part of the Student Conduct Review Process.

- (1) Requests to postpone any part of the Student Conduct Review Process must:
 - (i) Be submitted in writing to the Representative at least three (3) business days prior to the part of the Student Conduct Review Process for which the person is requesting postponement, and
 - (ii) State the reason(s) for the request.
- (2) The Representative has the discretion to grant such requests. The Representative also has the discretion to waive the three (3) business day requirement.

- (3) The University is not required to postpone a Student Conduct Review proceeding pending the outcome of a criminal prosecution.

(iii) Notices. All notices to a student are sent to the student's official University email account. Notices to a student organization are sent to the student organization's highest-ranking officer's official University email account.

(iv) Remote Participation. The Representative has the discretion to allow the Responding party, Reporting party, and/or Witness to participate in the Student Conduct Review Process remotely via telephone or other electronic means.

- (1) Requests to participate remotely must be received by the

Representative at least three (3) business days prior to the part of Student Conduct Review Process for which the request is being made.

- (2) The Representative has the discretion to waive the three (3) business day requirement.

(v) Failure to Attend Scheduled Meeting or Hearing.

- (1) After receiving notice, if the Responding party, Reporting party, or Witness does not timely request a postponement and does not attend a scheduled meeting or hearing, the meeting or hearing will take place as scheduled.
- (2) Sanctions may be imposed against the Responding party even if the Responding party does not attend scheduled meetings and hearings. The Responding party will be sent written notice of any imposed Sanctions.
- (3) The Representative may have a hold placed on the Responding party's registration, transcript, final grades and/or diploma if the Responding party does not attend a scheduled meeting or hearing. This hold is removed once the Responding party attends the re-scheduled meeting or hearing, or the Student Conduct Review Process is concluded.

(vi) Advisor. The Responding party and the Reporting party may have, at their own expense and initiative, an Advisor present for any part of the Student Conduct Review Process.

- (1) If the Responding party or Reporting party chooses to have an Advisor, it is his or her responsibility to make appropriate arrangements for the Advisor to attend the Student Conduct Review Process. No part of the Student Conduct Review Process will be delayed due to scheduling conflicts with an Advisor.
- (2) The Advisor may be present to advise the Responding party or Reporting party but cannot speak for or present the case or otherwise participate directly in the Student Conduct Review Process.
- (3) If the Responding party or Reporting party chooses an attorney as the Advisor, the Responding party or Reporting party must inform the Representative of such at least three (3) business days prior to the Initial Meeting.

(vii) University's Right to Attorney. The University may be advised by an attorney at any time prior to, during, or after the Student Conduct Review Process.

(viii) Burden of Proof. The burden of proof for any portion of the Student Conduct Review Process is not on the Responding party.

(ix) Student's Eligibility to Attend Classes and University Activities.

- (1) A student remains eligible to attend classes and University activities pending the outcome of the Student Conduct Review Process and until any appeal is concluded except for in the following situations:
 - (i) The student is currently subject to an Interim Suspension; or
 - (ii) Where there is an appeal and the Sanction(s) imposed included University or Residence Hall Suspension or Expulsion.
- (2) If the student is subsequently found not responsible, the University will:
 - (i) Correct any record of the change in enrollment status in the student's permanent records and reports in a manner compliant with state and federal laws; and
 - (ii) Refund to the student a pro rata portion of any charges for tuition and out-of-state fees, as appropriate, if the suspension of the student's ability to attend classes lasted for more than ten (10)

school days.

- (x) Alleged Violations of University policy FPU-1.005P Sexual Harassment may require additional procedural rights. In the event of a conflict between this regulation and University policy FPU-1.005P Sexual Harassment, University policy FPU-1.005P Sexual Harassment controls. Additionally, in the event of a conflict between this regulation and University Regulation FPU-1.005 Discrimination and Harassment Complaint and Investigation Procedures, University Regulation FPU-1.005 Discrimination and Harassment Complaint and Investigation Procedures controls.
- (b) **Student Conduct Report.** Any person or entity may report an alleged violation of the Student Code of Conduct to the Office of Student Development. The University may conduct an investigation regarding the circumstances of the report. An investigation is a neutral fact-finding process that determines whether there is sufficient information to move forward with formal student conduct charges or other action as appropriate. An investigation may include interviews with the Reporting Party, the Responding party, and any Witnesses.
- (c) **No Charges Filed.** The Representative may choose to not file charges if:
 - (i) It is found that there are not sufficient facts or information to substantiate a violation of the Student Code of Conduct;
 - (ii) The person being accused of violating the Student Code of Conduct is not a student;
 - (iii) The action claimed as misconduct is not a violation of the Student Code of Conduct.
 - (iv) Or in other appropriate circumstances such as Medical Amnesty as referenced in University policy FPU-1.0003P Alcohol Policy.
- (d) **Filing Charges and Timeline.** The Representative will review the relevant information to determine if a student or student organization will be charged with violating the Student Code of Conduct. Upon receipt of a report, the Representative has six (6) months to file a charge. The Representative may exercise discretion when applying the time provision to account for circumstances that warrant a waiver of the six (6) month time limit.
- (e) **Notice of Charges.** The Representative will give the Responding party written notice of the charge(s) at least five (5) business days prior to the Initial Meeting, unless student has waived the five (5) business day requirement in writing. The Notice of Charges must include:
 - (i) Specific charges including specific code sections alleged to have been violated;
 - (ii) A description of the behavior that led to the charges; and
 - (iii) An opportunity for the Responding party to attend an Initial Meeting.
- (f) **Notice of Reporting Party's Rights.** The Representative will give the Reporting party written notice of their rights. The Reporting party has the same rights as the Responding party, including the right to appeal and the rights described in Section (9)(j)(v) Reporting party's Rights. The Reporting party also has the same responsibilities as the Responding party.
- (g) **Initial Meeting.** The Responding party has the opportunity to attend an Initial Meeting with the Representative. The Responding party may choose an Advisor to accompany the Responding party to the Initial Meeting.
 - (i) At the Initial Meeting, the Responding party will be given an overview of the

Student Conduct Review Process, information known at the time the charge(s) were filed, and an opportunity for the Responding party to accept or deny responsibility for the charge(s).

(ii) At the conclusion of the Initial Meeting, the Representative will select an option for resolution. The options are: 1) Dismissal of Charges; 2) Non-Formal Resolution; or 3) Formal Hearing.

- (1) Responding Party Accepts Responsibility. If the Responding party accepts responsibility, the Representative may choose to resolve the violation through non-formal resolutions.
- (2) Responding Party Denies Responsibility. If the Responding party denies responsibility or wishes to have a Formal Hearing, the charge(s) will be resolved by a Formal Hearing.
- (3) Non-Formal Resolution Requirements. Non-formal resolutions may be used when the student accepts responsibility and possible Sanctions do not include suspension or expulsion. Non-formal resolutions may not be used for violations that the Representative deems to be serious, such as sexual misconduct, violence, or violations involving weapons.

(h) **Non-Formal Resolution.** Non-formal resolutions include:

- (i) Mediation Agreement: Depending on the nature and severity of the charge, the Representative may recommend mediation. The Responding party and the Reporting party must both agree to mediation for mediation to be an option. Mediation is confidential.
 - (1) In mediation, the Responding party and the Reporting party voluntarily meet with an impartial mediator to communicate their concerns and needs to each other and to reach their own agreement on the resolution of the case (“Mediation Agreement”). The Responding party and Reporting party are responsible for honoring their Mediation Agreement or renegotiating it, if necessary.
 - (2) Breach of a Mediation Agreement may result in a follow up mediation session, or the Representative may refer the matter back through the Student Code Review Process.
 - (3) If the Responding party and Reporting party do not agree to mediate or mediate but do not reach a full and final resolution, the matter will be referred back through the Student Conduct Review Process for an Administrative Agreement or a Formal Hearing.
- (ii) Administrative Agreement: An Administrative Agreement is negotiated by the Representative and the Responding party. The Administrative Agreement is between the Responding party and the Office of Student Development.
 - (1) The Administrative Agreement may include punitive Sanctions (disciplinary warning or disciplinary probation) as well as educational Sanctions (papers, seminars, community service, etc.).
 - (2) Breach of an Administrative Agreement may result in a new Administrative Agreement, or Representative may refer the matter to be resolved by a Formal Hearing or Mediation.
- (iii) Deferred Determination: Deferred Determination is when the determination is delayed so the Responding Party can complete certain requirements in an allotted timeframe. The Representative determines the requirements and timeframe in which the requirements must be met. At the completion of all

requirements, the Responsible Party will be found “not responsible.” Deferred Determination only be used for specific non-violent first-time offenses.

- (i) **Failure to Resolve Through Non-Formal Resolution.** If the charge is not resolved by a non-formal resolution, the matter will be resolved through a Formal Hearing.
- (j) **Formal Hearing:** The Formal Hearing is not a criminal or judicial proceeding and is designed to address student or student organization behavior; therefore, alleged violations of the Student Code of Conduct will be addressed independently of any penalty imposed by the courts for a criminal offense. All Formal Hearings are recorded and confidential.
 - (i) Notice of Formal Hearing. The written Notice of Formal Hearing is sent to the Responding party and the Reporting party at least five (5) business days prior to the Formal Hearing. The notice must include:
 - (1) The date, time, and location of the Formal Hearing;
 - (2) The names of witnesses to be called and information to be used in the Responding party’s matter;
 - (3) Whether the Hearing Body received any additional information after the Initial Meeting that will be used in the Formal Hearing, and, if so, will indicate when and where the additional information may be viewed; and
 - (4) The names of the members of the Hearing Body.
 - (ii) Responding Party’s Right to Hearing Panel and Waiver. The Responding party has the right to a Formal Hearing conducted by a Hearing Panel. If the Responding party chooses to waive this right, a Hearing Officer conducts the Formal Hearing. The Responding party may waive their right to a Hearing Panel if:
 - (1) The Responding party requests such a waiver in writing on forms provided by the University that include an explanation of the effect of the waiver; and
 - (2) The Vice Provost of Student Affairs or designee approves the Responding party’s request.
 - (iii) Responding Party’s and Reporting Party’s Right to Inspect Information. The Responding party and the Reporting party each have the right to inspect all of the information, including witnesses, that will be presented against the Responding party at least three (3) business days before the Formal Hearing.
 - (iv) University’s Right to Inspect Information. The University also has the right to review any information, including witnesses, the Responding party and Reporting party intend to use at least three (3) business days before the Formal Hearing.
 - (v) Reporting Party’s Rights. Reporting Party has the right:
 - (1) To have unrelated past behavior excluded from the hearing.
 - (2) To participate in and be present throughout the entire Formal Hearing or any portions thereof. If the Reporting party does not want to be present in the same room as the Responding party, the Hearing Body will make alternative arrangements, if possible.
 - (3) To testify in limited privacy. In lieu of testifying in person or via telephone, the Reporting party may submit a written or recorded statement. The determination of whether the testimony will be given in limited privacy is made at the discretion of the Vice Provost of Student Affairs or designee.

- (4) To submit a “student impact statement” and offer to the Hearing Body a suggestion of what the Reporting party believes to be an appropriate Sanction for the Responding party. This information may be used only to determine Sanctions.
 - (5) To be excluded from direct examination in cases where sexual misconduct or abuse is alleged. The Responding party will not be permitted to directly question the Reporting party where the alleged violations are sexual misconduct or abuse. In such cases, the Responding party and the Reporting party must submit questions to the Hearing Body; however, the Hearing Body is not required to ask all of the questions submitted.
- (vi) Hearing Body. The Hearing Body reviews all information presented during the Formal Hearing and determines whether the Responding party is responsible. The Representative that conducts the Initial Meeting cannot serve as a Hearing Body.
- (1) Formal Hearing Conducted by Hearing Panel. The Representative facilitates a Formal Hearing conducted by a panel. The Representative does not participate in deliberations. The Representative selects a member of the Hearing Panel to chair the hearing and report the recommended finding(s) and sanctions, if any. The Hearing Panel must consist of at least 50% students. The Provost or designee appoints faculty, staff, and student representatives to the Hearing Panel.
 - (2) Formal Hearing Conducted by Hearing Officer. The Hearing Officer conducts the hearing and determines the findings and Sanctions.
 - (3) Hearing Body for Charges Involving Sexual Misconduct. The Hearing Body is comprised of staff and/or faculty for charges involving sexual misconduct. However, upon request by the Responding party, and provided there is no objection from the Reporting party, Representative may approve that the Hearing Body will be a Hearing Panel with at least one-half of the members being students.
 - (4) Hearing Body Member Unable to Serve. If a Hearing Body member is unable to serve due to an emergency or unforeseeable occurrence, the Provost may appoint a new Hearing Body member prior to the scheduled hearing.
 - (5) Challenging a Hearing Body Member’s Impartiality. The Responding party and/or Reporting party has the right to challenge any Hearing Body member’s impartiality at least three (3) business days prior to the scheduled hearing. The Responding party may challenge the substitution of a substituted Hearing Body member at the time of the Formal Hearing. The challenge must be in writing, and must show actual bias (such as a conflict of interest, animosity, pressure, or influence) that would preclude a fair and impartial hearing. The Vice Provost of Student Affairs or designee determines whether to grant such a challenge and such decision is final.
- (vii) Witnesses and Information. The Responding party and/or Reporting party may present or arrange for witnesses to voluntarily present relevant information during the Formal Hearing. Character witnesses cannot participate in the Formal Hearing. The Hearing Body may accept pertinent records, reports, exhibits, and written statements as information for

consideration.

- (1) The Hearing Body facilitates the questioning of witnesses.
 - (2) The Responding party and/or Reporting party may submit a request in writing to the Representative to provide relevant information during the Formal Hearing in a manner that avoids direct contact with the Responding party and/or Reporting party.
 - (3) The Representative has the discretion to approve or deny the request.
- (viii) Questions for Parties and Witnesses. Both parties are required to submit questions they would like the Hearing Body to ask of the other party or witnesses in writing and at least three (3) business days prior to the Formal Hearing. The Hearing Body will then review the questions to ensure they are relevant and appropriate. Both parties also have the opportunity to submit additional questions to the Hearing Body during the Formal Hearing.
- (ix) Determination of Responsibility. The determination of “responsible” or “not responsible” will be based upon a preponderance of the information. The determination must be based solely upon the information presented at the Formal Hearing.

(k) Conduct of Formal Hearings.

- (1) Reading of charge(s) by Hearing Body.
- (2) Responding party’s response of “responsible” or “not responsible.”
- (3) Hearing Body presents information regarding the charges.
- (4) Responding party’s opening statement and presentation of information.
- (5) Reporting party’s opening statement and presentation of information.
- (6) Hearing Body’s questioning of the Responding party, Reporting Party and/or witnesses.
- (7) Hearing Body’s asking of questions that were submitted by the parties in advance of the Formal Hearing.
- (8) Hearing Body’s final questions of the Responding party.
- (9) Parties may submit additional questions, if any, to the Hearing Body for consideration.
- (10) Hearing Body’s asking of additional question, if any.
- (11) Responding party’s closing remarks.
- (12) Reporting party’s closing remarks.
- (13) Hearing is brought to a close.

(l) **Deliberations**. Deliberations by the Hearing Body are not part of the hearing and are confidential. Deliberations occur after the close of the hearing and are not recorded.

(m) Findings, Recommendation, and Determination.

- (i) Presentment of Proposed Findings and Sanctions to Vice Provost. The Hearing Body’s proposed findings and Sanctions must be presented to the Vice Provost of Student Affairs or designee within a reasonable period of time after the conclusion of the Formal Hearing.
- (ii) Vice Provost’s Determination. The Vice Provost of Student Affairs or designee may accept the proposed findings of responsible or not responsible or remand the matter for a rehearing.
 - (1) If the Vice Provost of Student Affairs or designee accepts the proposed finding of responsible, then they may approve, mitigate, or increase the Sanctions proposed by the Hearing Body.

(2) If the Vice Provost of Student Affairs or designee alters the proposed Sanctions or remands the matter for a rehearing, the Responding party must be given a concise and explicit written statement that explains the basis for the decision to alter the Sanctions or remand the matter for a rehearing.

(n) **Notice of Determination and Sanctions.** Following the Student Conduct Review Process, the Vice Provost of Student Affairs or designee notifies the Representative of the determination. The Representative notifies the Responding party and the Reporting party in writing of the determination and, to the extent permitted by law, of any Sanctions imposed.

(o) **Official Record.** The recording of the Formal Hearing will serve as the official record of the Formal Hearing and is the property of the University. Retention of the record is subject to the General Records Schedule GS5 for Universities and Community Colleges.

(p) **Appeal Process.**

(i) Responsibility. The Provost is responsible for overseeing the appeal process. The Provost may designate a University employee as an appellate officer to review the appeal and render a determination.

(ii) Appeal deadline. The Responsible or the Reporting party may appeal a determination reached or an imposed Sanction to the Representative. Such appeals must be in writing and must be received by the Representative no later than five (5) business days after the date the determination was sent.

(iii) Persons who may not hear or decide an appeal. No person may hear or decide an appeal if he or she conducted or participated in the Student Conduct Review Process being reviewed on appeal.

(iv) Basis of Appeal. When submitting an appeal, the student must state the reason(s) for appeal, the supporting facts, and the recommended solution. This is not a re-hearing of the conduct case. An appeal cannot be filed simply because the student is dissatisfied with the decision. Failure to describe the nature of the information in full detail in the appeal letter will result in the denial of an appeal.

(1) Formal Hearing was not Properly Conducted. The purpose of the appeal will be to determine whether the Formal Hearing was conducted fairly in light of the charges and information presented, and in conformity with prescribed procedures. This includes evident bias in the decision of the Hearing Body. However, deviations from designated procedures will not be a basis for sustaining an appeal unless significant prejudice results.

(2) Sanctions Imposed were Improper. The purpose of the appeal will be to determine whether the Sanction(s) imposed were inconsistent or overly severe for the charge(s) for which Responsible was found responsible.

(3) New Information not known at time of Formal Hearing. The purpose of the appeal will be to consider new information, sufficient to alter a recommendation that was not known to the Responsible at the time of the Formal Hearing.

(v) Information to be Reviewed on Appeal. An appeal is limited to a review of the verbatim record of the Formal Hearing and supporting documents unless the basis of appeal is to consider new information.

(vi) Appeals Decision. The Provost or appellate officer determines whether to uphold the determination and sends written notification of such decision to the Representative within five (5) business days of receiving the appeal.

(1) If the result of the appeal is to uphold the determination, the matter is final and binding on all involved.

(2) If the earlier determination is not upheld on appeal, a new Formal Hearing will occur.

(vii) Notice of Appeal Outcome. The Representative provides written notice of the outcome of the appeal within three (3) business days of receiving the decision from the Provost or appellate officer.

(viii) Final Decisions Resulting in University Suspension or Expulsion. Final appellate decisions that result in a University Suspension or Expulsion of the Responsible must include notice of the right to appeal to an external judicial forum.

(10) Disciplinary and Academic Records. The Vice Provost of Student Affairs determines whether disciplinary Sanctions are noted on the Responsible student's permanent academic record and disciplinary record. Upon graduation, the Responsible student may submit a request to the Office of Student Development to have his/her disciplinary record expunged of disciplinary actions other than Residence Hall Expulsion, University Suspension, University Expulsion, or revocation or withholding of a degree.

(11) Student's Education Record. The records of the Student Conduct Review Process and of the Sanctions imposed, if any, are considered "education records" of both the Responsible and the Reporting party (if Reporting party is a student) pursuant to The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99).

(12) Interpretation and Revision.

(a) Any questions of interpretation or application of the Student Code of Conduct are referred to the Provost or designee for final determination.

(b) The Student Code of Conduct is reviewed periodically by a committee that includes student representation under the direction of the Provost or designee.

Authority: FBOG regulations 1.001(4)(a)(10), 6.010, 6.0105

History: New 1.14.14, Amended 7.29.14, Amended 12.6.2017 Amended _____

**Student Code of Conduct: Mark-up to
produced revision, May 2020**

THE FLORIDA POLYTECHNIC UNIVERSITY BOARD OF TRUSTEES

FPU-3.006 Student Code of Conduct

(1) Introduction

- (a) **Community Values.** The Student Code of Conduct is designed to promote responsible behavior for all students consistent with the values and welfare of the Florida Polytechnic University (“University”) community. It exists to define the behavioral rights and responsibilities of University students and student organizations. The Student Code of Conduct fosters and enhances the academic mission of the University as well as protects the rights of all University students, faculty, and staff.
- (b) **Applicability.** The Student Code of Conduct applies to the conduct of any student or student organization that occurs: on University property; at University or student-sponsored activities; and at locations where a University course or program is being conducted, including foreign locations such as study abroad and exchange programs. It also applies to off-campus conduct and online conduct that adversely affects the University community and/or the pursuit of its objectives.

(2) Authority

- (a) The Florida Polytechnic University Board of Trustees is charged with the responsibility and authority for creating a Student Conduct Review Process. Authority for the Student Conduct Review Process rests with the University President or designee (“President”).
- (b) Student organizations are also regulated under this authority.

(3) Definitions

- (a) **Responding Party.** Any student or student organization that has been charged with violating the Student Code of Conduct.
- (b) **Advisor.** The person chosen by the Responding party who may assist and/or accompany the Responding party throughout the Student Conduct Review Process.
- (c) **Business Day.** Monday through Friday from 8 am to 5 pm, excluding University holidays.
- (d) **Reporting Party.** A person that believes that he or she has been a victim of a student’s misconduct or any person who submits an allegation that a student violated the Student Code of Conduct.
- (e) **Sanction.** Outcome(s) imposed on the Responsible.
- (f) **Faculty Member.** Any person hired by the University to conduct classroom or teaching activities or who is otherwise considered by the University to be a member of its faculty.
- (g) **Good Standing.** A conduct status describing a student who does not have pending charges under the Student Code of Conduct or incomplete misconduct Sanctions.
- (h) **Hearing Body.** Any person or persons appointed by the ~~Vice Provost of Enrollment~~ ~~Vice Provost of Student Affairs~~ ~~Student Affairs~~ or designee to conduct hearings to determine whether the Responding party has violated the Student Code of Conduct and impose Sanctions. This includes a Hearing Officer or Hearing Panel.
- (i) **May.** The term “may” is used in the permissive sense.
- (j) **Policy.** Any written policies, regulations, or rules of the University as found in, but not limited to, the Student Code of Conduct; University Policies, Regulation and

Rules webpage; the Student Handbook; Housing Policies and Rules, and the Undergraduate and the Graduate Catalogs.

- (k) **Preponderance of the Evidence.** Information, considered as a whole that indicates the facts sought to be proved are more likely than not. This is the burden of proof that must be met in a determination of responsible or not responsible.
 - (l) **Representative.** An Office of Student Development employee designated by the ~~Vice-Provost of Enrollment~~ Vice Provost of Student Affairs to fulfill specified duties under the Student Conduct Review Process.
 - (m) **Responsible.** A student or student organization that has been found to have violated the Student Code of Conduct by a preponderance of the evidence.
 - (n) **Student.**
 - (i) Persons taking courses at the University (full-time or part-time) in undergraduate, graduate, or professional studies;
 - ~~(ii)~~ (ii) Persons who withdraw from the University after allegedly violating the Student Code of Conduct;
 - ~~(iii)~~ (iii) **Persons** -who were previously enrolled but are not officially enrolled for a particular term and have a continuing relationship with the University; or
 - ~~(iii)~~ (iv) Persons who have been notified of their acceptance for admission to the University.
 - (o) **Student Organization.** A registered student organization as described in FPU- 3.002 Student Government and Student Organizations.
 - (p) **University Community.** Includes any University officer, employee, student, applicant, visitor, agent, vendor, or contractor.
 - (q) **University Official.** Includes any person employed by the University that is performing assigned administrative or professional responsibilities.
 - (r) **University Property.** Property owned or controlled by the University.
 - (s) **Witness.** A person who has relevant information to help a decision maker determine whether or not an alleged violation of the Student Code of Conduct has taken place.
- (4) Student Rights In the Student Conduct Review Process.** The student has the right to:
- (a) Be free from self-incrimination. However, the rights and rules of evidence or procedure in a civil or criminal proceeding do not apply to the Student Conduct Review Process.
 - (b) Be informed of and receive just and unbiased treatment under the Policies of the University, in its courses, in its residential life, and in its extracurricular activities;
 - (c) Be informed of decisions impacting ~~his or her~~ their status, advancement, or exercise of University benefits, and have the opportunity to appeal, through a defined process and framework, those decisions in accordance with the procedures prescribed in this Student Code of Conduct;
 - (d) Have past behavior considered only when related to the charge(s);
 - (e) Privacy, including the confidentiality of education records according to the Federal Family Educational Rights and Privacy Act of 1974 (FERPA);
 - (f) Adequate notice of charges and a fair and impartial hearing under the Student Code of Conduct;
 - (g) Be secure in their persons, living quarters, papers, and effects against unreasonable searches and seizures by the University; and
 - (h) Ready access to established University Policies.

(5) **Student Responsibilities.** The student has the responsibility to:

- (a) Observe and comply with all University Policies and local, state, and federal laws;
- (b) Respect the rights and privacy of others;
- (c) Accept the Sanctions imposed due to one's actions;
- (d) Maintain high standards of academic integrity and honor in all work submitted; and
- (e) Conduct oneself in a manner that does not infringe upon the rights of other members of the University community.

(6) **Misconduct.** Any student or student organization found to have committed or to have attempted to commit the following misconduct is subject to Sanctions in accordance with this Student Code of Conduct.

(a) **Acts of Dishonesty**, including but not limited to the following:

- (i) **Cheating, plagiarism**, or other forms of academic dishonesty as defined in University Regulation FPU-5.005 Academic Integrity.
- (ii) **Furnishing false information** to any University official, faculty member, or office.
- (iii) **Forgery, alteration, or misuse** of any University document, record, or instrument of identification.

(b) **Disruption or obstruction** of teaching, research, administration, disciplinary proceedings, other University activities, including its public service functions, on or off campus, or of other authorized non-University activities when the conduct occurs on University property.

(c) **Physical abuse, verbal abuse, threats, intimidation, harassment, stalking, coercion**, and/or other conduct that threatens or endangers the health or safety of any person, group, or animal that is not of a sexual nature, including bullying. Bullying is included in this violation and refers to repeated and/or severe aggressive behaviors that intimidate or intentionally harm or control another person physically or emotionally, and such conduct is not protected by freedom of expression.

(d) **Sexual misconduct** as defined in University Policies.

(e) **Attempted or actual theft** of and/or **damage to property**, including intellectual property, or services provided of the University or property of a member of the University community or other personal or public property, on or off campus.

(f) **Hazing**, means any action or situation, which occurs on or off University property, that recklessly or intentionally endangers the mental or physical health or safety of a student for purposes including, but not limited to, initiation, admission into, affiliation with, or the perpetuation or furtherance of a tradition or ritual of any University student organization or group whether or not officially recognized by the University. Hazing includes, but is not limited to, pressuring or coercing the student into violating state or federal law; any brutality of a physical nature, such as whipping, beating, branding, exposure to the elements, forced consumption of any food, liquor, drug, or other substance; or other forced physical activity that could adversely affect the physical health or safety of the student; or any activity that would subject the student to extreme mental stress, such as sleep deprivation, forced exclusion from social contact, forced conduct that could result in extreme embarrassment, or other forced activity that could adversely affect the mental health or dignity of the student. Hazing does not include customary athletic events or other similar contests or competitions or any activity or conduct that furthers a legal and legitimate objective defined as an act which endangers the mental or physical health or safety of a student, or which destroys or removes public or private property, for the purpose of initiation, admission into,

~~affiliation with, or as a condition for continued membership in, a group or organization. The express or implied consent of the victim will not be a defense. Apathy or acquiescence in the presence of hazing are not neutral acts; they are violations of this regulation.~~

- (g) **Failure to comply with directions** of University officials or law enforcement officers acting in performance of their duties and/or failure to identify oneself to such persons when requested to do so.
- (h) **Unauthorized possession, duplication or use of keys** to any University property or unauthorized entry into or use of University property.
- (i) **Violation of any University Policy.**
- (j) **Violation of any federal state, or local law.**

(k) Use, possession, manufacturing, **selling** or distribution of marijuana, heroin, narcotics, or other controlled substances, except as expressly permitted by law. This includes the misuse of prescription drugs, paraphernalia used for drugs (e.g. bongs, glass pipes, etc.) and the un-prescribed use, inhalation, or ingestion of a substance (e.g. nitrous oxide, glue, paint, etc.) that could alter a person's ~~Student's mental state is also prohibited.~~

~~(k)~~

(l) Use, **consumption**, possession, manufacturing, **selling** or distribution of alcoholic beverages (except as expressly permitted by University Policies), paraphernalia used for consumption of alcohol (e.g. kegs, bongs, etc.) or public intoxication. Alcoholic beverages may not, in any circumstance, be used by, possessed by or distributed to any person under twenty-one (21) years of age.

(m) **Attending class, an Organizational meeting or other University event that is specific for an educational purpose while under the influence of the substances listed in sections (k) and (l)**

(n) **Control or operation of any vehicle**, including non-motorized vehicles, **while impaired** by alcohol or another substance.

(o) **Illegal or unauthorized possession of firearms, explosives, weapons, or dangerous chemicals** on University property or use of any such item, even if legally possessed, in a manner that harms or threatens others.

(p) Soliciting, facilitating, or participating in any **illegal gambling**, bookmaking or illegal betting whether through a bookmaker, a parlay card, a pool or any other method of organized gambling.

(q) Causing or attempting to cause a **fire or explosion; falsely reporting a fire, explosion, or an explosive device; tampering with fire safety equipment; or failure to evacuate** University buildings during a fire alarm.

(r) **Unauthorized posting of commercial advertising** or engaging in **commercial activity** as described in University Policies.

(s) **Participation in an on-campus or off-campus demonstration, riot or activity that disrupts the normal operations** of the University and/or infringes on the rights of other members of the University community; or leading or inciting others to disrupt scheduled and/or normal activities within any campus building or area.

(t) **Obstruction of the free flow of pedestrian or vehicular traffic** on University property or at University sponsored or supervised functions.

(u) **Conduct that is disorderly, lewd, or indecent; breach of peace**; or aiding, abetting, or procuring another person to breach the peace on University property or at functions the University or members of the University community have sponsored or participated

in.

- (i) **Disorderly Conduct** includes, but is not limited to: any unauthorized use of electronic or other devices to make an audio or video record of any person while on University property without his or her prior knowledge, or without his or her effective consent when such a recording is likely to cause injury or distress. This includes, but is not limited to, surreptitiously taking pictures of another person in a gym, locker room, or restroom.

~~(u)~~(v) **Theft or other abuse of computer facilities and resources**, including but not limited to:

- (i) Unauthorized entry into a file to use, read, or change the contents, or for any other purpose.
- (i) Unauthorized transfer of a file.
- (ii) Use of another individual's identification and/or password.
- (iii) Use of computing facilities and resources to interfere with the work of another student, faculty member or University Official.
- (iv) Use of computing facilities and resources to send obscene or abusive messages.
- (v) Use of computing facilities and resources to interfere with normal operation of the University computing system.
- (vii) Use of computing facilities and resources in violation of copyright laws.

~~(w)~~ **Residence Hall Policy Violation**, includes violations of any policy or regulation governing University Housing, as well as, the Resident Handbook.

~~(v)~~(x) **Abuse of the Student Conduct Review Process**, including but not limited to:

- (i) Failing to obey the notice from the Office of Student Development or a University official to appear for a meeting or hearing as part of the Student Conduct Review Process.
- (ii) Falsifying, distorting, or misrepresenting of information before a Hearing.
- (ii) Disrupting or interfering with the orderly conduct of a Student Conduct Review Process.
- (iii) Reporting a violation of the Student Code of Conduct in bad faith.
- (iv) Attempting to discourage an individual's proper participation in, or use of, the Student Conduct Review Process.
- (v) Attempting to improperly influence the impartiality of a Hearing Body prior to, and/or during the course of, the Student Conduct Review Process.
- (vi) Harassing (verbal or physical) and/or intimidation of a Hearing Body prior to, during, and/or after a Student Conduct Review Proceeding.
- (vii) Failing to comply with the Sanction(s) imposed under the Student Code of Conduct.
- (viii) Influencing or attempting to influence another person to commit an abuse of the Student Conduct Review Process.
- (ix) **Retaliation** against a person(s) alleging misconduct or participating in the student conduct review process.

(7) **Sanctions.** The Responsible is subject to Sanctions commensurate with the offense with consideration given to any aggravating and mitigating circumstances, including but not limited to the Responsible's conduct record at the University. The Responsible's efforts to get help or assist others may be taken into account in determining Sanctions. The Responsible's failure to complete Sanctions may result in a registration, transcript, final

grades, and/or diploma hold. Sanctions that may be imposed upon the Responsible include, but are not limited to:

- (a) **Deactivation.** The loss of all privileges, including University recognition, for a specified period of time when the Responsible is an organization.
- (b) **Discretionary Educational Sanctions.** Work assignments, essays, service to the University, or other related discretionary Sanctions.
- (c) **Fines.** Previously established and published financial fines may be imposed.
- (d) **Loss of Privileges.** Denial of specified privileges for a designated period of time.
- (e) **Probation.** A designated period of time where more severe disciplinary Sanctions will be imposed if the Responsible is found to violate the Student Code of Conduct during the probation period.
- (f) **Residence Hall Expulsion.** Permanent separation of the Responsible from the residence halls.
- (g) **Residence Hall Suspension.** Separation of the Responsible from the residence halls for a definite period of time, after which the Responsible is eligible to return. Conditions for returning to the residence halls may be specified.
- (h) **Restitution.** Requiring compensation for loss, damage, or injury. This may take the form of appropriate service and/or monetary or material replacement.
- (i) **Revocation of Admission and/or Degree.** Admission to the University or a degree awarded from the University may be revoked for fraud, misrepresentation, or other violation of University standards in obtaining the degree, or for other violations that were committed by the student prior to graduation.
- (j) **University Expulsion.** Permanent separation of the Responsible from the University.
- (k) **Deferred Suspension.** Suspension that will be imposed at a defined future date or time unless sanctions are completed as described by the hearing officer and there are no further policy violations.
- (k) **University Suspension.** Separation of the Responsible from the University for a definite period of time. Conditions for readmission to the University will be specified. The Vice Provost of Student Enrollment or designee will instruct the Registrar to place an overlay on the Responsible's transcript during the period of suspension indicating the period of suspension. Further, while on University Suspension, a hold will be placed on the Responsible's record to prevent registration. All assigned educational Sanctions must be completed prior to the restoration of student privileges; otherwise the suspension will remain in effect. A suspended student is not permitted on University property during the length of his/her suspension. A suspension may be deferred so that the Responsible can attend classes for the remainder of the semester.
- (l) **Warning.** A notice in writing to the Responsible that the Responsible is violating or has violated the Student Code of Conduct.
- (m) **Withholding Degree.** The University may withhold awarding a degree otherwise earned until the completion of the process set forth in this Student Code of Conduct, including the completion of any Sanctions imposed.
- (n) More than one **One or more** of the Sanctions listed above may be imposed for any single violation.

(8) **Interim Suspension.** In certain situations, the Provost or designee may impose a University or residence hall interim suspension prior to the completion of the Student Conduct Review Process.

- (a) An interim suspension may be imposed:
 - (i) To ensure the safety and well-being of members of the University community or preservation of University property; [or](#)
 - (ii) ~~To ensure the student's own physical or emotional safety and well-being; or~~ If the student poses an ongoing threat of disruption of, or interference with, the normal operations of the University.
- (b) If requested in writing by the student, an interim suspension is subject to a review at a hearing within three (3) business days by the Provost or designee to determine the status of the interim suspension. The outcome of an interim suspension hearing remains in effect until the final disposition of the charges unless the Provost or designee decides otherwise.
- (c) During the interim suspension, the student may be denied access to the residence halls and/or to the campus (including classes) and/or all other University activities or privileges for which the student might otherwise be eligible, as the Provost or designee determines to be appropriate.
- (d) The interim suspension does not replace the regular Student Conduct Review Process, which proceeds on the normal schedule, up to and through a formal hearing, if required.
- (e) If the student is subsequently found not responsible for the violation, the University will:
 - i) Correct any record of the change in enrollment status in the student's permanent records and reports in a manner compliant with state and federal laws; and
 - ii) Refund to the student a pro rata portion of any charges for tuition and out-of-state fees, as appropriate, if the temporary suspension of the student's ability to attend classes lasts for more than ten (10) business days.

(9) Student Conduct Review Process

(a) General Provisions.

- (i) Requests for reasonable accommodations. The Responding party, Reporting party, or other person participating in the Student Conduct Review Process may submit a request for reasonable accommodations for a documented disability for any part of the Student Conduct Review Process to the Office of Student Development representative (the "Representative"). The Representative must receive such requests at least three (3) business days prior to the part of the Student Conduct Review Process for which the person is requesting accommodations.
 - (1) The Representative has the discretion to grant such requests. The Representative also has the discretion to waive the three (3) business day requirement.
- (ii) Requests for Postponement. The Responding party or Reporting party may request to postpone any part of the Student Conduct Review Process.
 - (1) Requests to postpone any part of the Student Conduct Review Process must:
 - (i) Be submitted in writing to the Representative at least three (3) business days prior to the part of the Student Conduct Review Process for which the person is requesting postponement, and
 - (ii) State the reason(s) for the request.
 - (2) The Representative has the discretion to grant such requests. The Representative also has the discretion to waive the three (3) business day requirement.

- (3) The University is not required to postpone a Student Conduct Review proceeding pending the outcome of a criminal prosecution.
- (iii) Notices. All notices to a student are sent to the student's official University email account. Notices to a student organization are sent to the student organization's highest-ranking officer's official University email account.
- (iv) Remote Participation. The Representative has the discretion to allow the Responding party, Reporting party, and/or Witness to participate in the Student Conduct Review Process remotely via telephone or other electronic means.
- (1) Requests to participate remotely must be received by the Representative at least three (3) business days prior to the part of Student Conduct Review Process for which the request is being made.
 - (2) The Representative has the discretion to waive the three (3) business day requirement.
- (v) Failure to Attend Scheduled Meeting or Hearing.
- (1) After receiving notice, if the Responding party, Reporting party, or Witness does not timely request a postponement and does not attend a scheduled meeting or hearing, the meeting or hearing will take place as scheduled.
 - (2) Sanctions may be imposed against the Responding party even if the Responding party does not attend scheduled meetings and hearings. The Responding party will be sent written notice of any imposed Sanctions.
 - (3) The Representative may have a hold placed on the Responding party's registration, transcript, final grades and/or diploma if the Responding party does not attend a scheduled meeting or hearing. This hold is removed once the Responding party attends the re-scheduled meeting or hearing, or the Student Conduct Review Process is concluded.
- (vi) Advisor. The Responding party and the Reporting party may have, at their own expense and initiative, an Advisor present for any part of the Student Conduct Review Process.
- (1) If the Responding party or Reporting party chooses to have an Advisor, it is his or her responsibility to make appropriate arrangements for the Advisor to attend the Student Conduct Review Process. No part of the Student Conduct Review Process will be delayed due to scheduling conflicts with an Advisor.
 - (2) The Advisor may be present to advise the Responding party or Reporting party but cannot speak for or present the case or otherwise participate directly in the Student Conduct Review Process.
 - (3) If the Responding party or Reporting party chooses an attorney as the Advisor, the Responding party or Reporting party must inform the Representative of such at least three (3) business days prior to the Initial Meeting.
- (vii) University's Right to Attorney. The University may be advised by an attorney at any time prior to, during, or after the Student Conduct Review Process.
- (viii) Burden of Proof. The burden of proof for any portion of the Student Conduct Review Process is not on the Responding party.
- (ix) Student's Eligibility to Attend Classes and University Activities.
- (1) A student remains eligible to attend classes and University activities pending the outcome of the Student Conduct Review Process and until any appeal is concluded except for in the following situations:
 - (i) The student is currently subject to an Interim Suspension; or
 - (ii) Where there is an appeal and the Sanction(s) imposed

included University or Residence Hall Suspension or Expulsion.

- (2) If the student is subsequently found not responsible, the University will:
- (i) Correct any record of the change in enrollment status in the student's permanent records and reports in a manner compliant with state and federal laws; and
 - (ii) Refund to the student a pro rata portion of any charges for tuition and out-of-state fees, as appropriate, if the suspension of the student's ability to attend classes lasted for more than ten (10) school days.

(x) Alleged Violations of University policy FPU-1.005P ~~Sexual Harassment on Sexual Harassment~~ may require additional procedural rights. In the event of a conflict between this regulation and University policy FPU-1.005P Sexual Harassment, University policy FPU-1.005P Sexual Harassment controls. Additionally, in the event of a conflict between this regulation and University Regulation FPU-1.005 Discrimination and Harassment Complaint and Investigation Procedures, University Regulation FPU-1.005 Discrimination and Harassment Complaint and Investigation Procedures controls.

(b) **Student Conduct Report.** Any person or entity may report an alleged violation of the Student Code of Conduct to the Office of Student Development. The University may conduct an investigation regarding the circumstances of the report. An investigation is a neutral fact finding process that determines whether there is sufficient information to move forward with formal student conduct charges or other action as appropriate. An investigation may include interviews with the Reporting Party, ~~the Reporting party~~, the Responding party, and any Witnesses.

(c) **No Charges Filed.** The Representative may choose to not file charges if:

- (i) It is found that there are not sufficient facts or information to substantiate a violation of the Student Code of Conduct;
- (ii) The person being accused of violating the Student Code of Conduct is not a student;
- (iii) The action claimed as misconduct is not a violation of the Student Code of Conduct.
- (iv) Or in other appropriate circumstances such as Medical Amnesty as referenced d in University policy FPU-1.0003P Alcohol Policy.

(d) **Filing Charges and Timeline.** The Representative will review the relevant information to determine if a student or student organization will be charged with violating the

Student Code of Conduct. Upon receipt of a report, the Representative has six (6) months to file a charge. The Representative may exercise discretion when applying the time provision to account for circumstances that warrant a waiver of the six (6) month time limit.

(e) **Notice of Charges.** The Representative will give the Responding party written notice of the charge(s) at least five (5) business days prior to the Initial Meeting, unless student has waived the five (5) business day requirement in writing. The Notice of Charges must include:

- (i) Specific charges including specific code sections alleged to have been violated;
- (ii) A description of the behavior that led to the charges; and

- (iii) An opportunity for the Responding party to attend an Initial Meeting.
- (f) **Notice of Reporting Party's Rights.** The Representative will give the Reporting party written notice of ~~theirhis or her~~ rights ~~at least five (5) business days prior to the Initial Meeting.~~ The Reporting party has the same rights as the Responding party, including the right to appeal and the rights described in Section (9)(j)(v) Reporting party's Rights. The Reporting party also has the same responsibilities as the Responding party.
- (g) **Initial Meeting.** The Responding party has the opportunity to attend an Initial Meeting with the Representative. The Responding party may choose an Advisor to accompany the Responding party to the Initial Meeting.
 - (i) At the Initial Meeting, the Responding party will be given an overview of the Student Conduct Review Process, information known at the time the charge(s) were filed, and an opportunity for the Responding party to accept or deny responsibility for the charge(s).
 - (ii) At the conclusion of the Initial Meeting, the Representative will select an option for resolution. The options are: 1) Dismissal of Charges; 2) Non-Formal Resolution; or 3) Formal Hearing.
 - (1) Responding Party Accepts Responsibility. If the Responding party accepts responsibility, the Representative may choose to resolve the violation through non-formal resolutions.
 - (2) Responding Party Denies Responsibility. If the Responding party denies responsibility or wishes to have a Formal Hearing, the charge(s) will be resolved by a Formal Hearing.
 - (3) Non-Formal Resolution Requirements. Non-formal resolutions may be used when the student accepts responsibility and possible Sanctions do not include suspension or expulsion. Non-formal resolutions may not be used for violations that the Representative deems to be serious, such as sexual misconduct, violence, or violations involving weapons.
- (h) **Non-Formal Resolution.** Non-formal resolutions include:
 - (i) Mediation Agreement: Depending on the nature and severity of the charge, the Representative may recommend mediation. The Responding party and the Reporting party must both agree to mediation for mediation to be an option. Mediation is confidential.
 - (1) In mediation, the Responding party and the Reporting party voluntarily meet with an impartial mediator to communicate their concerns and needs to each other and to reach their own agreement on the resolution of the case ("Mediation Agreement"). The Responding party and Reporting party are responsible for honoring their Mediation Agreement or renegotiating it, if necessary.
 - (2) Breach of a Mediation Agreement may result in a follow up mediation session, or the Representative may refer the matter back through the Student Code Review Process.
 - (3) ~~In the event that~~If the Responding party and Reporting party do not agree to mediate or mediate but do not reach a full and final resolution, the matter will be referred back through the Student Conduct Review Process for an Administrative Agreement or a Formal Hearing.
 - (ii) Administrative Agreement: An Administrative Agreement is negotiated by the Representative and the Responding party. The Administrative Agreement is

between the Responding party and the Office of Student Development.

(1) The Administrative Agreement may include punitive Sanctions (disciplinary warning or disciplinary probation) as well as educational Sanctions (papers, seminars, community service, etc.).

(2) Breach of an Administrative Agreement may result in a new Administrative Agreement, or Representative may refer the matter to be resolved by a Formal Hearing or Mediation.

(iii) Deferred Determination: Deferred Determination is when a Student is responsible for a violation but when the determination finding is delayed held so the Responding Party Student can complete certain requirements in an allotted timeframe. The Representative determines the requirements and timeframe in which the requirements must be met. In order to receive Deferred Determination, the Student must begin by accepting responsibility. At the completion of all requirements, the Responsible Party Student will be found adjudicated "not responsible." Deferred Determination This may only be used for specific non-violent first-time offenses.

- (i) **Failure to Resolve Through Non-Formal Resolution.** If the charge is not resolved by a non-formal resolution, the matter will be resolved through a Formal Hearing.
- (j) **Formal Hearing:** The Formal Hearing is not a criminal or judicial proceeding and is designed to address student or student organization behavior; therefore, alleged violations of the Student Code of Conduct will be addressed independently of any penalty imposed by the courts for a criminal offense. All Formal Hearings are recorded and confidential.
- (i) Notice of Formal Hearing. The written Notice of Formal Hearing is sent to the Responding party and the Reporting party at least five (5) business days prior to the Formal Hearing. The notice must include:
- (1) The date, time, and location of the Formal Hearing;
 - (2) The names of witnesses to be called and information to be used in the Responding party's matter;
 - (3) Whether the Hearing Body received any additional information after the Initial Meeting that will be used in the Formal Hearing, and, if so, will indicate when and where the additional information may be viewed; and
 - (4) The names of the members of the Hearing Body.
- (ii) Responding Party's Right to Hearing Panel and Waiver. The Responding party has the right to a Formal Hearing conducted by a Hearing Panel. If the Responding party chooses to waive this right, a Hearing Officer conducts the Formal Hearing. The Responding party may waive ~~their~~his or her right to a Hearing Panel if:
- (1) The Responding party requests such a waiver in writing on forms provided by the University that include an explanation of the effect of the waiver; and
 - (2) The ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee approves the Responding party's request.
- (iii) Responding Party's and Reporting Party's Right to Inspect Information. The Responding party and the Reporting party each have the right to inspect all of the information, including witnesses, that will be presented against the Responding party at least three (3) business days before the Formal Hearing.
- (iv) University's Right to Inspect Information. The University also has the right to

review any information, including witnesses, the Responding party and Reporting party~~Complaint~~ intend to use at least three (3) business days before the Formal Hearing.

(v) Reporting Party's Rights. Reporting Party has the right:

- (1) To have unrelated past behavior excluded from the hearing.
- (2) To participate in and be present throughout the entire Formal Hearing or any portions thereof. If the Reporting party does not want to be present in the same room as the Responding party ~~Student~~, the Hearing Body will make alternative arrangements, if possible.
- (3) To testify in limited privacy. In lieu of testifying in person or via telephone, the Reporting party may submit a written or recorded statement. The determination of whether the testimony will be given in limited privacy is made at the discretion of the ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee.
- (4) To submit a "student impact statement" and offer to the Hearing Body a suggestion of what the Reporting party believes to be an appropriate Sanction for the Responding party. This information may be used only to determine Sanctions.
- (5) To be excluded from direct examination in cases where sexual misconduct or abuse is alleged. The Responding party will not be permitted to directly question the Reporting party where the alleged violations are sexual misconduct or abuse. In such cases, the Responding party and the Reporting party must submit questions to the Hearing Body; however, the Hearing Body is not required to ask all of the questions submitted.

(vi) Hearing Body. The Hearing Body reviews all information presented during the Formal Hearing and determines whether the Responding party is responsible. The Representative that conducts the Initial Meeting cannot serve as a Hearing Body.

- (1) Formal Hearing Conducted by Hearing Panel. The Representative facilitates a Formal Hearing conducted by a panel. The Representative does not participate in deliberations. The Representative selects a member of the Hearing Panel to chair the hearing and report the recommended finding(s) and sanctions, if any. The Hearing Panel must consist of at least 50% students. The Provost or designee appoints faculty, staff, and student representatives to the Hearing Panel.
- (2) Formal Hearing Conducted by Hearing Officer. The Hearing Officer conducts the hearing and determines the findings and Sanctions.
- (3) Hearing Body for Charges Involving Sexual Misconduct. The Hearing Body is comprised of staff and/or faculty for charges involving sexual misconduct. However, upon request by the Responding party, and provided there is no objection from the Reporting party, Representative may approve that the Hearing Body will be a Hearing Panel with at least one-half of the members being students.
- (4) Hearing Body Member Unable to Serve. If a Hearing Body member is unable to serve due to an emergency or unforeseeable occurrence, the Provost may appoint a new Hearing Body member prior to the scheduled hearing.
- (5) Challenging a Hearing Body Member's Impartiality. The Responding

party and/or Reporting party has the right to challenge any Hearing Body member's impartiality at least three (3) business days prior to the scheduled hearing. The Responding party may challenge the substitution of a substituted Hearing Body member at the time of the Formal Hearing. The challenge must be in writing, and must show actual bias (such as a conflict of interest, animosity, pressure, or influence) that would preclude a fair and impartial hearing. The ~~Vice Provost of Enrollment~~ Vice Provost of Student Affairs or designee determines whether to grant such a challenge and such decision is final.

(vii) Witnesses and Information. The Responding party and/or Reporting party may present or arrange for witnesses to voluntarily present relevant information during the Formal Hearing. Character witnesses cannot participate in the Formal Hearing. The Hearing Body may accept pertinent records, reports, exhibits, and written statements as information for consideration. Questions for the parties are requested in advance to be providing to the Hearing Body prior to the start of the Formal Hearing for review, this does not take away from additional opportunities to ask questions during the Formal Hearing.

(1) The Hearing Body facilitates the questioning of witnesses.

(2) The Responding party and/or Reporting party may submit a request in writing to the Representative to provide relevant information during the Formal Hearing in a manner that avoids direct contact with the Responding party and/or Reporting party.

(3) The Representative has the discretion to approve or deny the request.

(viii) Questions for Parties and Witnesses. Both parties are required to submit questions they would like the Hearing Body to ask of the other party or witnesses in writing and at least three (3) business days prior to the Formal Hearing. The Hearing Body will then review the questions to ensure they are relevant and appropriate. Both parties also have the opportunity to submit additional questions to the Hearing Body during the Formal Hearing.

(~~viii~~)(ix) Determination of Responsibility. The determination of "responsible" or "not responsible" will be based upon a preponderance of the information. The determination must be based solely upon the information presented at the Formal Hearing.

(k) **Conduct of Formal Hearings.**

(1) Reading of charge(s) by Hearing Body.

(2) Responding party's response of "responsible" or "not responsible."

(3) Hearing Body presents information regarding the charges.

(4) Responding party's opening statement and presentation of information.

(5) Reporting party's opening statement and presentation of information.

(6) Hearing Body's questioning of the Responding party, Reporting Party and/or witnesses.

(7) Hearing Body's asking of questions that were submitted by ~~ing the parties in advance of the Formal Hearing to the Hearing Body~~ of Reporting party, witnesses, and/or Reporting Party. (This may include questions submitted to the Hearing Body for charges of sexual misconduct and abuse. See Section (j)(v)(5).

(8) Hearing Body's final questions of the Responding party.

(9) Parties may submit additional questions, if any, to the Hearing Body for

consideration.

~~(8)~~(10) Hearing Body's asking of additional question, if any.

~~(9)~~(11) Responding party's closing remarks.

~~(40)~~(12) Reporting party's closing remarks.

~~(41)~~(13) Hearing is brought to a close.

(l) **Deliberations.** Deliberations by the Hearing Body are not part of the hearing and are confidential. Deliberations occur after the close of the hearing and are not recorded.

(m) **Findings, Recommendation, and Determination.**

~~(ix) Announcement of Proposed Findings and Sanctions. Following deliberations, the Hearing Officer or the Representative will announce to the Responding party the proposed findings and any Sanctions. The announcement of the proposed findings and any Sanctions are recorded as part of the official hearing record.~~

(i) Presentment of Proposed Findings and Sanctions to Vice Provost. The Hearing Body's proposed findings and Sanctions must be presented to the ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee within a reasonable period of time after the conclusion of the Formal Hearing.

(ii) Vice Provost's Determination. The ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee may accept the proposed findings of responsible or not responsible or remand the matter for a rehearing.

(1) If the ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee accepts the proposed finding of responsible, then ~~they~~he/she may approve, mitigate, or increase the Sanctions proposed by the Hearing Body.

(2) If the ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee alters the proposed Sanctions or remands the matter for a rehearing, the Responding party must be given a concise and explicit written statement that explains the basis for the decision to alter the Sanctions or remand the matter for a rehearing.

(n) **Notice of Determination and Sanctions.** Following the Student Conduct Review Process, the ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs or designee notifies the Representative of the determination. The Representative notifies the Responding party and the Reporting party in writing of the determination and, to the extent permitted by law, of any Sanctions imposed.

(o) **Official Record.** The recording of the Formal Hearing will serve as the official record of the Formal Hearing and is the property of the University. Retention of the record is subject to the General Records Schedule GS5 for Universities and Community Colleges.

(p) **Appeal Process.**

(i) Responsibility. The ~~President Provost~~ is responsible for overseeing the appeal process. The ~~President Provost~~ may designate ~~the Provost to oversee the appeal process~~a University employee as an appellate officer to review the appeal and render a determination.

(ii) Appeal deadline. The Responsible or the Reporting party may appeal a determination reached or an imposed Sanction to the ~~President~~Representative. Such appeals must be in writing and must be received by the ~~President~~Representative no later than five (5) business

days after the date the determination was sent.

(iii) Persons who may not hear or decide an appeal. No person may hear or decide an appeal if he or she conducted or participated in the Student Conduct Review Process being reviewed on appeal.

~~(ix) When submitting an appeal, the student must state the reason(s) for appeal, the supporting facts, and the recommended solution. This is not a re-hearing of the conduct case. An appeal cannot be filed simply because the student is dissatisfied with the decision. Failure to describe the nature of the information in full detail in the appeal letter will result in the denial of an appeal.~~

(iii)(iv) Basis of Appeal. When submitting an appeal, the student must state the reason(s) for appeal, the supporting facts, and the recommended solution. This is not a re-hearing of the conduct case. An appeal cannot be filed simply because the student is dissatisfied with the decision. Failure to describe the nature of the information in full detail in the appeal letter will result in the denial of an appeal.

(1) Formal Hearing was not Properly Conducted. The purpose of the appeal will be to determine whether the Formal Hearing was conducted fairly in light of the charges and information presented, and in conformity with prescribed procedures. This includes evident bias in the decision of the Hearing Body. However, deviations from designated procedures will not be a basis for sustaining an appeal unless significant prejudice results.

~~(2) No Substantial Information to Support Recommendation. The purpose of the appeal will be to determine whether the Hearing Body's recommendation regarding the Responsible was based on substantial information. A recommendation is based on substantial information when the Hearing Body adequately considered all relevant facts presented during the Formal Hearing.~~

~~(3)(2) Sanctions Imposed were Improper.~~ The purpose of the appeal will be to determine whether the Sanction(s) imposed were inconsistent or overly severe for the charge(s) for which Responsible was found responsible.

~~(4)(3) New Information not known at time of Formal Hearing.~~ The purpose of the appeal will be to consider new information, sufficient to alter a recommendation that was not known to the Responsible at the time of the Formal Hearing.

(iv)(v) Information to be Reviewed on Appeal. An appeal is limited to a review of the verbatim record of the Formal Hearing and supporting documents unless the basis of appeal is to consider new information.

(v)(vi) President's Appeals Decision. The ~~President~~ Provost or appellate officer designee determines whether to uphold the determination and sends written notification of such decision to the Representative within five (5) business days of receiving the appeal.

(1) If the result of the appeal is to uphold the determination, the matter is final and binding on all involved.

(2) If the earlier determination is not upheld on appeal, a new Formal Hearing will occur.

(vi)(vii) Notice of Appeal Outcome. The Representative provides written notice of the outcome of the appeal within three (3) business days of receiving the ~~Provost's~~ decision from the Provost or appellate officer.

~~(vii)~~(viii) Final Decisions Resulting in University Suspension or Expulsion.

Final appellate decisions that result in a University Suspension or Expulsion of the Responsible must include notice of the right to appeal to an external judicial forum.

(10) Disciplinary and Academic Records. The ~~Vice Provost of Enrollment~~Vice Provost of Student Affairs determines whether disciplinary Sanctions are noted on the Responsible student's permanent academic record and disciplinary record. Upon graduation, the Responsible student may submit a request to the Office of Student Development to have his/her disciplinary record expunged of disciplinary actions other than Residence Hall Expulsion, University Suspension, University Expulsion, or revocation or withholding of a degree.

(11) Student's Education Record. The records of the Student Conduct Review Process and of the Sanctions imposed, if any, are considered "education records" of both the Responsible and the Reporting party (if Reporting party is a student) pursuant to The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99).

(12) Interpretation and Revision.

- (a) Any questions of interpretation or application of the Student Code of Conduct are referred to the Provost or designee for final determination.
- (b) The Student Code of Conduct is reviewed periodically by a committee that includes student representation under the direction of the Provost or designee.

Authority: FBOG regulations 1.001(4)(a)(10), 6.010, 6.0105

History: New 1.14.14, Amended 7.29.14, Amended 12.6.2017



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Audit & Compliance Committee Meeting

Wednesday, May 20, 2020, 10:00-10:15 AM
Or upon conclusion of the Academic & Student Affairs Committee meeting

Florida Polytechnic University
TELE-CONFERENCE MEETING

Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Gary Wendt, Chair
Connor Coddington

Mark Bostick, Vice Chair
Dr. W. Earl Sasser

Dr. Victoria Astley

AGENDA

- | | |
|--|-------------------|
| I. Call to Order | Gary Wendt, Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Gary Wendt, Chair |
| IV. Approval of the February 25, 2020 Minutes
<i>*Action Required*</i> | Gary Wendt, Chair |
| V. University Financial Audit – (FYE 6/30/19)
<i>*Action Required*</i> | David Blanton |
| VI. Foundation Form 990 (FYE 6/30/19)
<i>*Action Required*</i> | David Blanton |
| VII. UAC Quality Assurance Review – Self Assessment (Report No. FPU 2020-07)
<i>*Action Required*</i> | David Blanton |
| VIII. Charter Review and Approval/Committee Evaluation
<i>*Action Required*</i> | David Blanton |
| IX. Closing Remarks and Adjournment | Gary Wendt, Chair |

Florida Polytechnic University
Board of Trustees

Audit and Compliance Committee Meeting

DRAFT MEETING MINUTES

Tuesday February 25, 2020
2:45 PM - 3:45 PM

Florida Polytechnic University, IST 1046
4700 Research Way, Lakeland, FL 33805

I. Call to Order

Committee Chair Gary Wendt called the meeting to order at 2:42 p.m.

II. Roll Call

Kim Abels called the roll: Committee Chair Gary Wendt, Committee Vice-Chair Mark Bostick, Trustee Earl Sasser, Trustee Ryan Perez, Trustee Adriene Perry and Trustee Victoria Astley were present (Quorum).

Other trustees present: No other trustees were present

Staff present: Mr. David Blanton, Mrs. Kim Abels, Mr. Alex Landback, Ms. Michele Rush, Mr. Rick Maxey, Mr. Kevin Calkins, Mr. John Sprenkle, Dr. Terry Parker, Mr. David Calhoun, Ms. Penny Farley, Mr. Tom Dvorske, Mr. Larry Locke, Ms. Deann Doll, Ms. Iliana Ricelli, and Mrs. Kathy Bowman were present.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee Mark Bostick made a motion to approve the Audit & Compliance Committee meeting minutes of December 10, 2019. Trustee Earl Sasser seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2018-2020 Audit & Compliance Committee Work Plan Review

Mr. David Blanton reviewed the Work Plan for 2018-2020. There were no changes to the Work Plan.

VI. Audit & Compliance Update

Mr. Blanton provided the Committee with an update of audit and compliance activities. The updates included the following:

- A. External Audits: Currently, Florida Poly's Financial audit for the fiscal year ended 3/30/19 is near completion and will soon be subjected to an audit of the Bright Futures Program administration and an Operational audit (both to be conducted by the Florida Auditors General).
- B. Internal Audit and Compliance Activities: Currently the University has the following projects in progress:
 - o Admissions Follow up review
 - o Quality Assurance Review (self-Assessment)
- C. Foundation Operating and Scholarship Funds: Mr. Blanton reported on the revenues and expenses for these Foundation funds through January of 2020. Revenues continue to decline; however, the University has also acted to reduce Foundation expenses for this same period.
- D. House Select Committee on Research Integrity: Mr. Blanton reported University Compliance has responded to 2 requests for information related to risks involving foreign influence in research.

VII. Foundation Financial Audit (FYE 6/30/19)

The CAE/CCO presented the Foundation's audited financial statements for the fiscal year ended June 30, 2019. The Foundation received a clean opinion and the balance sheet improved significantly as a result of the pledge forgiveness.

Trustee Adrienne Perry made a motion to approve the Foundation Financial audit (FYE 6/3019) Trustee Earl Sasser seconded the motion; a vote was taken, and the motion passed unanimously.

VIII. Crowe Internal Management and Accounting Control and Business Process Assessment (November 2019)

The CAE presented the assessment report by Crowe. LLP, and reported that Florida Poly fared very favorably with only two low risk observations (Written IT Policies/Procedures and Removable Media Controls).

Trustee Victoria Astley made a motion to recommend approval of the Crowe Internal Management and Accounting Control and Business Process Assessment, date November 2019 to the Board of Trustees. Trustee Mark Bostick seconded the motion; a vote was taken, and the motion passed unanimously.

IX. Closing Remarks and Adjournment

With no further business to discuss, the meeting adjourned at 3:26 p.m.

**Florida Polytechnic University
Audit and Compliance Committee
Board of Trustees
May 20, 2020**

Subject: University Financial Audit – Fiscal Year Ended 6/30/19

Proposed Committee Action

Recommend approval of the Florida Polytechnic University Financial audit conducted by the Florida Auditor General for the fiscal year ended June 30, 2019 to the Board of Trustees.

Background Information

In accordance with Section 11.45, Florida Statutes, a financial audit was performed on the University's basic financial statements for the fiscal year ended June 30, 2019 by the Florida Auditor General. David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will present the results of the financial audit to the Committee for their consideration and approval.

Supporting Documentation: Florida Polytechnic University Financial audit report for the fiscal year ended June 30, 2019. (Auditor General Report No. 2020-131)

Prepared by: David A. Blanton, CAE/CCO

Report No. 2020-131
February 2020

STATE OF FLORIDA AUDITOR GENERAL

Financial Audit

FLORIDA POLYTECHNIC UNIVERSITY

For the Fiscal Year Ended
June 30, 2019



Sherrill F. Norman, CPA
Auditor General

Board of Trustees and President

During the 2018-19 fiscal year, Dr. Randy K. Avent served as President of Florida Polytechnic University and the following individuals served as Members of the Board of Trustees:

Donald H. Wilson, Chair	Frank T. Martin
Clifford "Cliff" K. Otto, Vice Chair	Henry McCance
Dr. Victoria Astley ^a from 5-2-19	Ryan Perez ^b from 4-25-19
R. Mark Bostick	Dr. Adrienne Perry
Dr. James Dewey ^a through 5-1-19	Dr. Louis S. Saco
Rear Admiral Philip A. Dur, USN (Ret.)	Robert W. Stork
Dr. Richard P. Hallion	Gary C. Wendt
Travis Hills ^b through 4-24-19	

^a Faculty Senate Chair.

^b Student Body President.

The Auditor General conducts audits of governmental entities to provide the Legislature, Florida's citizens, public entity management, and other stakeholders unbiased, timely, and relevant information for use in promoting government accountability and stewardship and improving government operations.

The team leader was Gregory J. Lemieux, CPA, and the audit was supervised by Mark A. Arroyo, CPA.

Please address inquiries regarding this report to Jaime N. Hoelscher, CPA, Audit Manager, by e-mail at jaimehoelscher@aud.state.fl.us or by telephone at (850) 412-2868.

This report and other reports prepared by the Auditor General are available at:

FLAuditor.gov

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State of Florida Auditor General

Claude Pepper Building, Suite G74 · 111 West Madison Street · Tallahassee, FL 32399-1450 · (850) 412-2722

FLORIDA POLYTECHNIC UNIVERSITY
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SUMMARY

SUMMARY OF REPORT ON FINANCIAL STATEMENTS

Our audit disclosed that the basic financial statements of Florida Polytechnic University (a component unit of the State of Florida) were presented fairly, in all material respects, in accordance with prescribed financial reporting standards.

SUMMARY OF REPORT ON INTERNAL CONTROL AND COMPLIANCE

Our audit did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses.

The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*, issued by the Comptroller General of the United States.

AUDIT OBJECTIVES AND SCOPE

Our audit objectives were to determine whether Florida Polytechnic University and its officers with administrative and stewardship responsibilities for University operations had:

- Presented the University's basic financial statements in accordance with generally accepted accounting principles;
- Established and implemented internal control over financial reporting and compliance with requirements that could have a direct and material effect on the financial statements; and
- Complied with the various provisions of laws, rules, regulations, contracts, and grant agreements that are material to the financial statements.

The scope of this audit included an examination of the University's basic financial statements as of and for the fiscal year ended June 30, 2019. We obtained an understanding of the University's environment, including its internal control, and assessed the risk of material misstatement necessary to plan the audit of the basic financial statements. We also examined various transactions to determine whether they were executed, in both manner and substance, in accordance with governing provisions of laws, rules, regulations, contracts, and grant agreements.

An examination of Federal awards administered by the University is included within the scope of our Statewide audit of Federal awards administered by the State of Florida.

AUDIT METHODOLOGY

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and applicable standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.



Sherrill F. Norman, CPA
Auditor General

AUDITOR GENERAL STATE OF FLORIDA

Claude Denson Pepper Building, Suite G74
111 West Madison Street
Tallahassee, Florida 32399-1450



Phone: (850) 412-2722
Fax: (850) 488-6975

The President of the Senate, the Speaker of the
House of Representatives, and the
Legislative Auditing Committee

INDEPENDENT AUDITOR'S REPORT

Report on the Financial Statements

We have audited the accompanying financial statements of Florida Polytechnic University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2019, and the related notes to the financial statements, which collectively comprise the University's basic financial statements as listed in the table of contents.

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 opinions on these financial statements based on our audit. We did not audit the financial statements of the discretely presented component unit, which represent 100 percent of the transactions and account balances of the discretely presented component unit columns. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for the discretely presented component unit, is based solely on the report of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from 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 opinions.

Opinions

In our opinion, based on our audit and the report of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of Florida Polytechnic University and of its discretely presented component unit as of June 30, 2019, and the respective changes in financial position and, where applicable, cash flows thereof for the fiscal year then ended in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in Notes 2. and 3. to the financial statements, the University's discretely presented component unit changed its financial accounting framework from that prescribed by the Financial Accounting Standards Board to the framework prescribed by the Governmental Accounting Standards Board. This affects the comparability of amounts reported by the component unit for the 2018-19 fiscal year with amounts reported for the 2017-18 fiscal year. Our opinion is not modified with respect to this matter.

Other Matter

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that **MANAGEMENT'S DISCUSSION AND ANALYSIS**, the **Schedule of the University's Proportionate Share of the Total Other Postemployment Benefits Liability**, **Schedule of the University's Proportionate Share of the Net Pension Liability – Florida Retirement System Pension Plan**, **Schedule of University Contributions – Florida Retirement System Pension Plan**, **Schedule of the University's Proportionate Share of the Net Pension Liability – Health Insurance Subsidy Pension Plan**, **Schedule of University Contributions – Health Insurance Subsidy Pension Plan**, and **Notes to Required Supplementary Information**, as listed in the table of contents, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements,

and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated February 27, 2020, on our consideration of the Florida Polytechnic University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, rules, regulations, contracts, and grant agreements and other matters included under the heading **INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Florida Polytechnic University's internal control over financial reporting and compliance.

Respectfully submitted,



Sherrill F. Norman, CPA
Tallahassee, Florida
February 27, 2020

MANAGEMENT'S DISCUSSION AND ANALYSIS

Management's discussion and analysis (MD&A) provides an overview of the financial position and activities of the University for the fiscal year ended June 30, 2019, and should be read in conjunction with the financial statements and notes thereto. The MD&A, and financial statements and notes thereto, are the responsibility of University management. The MD&A contains financial activity of the University for the fiscal years ended June 30, 2019, and June 30, 2018.

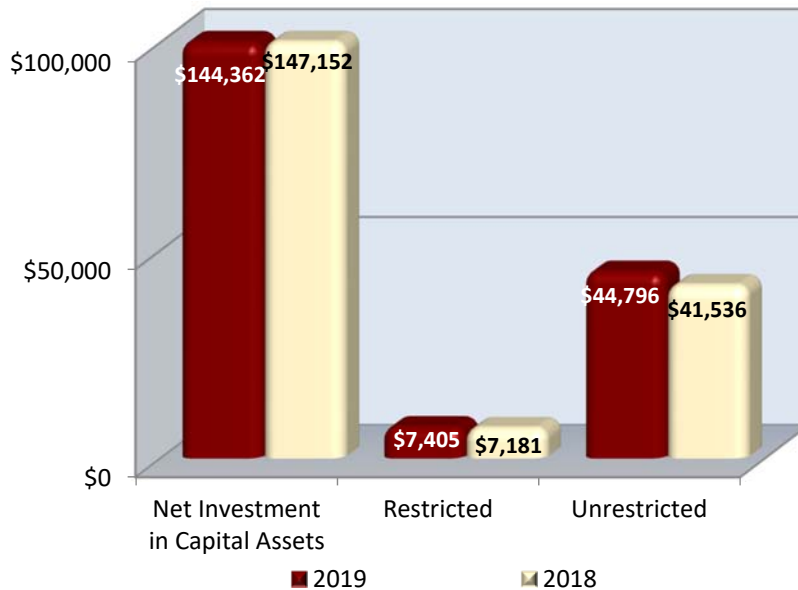
FINANCIAL HIGHLIGHTS

The University's assets and deferred outflows of resources totaled \$221.3 million at June 30, 2019. This balance reflects a \$3.2 million, or 1.5 percent, increase as compared to the 2017-18 fiscal year, resulting from an increase in investments due to an insurance recovery for damages to the Innovation, Science and Technology (IST) building during Hurricane Irma. Liabilities and deferred inflows of resources also increased by \$2.5 million, or 11.3 percent, totaling \$24.8 million at June 30, 2019, resulting from an increase in deferred inflows related to pensions, and a temporary cash overdraft. As a result, the University's net position increased by \$0.7 million, resulting in a year-end balance of \$196.6 million.

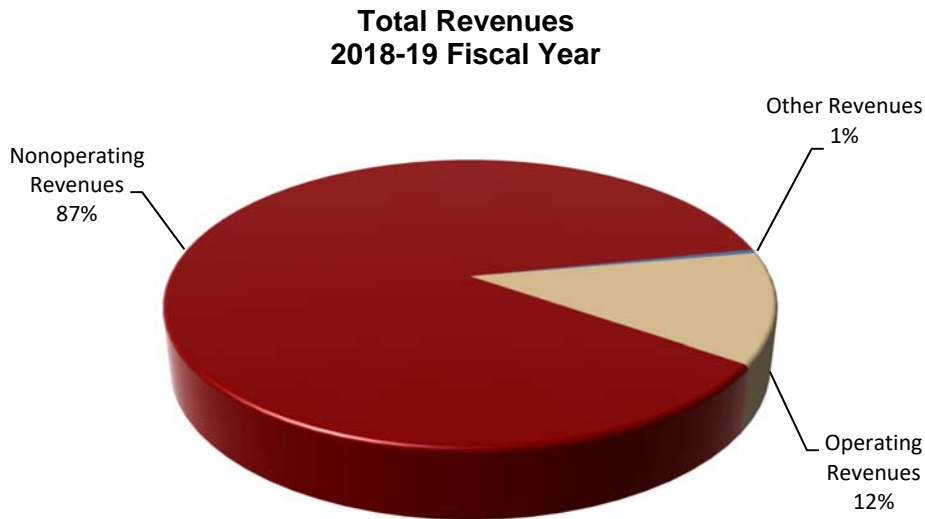
The University's operating revenues totaled \$8.3 million for the 2018-19 fiscal year, representing a 3.4 percent increase compared to the 2017-18 fiscal year due mainly to an increase in student tuition and fees. Operating expenses totaled \$60.5 million for the 2018-19 fiscal year, representing an increase of 10.3 percent as compared to the 2017-18 fiscal year due mainly to increased compensation and employee benefits, and services and supplies.

Net position represents the residual interest in the University's assets and deferred outflows of resources after deducting liabilities and deferred inflows of resources. The University's comparative total net position by category for the fiscal years ended June 30, 2019, and June 30, 2018, is shown in the following graph:

**Net Position
(In Thousands)**



The following chart provides a graphical presentation of University revenues by category for the 2018-19 fiscal year:



OVERVIEW OF FINANCIAL STATEMENTS

Pursuant to Governmental Accounting Standards Board (GASB) Statement No. 35, the University’s financial report consists of three basic financial statements: the statement of net position; the statement of revenues, expenses, and changes in net position; and the statement of cash flows. The financial statements, and notes thereto, encompass the University and its component unit. Based on the application of the criteria for determining component units, the Florida Polytechnic University Foundation,

Inc. (Foundation) is included within the University reporting entity as a discretely presented component unit.

Information regarding the component unit's separately issued financial statements, is presented in the notes to financial statements. This MD&A focuses on the University, excluding the discretely presented component unit.

The Statement of Net Position

The statement of net position reflects the assets, deferred outflows of resources, liabilities, and deferred inflows of resources of the University, using the accrual basis of accounting, and presents the financial position of the University at a specified time. Assets, plus deferred outflows of resources, less liabilities, less deferred inflows of resources, equals net position, which is one indicator of the University's current financial condition. The changes in net position that occur over time indicate improvement or deterioration in the University's financial condition.

The following summarizes the University's assets, deferred outflows of resources, liabilities, deferred inflows of resources, and net position at June 30:

Condensed Statement of Net Position at June 30 (In Thousands)

	2019	2018
Assets		
Current Assets	\$ 47,990	\$ 34,765
Capital Assets, Net	145,043	148,763
Other Noncurrent Assets	19,571	24,848
Total Assets	212,604	208,376
Deferred Outflows of Resources	8,733	9,751
Liabilities		
Current Liabilities	5,269	3,419
Noncurrent Liabilities	17,989	17,685
Total Liabilities	23,258	21,104
Deferred Inflows of Resources	1,516	1,154
Net Position		
Net Investment in Capital Assets	144,362	147,152
Restricted	7,405	7,181
Unrestricted	44,796	41,536
Total Net Position	\$ 196,563	\$ 195,869

University Statement of Net Position changes were the result of the following factors:

- Assets increased \$4.2 million due to an increase in investments primarily due to insurance recovery for damage to the IST building during Hurricane Irma.
- Liabilities increased \$2.2 million primarily due to a temporary cash overdraft.

The Statement of Revenues, Expenses, and Changes in Net Position

The statement of revenues, expenses, and changes in net position presents the University's revenue and expense activity, categorized as operating and nonoperating. Revenues and expenses are recognized when earned or incurred, regardless of when cash is received or paid.

The following summarizes the University's activity for the 2018-19 and 2017-18 fiscal years:

Condensed Statement of Revenues, Expenses, and Changes in Net Position For the Fiscal Years (In Thousands)

	<u>2018-19</u>	<u>2017-18</u>
Operating Revenues	\$ 8,281	\$ 8,008
Less, Operating Expenses	<u>60,501</u>	<u>54,831</u>
Operating Loss	(52,220)	(46,823)
Net Nonoperating Revenues	<u>58,336</u>	<u>46,551</u>
Income (Loss) Before Other Revenues and Loss	6,116	(272)
Other Revenues and Loss	<u>(5,422)</u>	<u>2,589</u>
Net Increase In Net Position	<u>694</u>	<u>2,317</u>
Net Position, Beginning of Year	195,869	196,903
Adjustment to Beginning Net Position (1)	<u>-</u>	<u>(3,351)</u>
Net Position, Beginning of Year, as Restated	<u>195,869</u>	<u>193,552</u>
Net Position, End of Year	<u>\$ 196,563</u>	<u>\$ 195,869</u>

(1) For the 2017-18 fiscal year, the University's beginning net position was decreased in conjunction with the implementation of GASB Statement No. 75.

Operating Revenues

GASB Statement No. 35 categorizes revenues as either operating or nonoperating. Operating revenues generally result from exchange transactions where each of the parties to the transaction either gives or receives something of equal or similar value.

The following summarizes the operating revenues by source that were used to fund operating activities for the 2018-19 and 2017-18 fiscal years:

**Operating Revenues
For the Fiscal Years**

(In Thousands)

	<u>2018-19</u>	<u>2017-18</u>
Student Tuition and Fees, Net	\$ 2,302	\$ 2,002
Grants and Contracts	1,682	1,625
Sales and Services of Educational Departments	27	30
Sales and Services of Auxiliary Enterprises	4,106	4,207
Other	164	144
Total Operating Revenues	\$ 8,281	\$ 8,008

The following chart presents the University's operating revenues for the 2018-19 and 2017-18 fiscal years:

**Operating Revenues
(In Thousands)**



University operating revenues were essentially unchanged in the current year.

Operating Expenses

Expenses are categorized as operating or nonoperating. The majority of the University's expenses are operating expenses as defined by GASB Statement No. 35. GASB gives financial reporting entities the choice of reporting operating expenses in the functional or natural classifications. The University has chosen to report the expenses in their natural classification on the statement of revenues, expenses, and changes in net position and has displayed the functional classification in the notes to financial statements.

The following summarizes operating expenses by natural classification for the 2018-19 and 2017-18 fiscal years:

Operating Expenses For the Fiscal Years

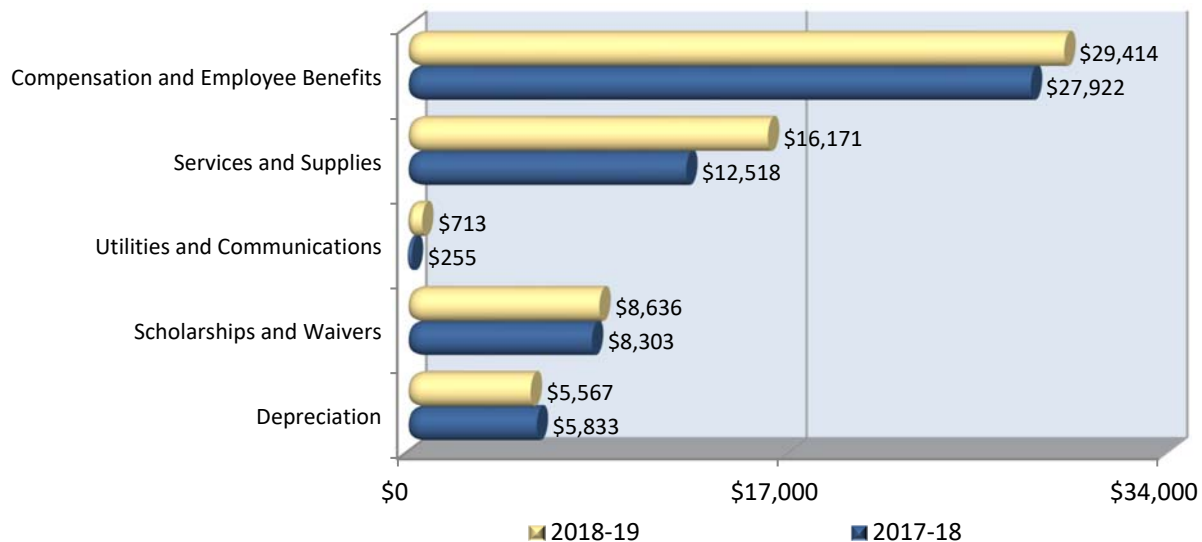
(In Thousands)

	2018-19	2017-18
Compensation and Employee Benefits	\$ 29,414	\$ 27,922
Services and Supplies	16,171	12,518
Utilities and Communications	713	255
Scholarships and Waivers	8,636	8,303
Depreciation	5,567	5,833
Total Operating Expenses	\$ 60,501	\$ 54,831

The following chart presents the University's operating expenses for the 2018-19 and 2017-18 fiscal years:

Operating Expenses

(In Thousands)



Changes in operating expenses were the result of the following factors:

- Compensation and employee benefits increased mainly due to increases in staffing levels and pension expense.
- Services and supplies increased primarily due to increases in meal plan payments, contracted outside legal counsel, and facilities services due to the Student Development Center coming online.

Nonoperating Revenues and Expenses

Certain revenue sources that the University relies on to provide funding for operations, including State noncapital appropriations, Federal and State student financial aid, and investment income are defined by GASB as nonoperating. Nonoperating expenses include capital financing costs and other costs related

to capital assets. The following summarizes the University's nonoperating revenues and expenses for the 2018-19 and 2017-18 fiscal years:

**Nonoperating Revenues (Expenses)
For the Fiscal Years**

(In Thousands)

	2018-19	2017-18
State Noncapital Appropriations	\$ 39,207	\$ 38,456
Federal and State Student Financial Aid	8,485	7,782
Investment Income	1,278	768
Other Nonoperating Revenues	8,170	386
Unrealized Gain (Loss) on Investments	1,253	(282)
Loss on Disposal of Capital Assets	-	(427)
Interest on Capital Asset-Related Debt	(38)	(98)
Other Nonoperating Expenses	(19)	(34)
Net Nonoperating Revenues	\$ 58,336	\$ 46,551

Net nonoperating revenues increased primarily due to the following factors:

- Federal and State student financial aid increased due to the increased awarding of Federal and State financial aid programs.
- Investment income increased due to higher yields. Unrealized gains increased as a result of market performance.
- Other nonoperating revenues increased due to the insurance recovery for damage to the IST building during Hurricane Irma.

Other Revenues and Loss

Other revenues in this category are composed of State capital appropriations and capital grants, contracts, donations, and fees. The following summarizes the University's other revenues and loss for the 2018-19 and 2017-18 fiscal years:

**Other Revenues and Loss
For the Fiscal Years**

(In Thousands)

	2018-19	2017-18
State Capital Appropriations	\$ 157	\$ 2,185
Capital Grants, Contracts, Donations, and Fees	140	404
Special Item - Loss on Forgiveness of Scholarship Pledge	(5,719)	-
Total	\$ (5,422)	\$ 2,589

Other revenues and loss decreased primarily due to the following factors:

- Other revenues decreased because no Public Educational Capital Outlay (PECO) funds were received for the Applied Research Center (ARC) during the year ended June 30, 2019.
- The University forgave the scholarship pledge receivable due from the Foundation.

The Statement of Cash Flows

The statement of cash flows provides information about the University's financial results by reporting the major sources and uses of cash and cash equivalents. This statement will assist in evaluating the University's ability to generate net cash flows, its ability to meet its financial obligations as they come due, and its need for external financing. Cash flows from operating activities show the net cash used by the operating activities of the University. Cash flows from capital financing activities include all plant funds and related long-term debt activities. Cash flows from investing activities show the net source and use of cash related to purchasing or selling investments, and earning income on those investments. Cash flows from noncapital financing activities include those activities not covered in other sections.

The following summarizes cash flows for the 2018-19 and 2017-18 fiscal years:

Condensed Statement of Cash Flows For the Fiscal Years (In Thousands)

	<u>2018-19</u>	<u>2017-18</u>
Cash Provided (Used) by:		
Operating Activities	\$ (44,191)	\$ (38,965)
Noncapital Financing Activities	47,689	40,218
Capital and Related Financing Activities	3,805	(4,968)
Investing Activities	<u>(7,590)</u>	<u>4,007</u>
Net Increase (Decrease) in Cash and Cash Equivalents	(287)	292
Cash and Cash Equivalents, Beginning of Year	<u>492</u>	<u>200</u>
Cash and Cash Equivalents, End of Year	<u><u>\$ 205</u></u>	<u><u>\$ 492</u></u>

Major sources of funds came from State noncapital appropriations (\$39.2 million), Federal and State Student Financial Aid (\$8.5 million), other receipts for capital projects (\$8.2 million), sales and services of auxiliary enterprises (\$4.1 million), net student tuition and fees (\$2.7 million), Federal Direct Student Loan receipts (\$2.2 million), and grants and contracts (\$1.7 million). Major uses of funds were for payments made to and on behalf of employees (\$27.5 million), payments to suppliers (\$16.7 million), payments to and on behalf of students for scholarships (\$8.6 million), purchases or construction of capital assets (\$3.6 million), and Federal Direct Student Loan disbursements (\$2.2 million). Changes in cash and cash equivalents primarily were the result of increased payments to employees and suppliers offset by the receipt of insurance proceeds for hurricane damage.

CAPITAL ASSETS, CAPITAL EXPENSES AND COMMITMENT, AND DEBT ADMINISTRATION

Capital Assets

At June 30, 2019, the University had \$170 million in capital assets, less accumulated depreciation of \$25 million, for net capital assets of \$145 million. Depreciation charges for the current fiscal year totaled \$5.6 million. The following table summarizes the University's capital assets, net of accumulated depreciation, at June 30:

Capital Assets, Net at June 30

(In Thousands)

	<u>2019</u>	<u>2018</u>
Land	\$ 18,156	\$ 18,156
Construction in Progress	1,211	590
Buildings	87,315	88,796
Infrastructure and Other Improvements	32,765	34,372
Furniture and Equipment	3,786	4,422
Library Resources	1	2
Other Capital Assets	1,809	2,425
Capital Assets, Net	<u>\$145,043</u>	<u>\$148,763</u>

Additional information about the University's capital assets is presented in the notes to financial statements.

Capital Expenses and Commitment

Major capital expenses through June 30, 2019, were incurred on the ARC. The University's construction commitment at June 30, 2019, is as follows:

	<u>Amount</u> <u>(In Thousands)</u>
Total Committed	\$ 3,137
Completed to Date	<u>1,211</u>
Balance Committed	<u>\$ 1,926</u>

Additional information about the University's construction commitment is presented in the notes to financial statements.

Debt Administration

As of June 30, 2019, the University had \$669,000 in outstanding installment purchases payable and capital lease payable, representing a decrease of \$907,000, or 57.6 percent, from the prior fiscal year. The following table summarizes the outstanding long-term debt by type for the fiscal years ended June 30:

Long-Term Debt at June 30

(In Thousands)

	<u>2019</u>	<u>2018</u>
Installment Purchases	\$ 615	\$ 1,509
Capital Lease	<u>54</u>	<u>67</u>
Total	<u>\$ 669</u>	<u>\$ 1,576</u>

Additional information about the University's long-term debt is presented in the notes to financial statements.

ECONOMIC FACTORS THAT WILL AFFECT THE FUTURE

The University's economic condition is closely tied to that of the State of Florida. The budget that the Florida Legislature adopted for the 2019-20 fiscal year provided a 1.5 percent increase for State universities. The University's budget decreased 0.7 percent over the same period. The University expects revenues to remain consistent in the upcoming year.

REQUESTS FOR INFORMATION

Questions concerning information provided in the MD&A or other required supplemental information, and financial statements and notes thereto, or requests for additional financial information should be addressed to Mark Mroczkowski, Vice President and Chief Financial Officer, Florida Polytechnic University, 4700 Research Way, Lakeland, Florida 33805-8531.

BASIC FINANCIAL STATEMENTS

FLORIDA POLYTECHNIC UNIVERSITY A Component Unit of the State of Florida Statement of Net Position

June 30, 2019

	<u>University</u>	<u>Component Unit</u>
ASSETS		
Current Assets:		
Cash and Cash Equivalents	\$ 204,698	\$ 534,401
Investments	37,818,267	771,893
Accounts Receivable, Net	234,434	-
Contributions Receivable, Net	-	272,719
Interest Receivable	191,610	8,537
Due from State	7,157,026	-
Due from Component Unit	3,064	-
Other Current Assets	2,381,256	-
Total Current Assets	47,990,355	1,587,550
Noncurrent Assets:		
Contributions Receivable, Net	-	21,470
Restricted Investments	19,570,734	5,260,857
Depreciable Capital Assets, Net	125,676,098	-
Nondepreciable Capital Assets	19,367,488	-
Total Noncurrent Assets	164,614,320	5,282,327
Total Assets	212,604,675	6,869,877
DEFERRED OUTFLOWS OF RESOURCES		
Other Postemployment Benefits	17,000	-
Pensions	8,716,145	-
Total Deferred Outflows of Resources	8,733,145	-
LIABILITIES		
Current Liabilities:		
Accounts Payable	942,027	7,149
Construction Contracts Payable	11,818	-
Salary and Wages Payable	876,097	-
Due to University	-	3,064
Deposits Payable	30,299	-
Unearned Revenue	177,096	-
Other Current Liabilities	2,406,391	2,750,000
Long-Term Liabilities - Current Portion:		
Installment Purchases Payable	281,199	-
Capital Lease Payable	14,377	-
Compensated Absences Payable	149,236	-
Other Postemployment Benefits Payable	15,000	-
Net Pension Liability	365,857	-
Total Current Liabilities	5,269,397	2,760,213

	<u>University</u>	<u>Component Unit</u>
LIABILITIES (Continued)		
Noncurrent Liabilities:		
Installment Purchases Payable	334,084	-
Capital Lease Payable	39,539	-
Compensated Absences Payable	1,343,121	-
Other Postemployment Benefits Payable	4,206,000	-
Net Pension Liability	12,065,968	-
Total Noncurrent Liabilities	<u>17,988,712</u>	<u>-</u>
Total Liabilities	<u>23,258,109</u>	<u>2,760,213</u>
DEFERRED INFLOWS OF RESOURCES		
Other Postemployment Benefits	427,000	-
Pensions	1,089,339	-
Total Deferred Inflows of Resources	<u>1,516,339</u>	<u>-</u>
NET POSITION		
Net Investment in Capital Assets	144,362,569	-
Restricted for Nonexpendable:		
Endowment	-	1,422,338
Restricted for Expendable:		
Capital Projects	7,157,540	-
Grants and Loans	247,098	-
Other	-	1,235,226
Unrestricted	44,796,165	1,452,100
TOTAL NET POSITION	<u>\$ 196,563,372</u>	<u>\$ 4,109,664</u>

The accompanying notes to financial statements are an integral part of this statement.

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FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Revenues, Expenses, and Changes in Net Position
For the Fiscal Year Ended June 30, 2019

	<u>University</u>	<u>Component Unit</u>
REVENUES		
Operating Revenues:		
Student Tuition and Fees, Net of Scholarship Allowances of \$5,541,003	\$ 2,302,188	\$ -
Federal Grants and Contracts	290,305	-
State and Local Grants and Contracts	1,017,435	-
Nongovernmental Grants and Contracts	375,001	-
Sales and Services of Educational Departments	27,181	-
Sales and Services of Auxiliary Enterprises	4,105,599	-
Contributions, Net	-	687,128
Other Operating Revenues	163,646	385
Total Operating Revenues	8,281,355	687,513
EXPENSES		
Operating Expenses:		
Compensation and Employee Benefits	29,414,077	-
Services and Supplies	16,171,018	123,764
Utilities and Communications	713,061	-
Scholarships, Fellowships, and Waivers	8,635,984	932,155
Depreciation	5,566,928	-
Other Operating Expenses	-	220,597
Total Operating Expenses	60,501,068	1,276,516
Operating Loss	(52,219,713)	(589,003)
NONOPERATING REVENUES (EXPENSES)		
State Noncapital Appropriations	39,207,184	-
Federal and State Student Financial Aid	8,484,670	-
Unrealized Gain on Investment	1,253,151	-
Investment Income	1,277,542	328,434
Other Nonoperating Revenues	8,170,370	-
Interest on Capital Asset-Related Debt	(38,492)	-
Other Nonoperating Expenses	(18,585)	-
Net Nonoperating Revenues	58,335,840	328,434
Income (Loss) Before Other Revenues, Gain, and Loss	6,116,127	(260,569)
State Capital Appropriations	157,026	-
Capital Grants, Contracts, Donations, and Fees	140,000	-
Special Item - Gain (Loss) on Forgiveness of Scholarship Pledge	(5,718,582)	5,718,582
Increase in Net Position	694,571	5,458,013
Net Position, Beginning of Year	195,868,801	(1,028,147)
Adjustment to Beginning Net Position	-	(320,202)
Net Position, Beginning of Year, as Restated	195,868,801	(1,348,349)
Net Position, End of Year	\$ 196,563,372	\$ 4,109,664

The accompanying notes to financial statements are an integral part of this statement.

FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Cash Flows

For the Fiscal Year Ended June 30, 2019

	University
CASH FLOWS FROM OPERATING ACTIVITIES	
Student Tuition and Fees, Net	\$ 2,682,260
Grants and Contracts	1,682,741
Sales and Services of Educational Departments	27,181
Sales and Services of Auxiliary Enterprises	4,105,599
Payments to Employees	(27,493,881)
Payments to Suppliers for Goods and Services	(16,719,714)
Payments to Students for Scholarships	(8,639,048)
Other Operating Receipts	163,646
	(44,191,216)
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES	
State Noncapital Appropriations	39,207,184
Federal and State Student Financial Aid	8,484,670
Federal Direct Loan Program Receipts	2,164,141
Federal Direct Loan Program Disbursements	(2,164,141)
Net Change in Funds Held for Others	(2,516)
	47,689,338
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES	
State Capital Appropriations	266,858
Capital Grants, Contracts, Donations and Fees	140,000
Purchase or Construction of Capital Assets	(3,649,108)
Principal Paid on Capital Debt and Leases	(1,066,501)
Interest Paid on Capital Debt and Leases	(38,492)
Other Receipts for Capital Projects	8,151,785
	3,804,542
CASH FLOWS FROM INVESTING ACTIVITIES	
Proceeds from Sales and Maturities of Investments	42,815,804
Purchases of Investments	(51,491,279)
Investment Income	1,085,932
	(7,589,543)
Net Decrease in Cash and Cash Equivalents	(286,879)
Cash and Cash Equivalents, Beginning of Year	491,577
Cash and Cash Equivalents, End of Year	\$ 204,698

	<u>University</u>
RECONCILIATION OF OPERATING LOSS TO NET CASH USED BY OPERATING ACTIVITIES	
Operating Loss	\$ (52,219,713)
Adjustments to Reconcile Operating Loss to Net Cash Used by Operating Activities:	
Depreciation Expense	5,566,928
Changes in Assets, Liabilities, Deferred Outflows of Resources, and Deferred Inflows of Resources:	
Receivables, Net	404,115
Due from Component Unit	(3,064)
Accounts Payable	164,365
Salaries and Wages Payable	(27,991)
Compensated Absences Payable	67,438
Unearned Revenue	(24,043)
Other Postemployment Benefits Payable	(262,000)
Net Pension Liability	762,294
Deferred Outflows of Resources Related to Other Postemployment Benefits	514,000
Deferred Inflows of Resources Related to Other Postemployment Benefits	478,339
Deferred Outflows of Resources Related to Pensions	503,693
Deferred Inflows of Resources Related to Pensions	(115,577)
NET CASH USED BY OPERATING ACTIVITIES	<u>\$ (44,191,216)</u>
SUPPLEMENTAL DISCLOSURE OF NONCASH INVESTING AND CAPITAL FINANCING ACTIVITIES	
Unrealized gains on investments were recognized on the statement of revenues, expenses, and changes in net position, but are not cash transactions for the statement of cash flows.	\$ 1,253,151
The University entered into an installment purchase agreement, which is recognized on the statement of net position, but is not a cash transaction for the statement of cash flows.	\$ 159,316

The accompanying notes to financial statements are an integral part of this statement.

NOTES TO FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies

Reporting Entity. The University is a separate public instrumentality that is part of the State university system of public universities, which is under the general direction and control of the Florida Board of Governors. The University is directly governed by a Board of Trustees (Trustees) consisting of 13 members. The Governor appoints 6 citizen members and the Board of Governors appoints 5 citizen members. These members are confirmed by the Florida Senate and serve staggered terms of 5 years. The chair of the faculty senate and the president of the student body of the University are also members. The Board of Governors establishes the powers and duties of the Trustees. The Trustees are responsible for setting policies for the University, which provide governance in accordance with State law and Board of Governors' Regulations, and selecting the University President. The University President serves as the executive officer and the corporate secretary of the Trustees and is responsible for administering the policies prescribed by the Trustees.

Criteria for defining the reporting entity are identified and described in the Governmental Accounting Standards Board's (GASB) *Codification of Governmental Accounting and Financial Reporting Standards*, Sections 2100 and 2600. These criteria were used to evaluate potential component units for which the primary government is financially accountable and other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the primary government's financial statements to be misleading. Based on the application of these criteria, the University is a component unit of the State of Florida, and its financial balances and activities are reported in the State's Comprehensive Annual Financial Report by discrete presentation.

Discretely Presented Component Unit. Based on the application of the criteria for determining component units, the Florida Polytechnic University Foundation, Inc. (Foundation), a legally separate entity, is included within the University's reporting entity as a discretely presented component unit and is governed by a separate board. Florida Statutes authorize these organizations to receive, hold, invest, and administer property and to make expenditures to or for the benefit of the University. The Foundation solicits, collects, manages and directs contributions to various academic departments and programs of the University, and assists the University in fundraising, and public relations.

An annual audit of the organization's financial statements is conducted by independent certified public accountants. Additional information on the University's discretely presented component unit, including copies of audit reports, is available by contacting the University Controller.

Basis of Presentation. The University's accounting policies conform with accounting principles generally accepted in the United States of America applicable to public colleges and universities as prescribed by GASB. The National Association of College and University Business Officers (NACUBO) also provides the University with recommendations prescribed in accordance with generally accepted accounting principles promulgated by GASB and the Financial Accounting Standards Board (FASB). GASB allows public universities various reporting options. The University has elected to report as an entity engaged in only business-type activities. This election requires the adoption of the accrual basis of accounting and entitywide reporting including the following components:

- Management's Discussion and Analysis
- Basic Financial Statements:
 - Statement of Net Position
 - Statement of Revenues, Expenses, and Changes in Net Position
 - Statement of Cash Flows
 - Notes to Financial Statements
- Other Required Supplementary Information

Measurement Focus and Basis of Accounting. Basis of accounting refers to when revenues, expenses, assets, deferred outflows of resources, liabilities, and deferred inflows of resources, are recognized in the accounts and reported in the financial statements. Specifically, it relates to the timing of the measurements made, regardless of the measurement focus applied. The University's financial statements are presented using the economic resources measurement focus and the accrual basis of accounting. Revenues, expenses, gains, losses, assets, deferred outflows of resources, liabilities, and deferred inflows of resources resulting from exchange and exchange-like transactions are recognized when the exchange takes place. Revenues, expenses, gains, losses, assets, deferred outflows of resources, liabilities, and deferred inflows of resources resulting from nonexchange activities are generally recognized when all applicable eligibility requirements, including time requirements, are met. The University follows GASB standards of accounting and financial reporting.

The University's discretely presented component unit uses the economic resources measurement focus and the accrual basis of accounting, and follows GASB standards of accounting and financial reporting.

Significant interdepartmental sales between auxiliary service departments and other institutional departments have been eliminated from revenues and expenses for reporting purposes.

The University's principal operating activities consist of instruction, research, and public service. Operating revenues and expenses generally include all fiscal transactions directly related to these activities as well as administration, operation and maintenance of capital assets, and depreciation of capital assets. Nonoperating revenues include State noncapital appropriations, Federal and State student financial aid, and investment income. Unrealized losses on investments and interest on capital asset-related debt are nonoperating expenses. Other revenues generally include revenues for capital construction projects.

The statement of net position is presented in a classified format to distinguish between current and noncurrent assets and liabilities. When both restricted and unrestricted resources are available to fund certain programs, it is the University's policy to first apply the restricted resources to such programs, followed by the use of the unrestricted resources.

The statement of revenues, expenses, and changes in net position is presented by major sources and is reported net of tuition scholarship allowances. Tuition scholarship allowances are the difference between the stated charge for goods and services provided by the University and the amount that is actually paid by the student or the third party making payment on behalf of the student. The University applied the "Alternate Method" as prescribed in NACUBO Advisory Report 2000-05 to determine the reported net tuition scholarship allowances. Under this method, the University computes these amounts by allocating

the cash payments to students, excluding payments for services, using a ratio of total aid to aid not considered third-party aid.

The statement of cash flows is presented using the direct method in compliance with GASB Statement No. 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities That Use Proprietary Fund Accounting*.

Cash and Cash Equivalents. Cash and cash equivalents consist of cash on hand and cash in demand accounts. University cash deposits are held in banks qualified as public depositories under Florida law. All such deposits are insured by Federal depository insurance, up to specified limits, or collateralized with securities held in Florida's multiple financial institution collateral pool required by Chapter 280, Florida Statutes.

Capital Assets. University capital assets consist of land, construction in progress, buildings, infrastructure and other improvements, furniture and equipment, library resources, and other capital assets. These assets are capitalized and recorded at cost at the date of acquisition or at acquisition value at the date received in the case of gifts and purchases of State surplus property. Additions, improvements, and other outlays that significantly extend the useful life of an asset are capitalized. Other costs incurred for repairs and maintenance are expensed as incurred. The University has a capitalization threshold of \$5,000 for tangible personal property, \$100,000 for infrastructure and improvements, and \$250,000 for building renovations except that all new buildings and projects adding new square footage are capitalized. Depreciation is computed on the straight-line basis over the following estimated useful lives:

- Buildings – 20 to 50 years
- Infrastructure and Other Improvements – 20 years
- Furniture and Equipment – 3 to 15 years
- Library Resources – 10 years
- Other Capital Assets – 10 years

Noncurrent Liabilities. Noncurrent liabilities include installment purchases payable, capital lease payable, compensated absences payable, other postemployment benefits payable, and net pension liabilities that are not scheduled to be paid within the next fiscal year.

Pensions. For purposes of measuring the net pension liabilities, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net positions of the Florida Retirement System (FRS) defined benefit plan and the Health Insurance Subsidy (HIS) defined benefit plan and additions to/deductions from the FRS and HIS fiduciary net positions have been determined on the same basis as they are reported by the FRS and the HIS plans. Benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with benefit terms. Investments are reported at fair value.

2. Reporting Changes – Component Unit

The Florida Legislature passed, and the Governor signed into law Chapter 2018-004, Laws of Florida, a provision that changed Section 1004.28, Florida Statutes, which addresses university direct-support

organizations (DSO). With this change, the University Board of Trustees is required to approve all DSO board members. Under current accounting guidance, a key factor in determining whether a DSO should report under the FASB versus the GASB is board control. With the change in Florida Statutes, the University has control of the board of the DSO and the FASB reporting model is no longer appropriate. The Foundation reported under FASB prior to the legislative change. The Foundation converted from FASB to the GASB reporting model for the 2018-19 fiscal year.

3. Adjustment to Beginning Net Position – Component Unit

The beginning net position of the Foundation was decreased by \$320,202 as a result of the change in the financial accounting framework as discussed in Note 2. The adjustment to beginning net position is due to the removal of endowment pledges.

4. Investments

Section 1011.42(5), Florida Statutes, authorizes universities to invest funds with the State Treasury and State Board of Administration (SBA) and requires that universities comply with the statutory requirements governing investment of public funds by local governments. Accordingly, universities are subject to the requirements of Chapter 218, Part IV, Florida Statutes. The Board of Trustees has adopted a written investment policy providing that surplus funds of the University shall be invested in those institutions and instruments permitted under the provisions of Florida Statutes. Pursuant to Section 218.415(16), Florida Statutes, the University is authorized to invest in the Florida PRIME investment pool administered by the SBA; Securities and Exchange Commission registered money market funds with the highest credit quality rating from a nationally recognized rating agency; interest-bearing time deposits and savings accounts in qualified public depositories, as defined in Section 280.02, Florida Statutes; direct obligations of the United States Treasury; obligations of Federal agencies and instrumentalities; securities of, or interests in, certain open end or closed end management type investment companies; and other investments approved by the Board of Trustees as authorized by law.

Investments set aside to make debt service payments, maintain sinking or reserve funds, or to purchase or construct capital assets are classified as restricted.

The University categorizes its fair value measurements within the fair value hierarchy established by generally accepted accounting principles. The hierarchy is based on the valuation inputs used to measure the fair value of the asset. Level 1 inputs are quoted prices in active markets for identical assets, Level 2 inputs are significant other observable inputs, and Level 3 inputs are significant unobservable inputs.

All of the University's recurring fair value measurements as of June 30, 2019, are valued using quoted market prices (Level 1 inputs), with the exception of obligations of United States government agencies and instrumentalities, and corporate equity securities which are valued using a matrix pricing model (Level 2 inputs) and investments with the State Treasury which are valued based on the University's share of the pool (Level 3 inputs).

The University's investments at June 30, 2019, are reported as follows:

	Amount	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Investments by fair value level				
External Investment Pool:				
State Treasury Special Purpose Investment Account	\$ 46,941,968	\$ -	\$ -	\$ 46,941,968
United States Treasury Securities	3,397,381	3,397,381	-	-
Obligations of United States Government				
Agencies and Instrumentalities	2,922,954	-	2,922,954	-
Corporate Equity Securities	3,871,976	-	3,871,976	-
Money Market Funds	254,722	254,722	-	-
Total investments by fair value level	\$ 57,389,001	\$ 3,652,103	\$ 6,794,930	\$ 46,941,968

External Investment Pools.

The University reported investments at fair value totaling \$46,941,968 at June 30, 2019, in the State Treasury Special Purpose Investment Account (SPIA) investment pool, representing ownership of a share of the pool, not the underlying securities. Pooled investments with the State Treasury are not registered with the Securities and Exchange Commission. Oversight of the pooled investments with the State Treasury is provided by the Treasury Investment Committee per Section 17.575, Florida Statutes. The authorized investment types are set forth in Section 17.57, Florida Statutes. The State Treasury SPIA investment pool carried a credit rating of AA-f by Standard & Poor's, had an effective duration of 2.71 years, and fair value factor of 1.0103 at June 30, 2019. Participants contribute to the State Treasury SPIA investment pool on a dollar basis. These funds are commingled and a fair value of the pool is determined from the individual values of the securities. The fair value of the securities is summed and a total pool fair value is determined. A fair value factor is calculated by dividing the pool's total fair value by the pool participant's total cash balances. The fair value factor is the ratio used to determine the fair value of an individual participant's pool balance. The University relies on policies developed by the State Treasury for managing interest rate risk or credit risk for this investment pool. Disclosures for the State Treasury investment pool are included in the notes to financial statements of the State's Comprehensive Annual Financial Report.

Other Investments.

The University's other investments consisted of various debt securities and money market funds totaling \$10,447,033 at June 30, 2019. The following risks apply to those investments.

Interest Rate Risk: Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. The University's investment policy generally requires that the investment portfolio be maintained in such a manner as to provide sufficient liquidity to pay obligations as they become due. Recognizing that market value volatility is a function of maturity, a segment of the portfolio shall be maintained in a short-term maturity portfolio. Funds in excess of those required to meet current expenses may be invested in longer-term portfolios. Investment maturities at June 30, 2019 were as follows:

<u>Investment Type</u>	<u>Fair Value</u>	<u>Investment Maturities (In Years)</u>		
		<u>Less than 1</u>	<u>1-5</u>	<u>6-10</u>
Obligations of United States Government				
Agencies and Instrumentalities	\$ 2,922,954	\$ 997,640	\$ 1,925,314	\$ -
United States Treasury Securities	3,397,381	373,756	2,494,916	528,709
Corporate Equity Securities	3,871,976	324,323	2,300,498	1,247,155
Money Market Funds	254,722	254,722	-	-
Total investments by investment maturities	\$ 10,447,033	\$ 1,950,441	\$ 6,720,728	\$ 1,775,864

Credit Risk: Credit risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. United States Treasury Securities or obligations explicitly guaranteed by the United States Government are not considered to have credit risk and do not require disclosure of credit quality. At June 30, 2019, the University had \$3,397,381 of these investments. The University's investment policy requires the portfolio provide specific types of investments that may be purchased, including credit quality guidelines, where applicable, maintain a total average quality minimum of BBB. The policy states that securities in the BBB rating category can make up no more than 25 percent of the portfolio. At June 30, 2019, the University had obligations of United States Government agencies and instrumentalities and equity securities with quality ratings by nationally recognized rating agencies, as follows:

<u>Investment Type</u>	<u>Fair Value</u>	<u>Credit Quality Rating (1)</u>		
		<u>AA</u>	<u>A</u>	<u>BBB</u>
Obligations of United States Government				
Agencies and Instrumentalities	\$ 2,922,954	\$ 2,723,737	\$ 199,217	\$ -
Corporate Equity Securities	3,871,976	750,633	1,568,989	1,552,354
Total investments by credit quality rating	\$ 6,794,930	\$ 3,474,370	\$ 1,768,206	\$ 1,552,354

(1) The credit quality ratings are from Standard & Poor's.

Custodial Credit Risk: Custodial credit risk is the risk that in the event of the failure of the counterparty, the value of the investments or collateral securities in the possession of an outside party will not be recoverable. Exposure to custodial credit risk relates to investment securities that are held by someone other than the entity and are not registered in the entities name. All University investments are held in safekeeping by a third-party custodian. There were no losses during the period due to default by counterparties to investment transactions.

Concentration of Credit Risk: Concentration of credit risk is the risk of loss attributed to the magnitude of investment in a single issuer. The University policy states that a maximum of 5 percent of the funds be invested in securities of a single issuer, except that obligations of the United States Government agencies and instrumentalities are not subject to the limitations.

Component Unit Investments.

The University discretely presented component unit's investments at June 30, 2019 are reported at fair value as follows:

	Amount	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Investments by fair value level				
Corporate Bonds	\$ 473,713	\$ 473,713	\$ -	\$ -
International Bonds	124,653	124,653	-	-
U.S. Government Bonds	549,559	549,559	-	-
Mutual Funds:				
Bonds	764,291	764,291	-	-
Equity	3,911,270	3,911,270	-	-
Total investments by fair value level	5,823,486	\$ 5,823,486	\$ -	\$ -
Investments by Amortized Cost				
Money Market Account	209,264			
Total Investments	\$ 6,032,750			

5. Receivables

Accounts and Interest Receivable. Accounts and interest receivable represent amounts for student tuition and fees, contract and grant reimbursements due from third parties, various sales and services provided to students and third parties, and interest accrued on investments. As of June 30, 2019, the University reported the following amounts as accounts and interest receivable:

Description	Amount
Contracts and Grants	\$ 111,684
Sales and Services	61,495
Student Tuition and Fees, Net	61,255
Investment Interest	191,610
Total Accounts and Interest Receivable, Net	\$ 426,044

Allowance for Doubtful Receivables. Allowances for doubtful accounts is reported based on management's best estimate as of fiscal year end considering type, age, collection history, and other factors considered appropriate. Accounts receivable are reported net of allowances of \$47,224 at June 30, 2019.

No allowance has been accrued for contracts and grants receivable, sales and services receivable, and investment interest receivable. University management considers these to be fully collectible.

6. Due From State

The amount due from State consists of \$7,157,026 of Public Education Capital Outlay (PECO) due from the State to the University for construction of University facilities.

7. Due From Component Unit

The amount due from component unit consists of amounts owed to the University by the Foundation for expense reimbursements.

8. Capital Assets

Capital assets activity for the fiscal year ended June 30, 2019, is shown in the following table:

<u>Description</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>
Nondepreciable Capital Assets:				
Land	\$ 18,156,039	\$ -	\$ -	\$ 18,156,039
Construction in Progress	590,389	1,260,725	639,665	1,211,449
Total Nondepreciable Capital Assets	\$ 18,746,428	\$ 1,260,725	\$ 639,665	\$ 19,367,488
Depreciable Capital Assets:				
Buildings	\$ 96,628,344	\$ 639,665	\$ -	\$ 97,268,009
Infrastructure and Other Improvements	41,035,547	-	-	41,035,547
Furniture and Equipment	7,771,707	594,659	27,811	8,338,555
Library Resources	16,358	-	-	16,358
Other Capital Assets	4,038,722	-	-	4,038,722
Total Depreciable Capital Assets	149,490,678	1,234,324	27,811	150,697,191
Less, Accumulated Depreciation:				
Buildings	7,832,092	2,120,568	-	9,952,660
Infrastructure and Other Improvements	6,663,585	1,606,743	-	8,270,328
Furniture and Equipment	3,349,716	1,222,655	20,089	4,552,282
Library Resources	14,349	1,581	-	15,930
Other Capital Assets	1,614,512	615,381	-	2,229,893
Total Accumulated Depreciation	19,474,254	5,566,928	20,089	25,021,093
Total Depreciable Capital Assets, Net	\$ 130,016,424	\$ (4,332,604)	\$ 7,722	\$ 125,676,098

9. Other Current Liabilities

The University maintained an account with a local bank to process general operating expenses and payroll transactions. Funds in excess of current need, including float, were invested. As a result, the University's records showed a temporary cash overdraft for the amount of outstanding checks not presented as of June 30, 2019. This did not, however, represent an overdraft in the University's depository account.

10. Unearned Revenue

Unearned revenue at June 30, 2019, includes student tuition and fees received prior to fiscal year end related to subsequent accounting periods. As of June 30, 2019, the University reported \$177,096 as unearned revenue.

11. Long-Term Liabilities

Long-term liabilities of the University at June 30, 2019, include installment purchases payable, capital lease payable, compensated absences payable, other postemployment benefits payable, and net pension liability. Long-term liabilities activity for the fiscal year ended June 30, 2019, is shown in the following table:

<u>Description</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>
Installment Purchases Payable	\$ 1,508,849	\$ 159,316	\$ 1,052,882	\$ 615,283	\$ 281,199
Capital Lease Payable	67,535	-	13,619	53,916	14,377
Compensated Absences Payable	1,424,919	319,054	251,616	1,492,357	149,236
Other Postemployment Benefits Payable	4,483,000	241,000	503,000	4,221,000	15,000
Net Pension Liability	11,669,531	11,071,471	10,309,177	12,431,825	365,857
Total Long-Term Liabilities	\$ 19,153,834	\$ 11,790,841	\$ 12,130,294	\$ 18,814,381	\$ 825,669

Installment Purchases Payable. The University has entered into several installment purchase agreements for the purchase of equipment reported at \$5,018,051. The stated interest rates ranged from 1.21 percent to 5.59 percent. Future minimum payments remaining under installment purchase agreements and the present value of the minimum payments as of June 30, 2019, are as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2020	\$ 325,326
2021	268,256
2022	46,065
Total Minimum Payments	639,647
Less, Amount Representing Interest	24,364
Present Value of Minimum Payments	\$ 615,283

Capital Lease Payable. Vehicles in the amount of \$75,082 are being acquired under a capital lease agreement. The stated interest rate is 5.45 percent. Future minimum payments under the capital lease agreement and the present value of the minimum payments as of June 30, 2019, are as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2020	\$ 17,025
2021	17,025
2022	17,025
2023	8,512
Total Minimum Payments	59,587
Less, Amount Representing Interest	5,671
Present Value of Minimum Payments	\$ 53,916

Compensated Absences Payable. Employees earn the right to be compensated during absences for annual leave (vacation) and sick leave earned pursuant to Board of Governors' Regulations, University regulations, and bargaining agreements. Leave earned is accrued to the credit of the employee and records are kept on each employee's unpaid (unused) leave balance. The University reports a liability for the accrued leave; however, State noncapital appropriations fund only the portion of accrued leave that is used or paid in the current fiscal year. Although the University expects the liability to be funded primarily from future appropriations, generally accepted accounting principles do not permit the recording of a receivable in anticipation of future appropriations. At June 30, 2019, the estimated liability for compensated absences, which includes the University's share of the Florida Retirement System and FICA contributions, totaled \$1,492,357. The current portion of the compensated absences liability, \$149,236, is the amount expected to be paid in the coming fiscal year and represents a historical percentage of leave used applied to total accrued leave liability.

Other Postemployment Benefits Payable. The University follows GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, for certain postemployment healthcare benefits administered by the State Group Health Insurance Program.

General Information about the OPEB Plan

Plan Description. The Division of State Group Insurance's Other Postemployment Benefits Plan (OPEB Plan) is a multiple-employer defined benefit plan administered by the State of Florida. Pursuant to the provisions of Section 112.0801, Florida Statutes, all employees who retire from the University are eligible to participate in the State Group Health Insurance Program. Retirees and their eligible dependents shall be offered the same health and hospitalization insurance coverage as is offered to active employees at a premium cost of no more than the premium cost applicable to active employees. A retiree means any officer or employee who retires under a State retirement system or State optional annuity or retirement program or is placed on disability retirement and who begins receiving retirement benefits immediately after retirement from employment. In addition, any officer or employee who retires under the Florida Retirement System Investment Plan is considered a "retiree" if he or she meets the age and service requirements to qualify for normal retirement or has attained the age of 59.5 years and has the years of service required for vesting. The University subsidizes the premium rates paid by retirees by allowing them to participate in the OPEB Plan at reduced or blended group (implicitly subsidized) premium rates for both active and retired employees. These rates provide an implicit subsidy for retirees because retiree healthcare costs are generally greater than active employee healthcare costs. No assets are accumulated in a trust that meet the criteria in paragraph 4 of GASB Statement No. 75. The OPEB Plan contribution requirements and benefit terms necessary for funding the OPEB Plan each year is on a pay-as-you-go basis as established by the Governor's recommended budget and the General Appropriations Act. Retirees are required to enroll in the Federal Medicare (Medicare) program for their primary coverage as soon as they are eligible.

Benefits Provided. The OPEB Plan provides healthcare benefits for retirees and their dependents. The OPEB Plan only provides an implicit subsidy as described above.

Proportionate Share of the Total OPEB Liability

The University's proportionate share of the total OPEB liability of \$4,221,000 was measured as of June 30, 2018, and was determined by an actuarial valuation as of July 1, 2017. At June 30, 2018, the University's proportionate share, determined by its proportion of total benefit payments made, was 0.04 percent, which remained unchanged from its proportionate share measured as of June 30, 2017.

Actuarial Assumptions and Other Inputs. The total OPEB liability was determined using the following actuarial assumptions and other inputs, applied to all periods included in the measurement, unless otherwise specified:

Inflation	2.6 percent
Salary increases	
Regular Employees	4.0 to 7.8 percent, including inflation
Special Risk Employees	5.1 to 7.6 percent, including inflation
Senior Management Employees	4.7 to 7.1 percent, including inflation
Discount rate	3.87 percent
Healthcare cost trend rates	
PPO Plan	8.8 Percent for 2019, decreasing to an ultimate rate of 3.8 percent for 2076 and later years
HMO Plan	6.2 percent for 2019, to an ultimate rate of 3.8 percent for 2076 and later years
Retirees' share of benefit-related costs	100 percent of projected health insurance premiums for retirees

The discount rate was based on the Bond Buyer General Obligation 20-year Municipal Bond Index.

Mortality rates were based on the Generational RP-2000 with Projection Scale BB.

The demographic actuarial assumptions for retirement, disability incidence, and withdrawal used in the June 30, 2017, valuation were based on the 2014 Experience Study prepared by Milliman on September 8, 2014. Updated assumptions for the FRS July 1, 2016, Actuarial Valuation were approved by the 2016 FRS Actuarial Assumptions Conference.

The remaining actuarial assumptions (e.g., initial per capita costs, health care cost trends, rate of plan participation, rates of plan election, etc.) used in the June 30, 2017, valuation were based on a review of recent plan experience done concurrently with the June 30, 2017, valuation.

The following changes have been made since the prior valuation:

- The discount rate as of the measurement date for GASB Statement No. 75 purposes was changed to 3.87 percent. The prior GASB Statement No. 75 valuation used 3.58 percent. The GASB Statement No. 75 discount rate is based on the 20-year municipal bond rate as of June 30, 2018.

Sensitivity of the University's Proportionate Share of the Total OPEB Liability to Changes in the Discount Rate. The following table presents the University's proportionate share of the total OPEB liability, as well as what the University's proportionate share of the total OPEB liability would be if it were calculated using a discount rate that is 1 percentage point lower (2.87 percent) or 1 percentage point higher (4.87 percent) than the current rate:

	<u>1% Decrease (2.87%)</u>	<u>Current Discount Rate (3.87%)</u>	<u>1% Increase (4.87%)</u>
University's proportionate share of the total OPEB liability	\$5,133,000	\$4,221,000	\$3,510,000

Sensitivity of the University's Proportionate Share of the Total OPEB Liability to Changes in the Healthcare Cost Trend Rates. The following table presents the University's proportionate share of the total OPEB liability, as well as what the University's proportionate share of the total OPEB liability would be if it were calculated using healthcare cost trend rates that are 1 percentage point lower or 1 percentage point higher than the current healthcare cost trend rates:

	<u>1% Decrease</u>	<u>Healthcare Cost Trend Rates</u>	<u>1% Increase</u>
University's proportionate share of the total OPEB liability	\$3,414,000	\$4,221,000	\$5,303,000

OPEB Expense and Deferred Outflows of Resources and Deferred Inflows of Resources Related to OPEB.

For the fiscal year ended June 30, 2019, the University recognized OPEB expense of \$181,000. At June 30, 2019, the University reported deferred outflows of resources and deferred inflows of resources related to OPEB from the following sources:

<u>Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Change of assumptions or other inputs	\$ -	\$ 239,000
Changes in proportion and differences between University benefit payments and proportionate share of benefit payments	-	188,000
Transactions subsequent to the measurement date	17,000	-
Total	<u>\$ 17,000</u>	<u>\$ 427,000</u>

Of the total amount reported as deferred outflows of resources related to OPEB, \$17,000 resulting from transactions subsequent to the measurement date and before the end of the fiscal year will be included as a reduction of the total OPEB liability and included in OPEB expense in the year ended June 30, 2020. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to OPEB will be recognized in OPEB expense as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2020	\$ (42,700)
2021	(42,700)
2022	(42,700)
2023	(42,700)
2024	(42,700)
Thereafter	(213,500)
Total	\$ (427,000)

Net Pension Liability. As a participating employer in the Florida Retirement System (FRS), the University recognizes its proportionate share of the collective net pension liabilities of the FRS cost-sharing multiple-employer defined benefit plans. As of June 30, 2019, the University's proportionate share of the net pension liabilities totaled \$12,431,825. Note 12. includes a complete discussion of defined benefit pension plans.

12. Retirement Plans – Defined Benefit Pension Plans

General Information about the Florida Retirement System (FRS).

The FRS was created in Chapter 121, Florida Statutes, to provide a defined benefit pension plan for participating public employees. The FRS was amended in 1998 to add the Deferred Retirement Option Program (DROP) under the defined benefit plan and amended in 2000 to provide a defined contribution plan alternative to the defined benefit plan for FRS members effective July 1, 2002. This integrated defined contribution pension plan is the FRS Investment Plan. Chapter 121, Florida Statutes, also provides for nonintegrated, optional retirement programs in lieu of the FRS to certain members of the Senior Management Service Class employed by the State and faculty and specified employees in the State university system. Chapter 112, Florida Statutes, established the Retiree Health Insurance Subsidy (HIS) Program, a cost-sharing multiple-employer defined benefit pension plan to assist retired members of any State-administered retirement system in paying the costs of health insurance.

Essentially all regular employees of the University are eligible to enroll as members of the State-administered FRS. Provisions relating to the FRS are established by Chapters 121 and 122, Florida Statutes; Chapter 112, Part IV, Florida Statutes; Chapter 238, Florida Statutes; and FRS Rules, Chapter 60S, Florida Administrative Code; wherein eligibility, contributions, and benefits are defined and described in detail. Such provisions may be amended at any time by further action from the Florida Legislature. The FRS is a single retirement system administered by the Florida Department of Management Services, Division of Retirement, and consists of two cost-sharing multiple-employer defined benefit plans and other nonintegrated programs. A comprehensive annual financial report of the FRS, which includes its financial statements, required supplementary information, actuarial report, and other relevant information, is available from the Florida Department of Management Services Web site (www.dms.myflorida.com).

The University's FRS and HIS pension expense totaled \$2,944,615 for the fiscal year ended June 30, 2019.

FRS Pension Plan

Plan Description. The FRS Pension Plan (Plan) is a cost-sharing multiple-employer defined benefit pension plan, with a DROP for eligible employees. The general classes of membership are as follows:

- *Regular Class* – Members of the FRS who do not qualify for membership in the other classes.
- *Senior Management Service Class (SMSC)* – Members in senior management level positions.
- *Special Risk Class* – Members who are employed as law enforcement officers and meet the criteria to qualify for this class.

Employees enrolled in the Plan prior to July 1, 2011, vest at 6 years of creditable service and employees enrolled in the Plan on or after July 1, 2011, vest at 8 years of creditable service. All vested members, enrolled prior to July 1, 2011, are eligible for normal retirement benefits at age 62 or at any age after 30 years of creditable service, except for members classified as special risk who are eligible for normal retirement benefits at age 55 or at any age after 25 years of creditable service. All members enrolled in the Plan on or after July 1, 2011, once vested, are eligible for normal retirement benefits at age 65 or any time after 33 years of creditable service, except for members classified as special risk who are eligible for normal retirement benefits at age 60 or at any age after 30 years of creditable service. Employees enrolled in the Plan may include up to 4 years of credit for military service toward creditable service. The Plan also includes an early retirement provision; however, there is a benefit reduction for each year a member retires before his or her normal retirement date. The Plan provides retirement, disability, death benefits, and annual cost-of-living adjustments to eligible participants.

The DROP, subject to provisions of Section 121.091, Florida Statutes, permits employees eligible for normal retirement under the Plan to defer receipt of monthly benefit payments while continuing employment with an FRS-participating employer. An employee may participate in DROP for a period not to exceed 60 months after electing to participate. During the period of DROP participation, deferred monthly benefits are held in the FRS Trust Fund and accrue interest. The net pension liability does not include amounts for DROP participants, as these members are considered retired and are not accruing additional pension benefits.

Benefits Provided. Benefits under the Plan are computed on the basis of age, and/or years of service, average final compensation, and credit service. Credit for each year of service is expressed as a percentage of the average final compensation. For members initially enrolled before July 1, 2011, the average final compensation is the average of the 5 highest fiscal years' earnings; for members initially enrolled on or after July 1, 2011, the average final compensation is the average of the 8 highest fiscal years' earnings. The total percentage value of the benefit received is determined by calculating the total value of all service, which is based on retirement plan and/or the class to which the member belonged when the service credit was earned. Members are eligible for in-line-of-duty or regular disability and survivors' benefits. The following table shows the percentage value for each year of service credit earned:

<u>Class, Initial Enrollment, and Retirement Age/Years of Service</u>	<u>% Value</u>
Regular Class members initially enrolled before July 1, 2011	
Retirement up to age 62 or up to 30 years of service	1.60
Retirement at age 63 or with 31 years of service	1.63
Retirement at age 64 or with 32 years of service	1.65
Retirement at age 65 or with 33 or more years of service	1.68
Regular Class members initially enrolled on or after July 1, 2011	
Retirement up to age 65 or up to 33 years of service	1.60
Retirement at age 66 or with 34 years of service	1.63
Retirement at age 67 or with 35 years of service	1.65
Retirement at age 68 or with 36 or more years of service	1.68
Senior Management Service Class	2.00
Special Risk Class	3.00

As provided in Section 121.101, Florida Statutes, if the member was initially enrolled in the Plan before July 1, 2011, and all service credit was accrued before July 1, 2011, the annual cost-of-living adjustment is 3 percent per year. If the member was initially enrolled before July 1, 2011, and has service credit on or after July 1, 2011, there is an individually calculated cost-of-living adjustment. The annual cost-of-living adjustment is a proportion of 3 percent determined by dividing the sum of the pre-July 2011 service credit by the total service credit at retirement multiplied by 3 percent. Plan members initially enrolled on or after July 1, 2011, will not have a cost-of-living adjustment after retirement.

Contributions. The Florida Legislature establishes contribution rates for participating employers and employees. Contribution rates during the 2018-19 fiscal year were:

<u>Class</u>	<u>Percent of Gross Salary</u>	
	<u>Employee</u>	<u>Employer (1)</u>
FRS, Regular	3.00	8.26
FRS, Senior Management Service	3.00	24.06
FRS, Special Risk	3.00	24.50
Deferred Retirement Option Program (applicable to members from all of the above classes)	0.00	14.03
FRS, Reemployed Retiree	(2)	(2)

(1) Employer rates include 1.66 percent for the postemployment health insurance subsidy. Also, employer rates, other than for DROP participants, include 0.06 percent for administrative costs of the Investment Plan.

(2) Contribution rates are dependent upon retirement class in which reemployed.

The University's contributions to the Plan totaled \$957,925 for the fiscal year ended June 30, 2019.

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2019, the University reported a liability of \$9,095,857 for its proportionate share of the net pension liability. The net pension liability was measured as of June 30, 2018, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of July 1, 2018. The University's proportionate share of the net pension

liability was based on the University's 2017-18 fiscal year contributions relative to the total 2017-18 fiscal year contributions of all participating members. At June 30, 2018, the University's proportionate share was 0.030207815 percent, which was an increase of 0.001713571 from its proportionate share measured as of June 30, 2017.

For the year ended June 30, 2019, the University recognized pension expense of \$2,305,368. In addition, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Differences between expected and actual experience	\$ 770,801	\$ 27,976
Change of assumptions	2,973,029	-
Net difference between projected and actual earnings on FRS Plan investments	-	702,989
Changes in proportion and differences between University contributions and proportionate share of contributions	1,976,440	-
University FRS contributions subsequent to the measurement date	957,925	-
Total	\$ 6,678,195	\$ 730,965

The deferred outflows of resources totaling \$957,925, resulting from University contributions subsequent to the measurement date will be recognized as a reduction of the net pension liability in the fiscal year ending June 30, 2020. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2020	\$ 1,912,241
2021	1,372,586
2022	435,184
2023	740,244
2024	457,269
Thereafter	71,781
Total	\$ 4,989,305

Actuarial Assumptions. The total pension liability in the July 1, 2018, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	2.60 percent
Salary increases	3.25 percent, average, including inflation
Investment rate of return	7.00 percent, net of pension plan investment expense, including inflation

Mortality rates were based on the Generational RP-2000 with Projection Scale BB.

The actuarial assumptions used in the July 1, 2018, valuation were based on the results of an actuarial experience study for the period July 1, 2008, through June 30, 2013.

The long-term expected rate of return on pension plan investments was not based on historical returns, but instead is based on a forward-looking capital market economic model. The allocation policy's description of each asset class was used to map the target allocation to the asset classes shown below. Each asset class assumption is based on a consistent set of underlying assumptions, and includes an adjustment for the inflation assumption. The target allocation and best estimates of arithmetic and geometric real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	<u>Target Allocation (1)</u>	<u>Annual Arithmetic Return</u>	<u>Compound Annual (Geometric) Return</u>	<u>Standard Deviation</u>
Cash	1%	2.9%	2.9%	1.8%
Fixed Income	18%	4.4%	4.3%	4.0%
Global Equity	54%	7.6%	6.3%	17.0%
Real Estate (Property)	11%	6.6%	6.0%	11.3%
Private Equity	10%	10.7%	7.8%	26.5%
Strategic Investments	6%	6.0%	5.7%	8.6%
Total	<u>100%</u>			
Assumed inflation - Mean			2.6%	1.9%

(1) As outlined in the Plan's investment policy.

Discount Rate. The discount rate used to measure the total pension liability was 7.00 percent. The Plan's fiduciary net position was projected to be available to make all projected future benefit payments of current active and inactive employees. Therefore, the discount rate for calculating the total pension liability is equal to the long-term expected rate of return. The discount rate used in the 2018 valuation was updated from 7.10 percent to 7.00 percent.

Sensitivity of the University's Proportionate Share of the Net Pension Liability to Changes in the Discount Rate. The following presents the University's proportionate share of the net pension liability calculated using the discount rate of 7.00 percent, as well as what the University's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (6.00 percent) or 1 percentage point higher (8.00 percent) than the current rate:

	<u>1% Decrease (6.00%)</u>	<u>Current Discount Rate (7.00%)</u>	<u>1% Increase (8.00%)</u>
University's proportionate share of the net pension liability	\$16,605,601	\$9,095,857	\$2,863,867

Pension Plan Fiduciary Net Position. Detailed information about the Plan's fiduciary net position is available in the separately issued FRS Pension Plan and Other State Administered Systems Comprehensive Annual Financial Report.

HIS Pension Plan

Plan Description. The HIS Pension Plan (HIS Plan) is a cost-sharing multiple-employer defined benefit pension plan established under Section 112.363, Florida Statutes. The benefit is a monthly payment to assist retirees of State-administered retirement systems in paying their health insurance costs and is administered by the Florida Department of Management Services, Division of Retirement.

Benefits Provided. For the fiscal year ended June 30, 2019, eligible retirees and beneficiaries received a monthly HIS payment of \$5 for each year of creditable service completed at the time of retirement with a minimum HIS payment of \$30 and a maximum HIS payment of \$150 per month, pursuant to Section 112.363, Florida Statutes. To be eligible to receive a HIS Plan benefit, a retiree under a State-administered retirement system must provide proof of health insurance coverage, which can include Medicare.

Contributions. The HIS Plan is funded by required contributions from FRS participating employers as set by the Florida Legislature. Employer contributions are a percentage of gross compensation for all active FRS members. For the fiscal year ended June 30, 2019, the contribution rate was 1.66 percent of payroll pursuant to Section 112.363, Florida Statutes. The University contributed 100 percent of its statutorily required contributions for the current and preceding 3 years. HIS Plan contributions are deposited in a separate trust fund from which HIS payments are authorized. HIS Plan benefits are not guaranteed and are subject to annual legislative appropriation. In the event the legislative appropriation or available funds fail to provide full subsidy benefits to all participants, benefits may be reduced or canceled.

The University's contributions to the HIS Plan totaled \$173,940 for the fiscal year ended June 30, 2019.

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2019, the University reported a liability of \$3,335,968 for its proportionate share of the net pension liability. The current portion of the net pension liability is the University's proportionate share of benefit payments expected to be paid within 1 year, net of the University's proportionate share of the HIS Plan's fiduciary net position available to pay that amount. The net pension liability was measured as of June 30, 2018, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of July 1, 2018. The University's proportionate share of the net pension liability was based on the University's 2017-18 fiscal year contributions relative to the total 2017-18 fiscal year contributions of all participating members. At June 30, 2018, the University's proportionate share was 0.031518639 percent, which was an increase of 0.001206400 from its proportionate share measured as of June 30, 2017.

For the fiscal year ended June 30, 2019, the University recognized pension expense of \$639,247. In addition, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Change of assumptions	\$ 371,001	\$ 352,706
Difference between expected and actual experience	51,072	5,668
Net difference between projected and actual earnings on HIS Plan investments	2,014	-
Changes in proportion and differences between University HIS contributions and proportionate share of HIS contributions	1,439,923	-
University HIS contributions subsequent to the measurement date	173,940	-
Total	<u>\$ 2,037,950</u>	<u>\$ 358,374</u>

The deferred outflows of resources totaling \$173,940, resulting from University contributions subsequent to the measurement date will be recognized as a reduction of the net pension liability in the fiscal year ending June 30, 2020. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2020	\$ 436,922
2021	436,752
2022	339,850
2023	204,659
2024	70,835
Thereafter	16,618
Total	<u>\$ 1,505,636</u>

Actuarial Assumptions. The total pension liability at July 1, 2018, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	2.60 percent
Salary Increases	3.25 percent, average, including inflation
Municipal bond rate	3.87 percent

Mortality rates were based on the Generational RP-2000 with Projection Scale BB.

While an experience study had not been completed for the HIS Plan, the actuarial assumptions that determined the total pension liability for the HIS Plan were based on certain results of the most recent experience study for the FRS Plan.

Discount Rate. The discount rate used to measure the total pension liability was 3.87 percent. In general, the discount rate for calculating the total pension liability is equal to the single rate equivalent to discounting at the long-term expected rate of return for benefit payments prior to the projected depletion date. Because the HIS benefit is essentially funded on a pay-as-you-go basis, the depletion date is considered to be immediate, and the single equivalent discount rate is equal to the municipal bond rate

selected by the plan sponsor. The Bond Buyer General Obligation 20-Bond Municipal Bond Index was adopted as the applicable municipal bond index. The discount rate used in the 2018 valuation was updated from 3.58 percent to 3.87 percent.

Sensitivity of the University's Proportionate Share of the Net Pension Liability to Changes in the Discount Rate. The following presents the University's proportionate share of the net pension liability calculated using the discount rate of 3.87 percent, as well as what the University's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (2.87 percent) or 1 percentage point higher (4.87 percent) than the current rate:

	<u>1% Decrease (2.87%)</u>	<u>Current Discount Rate (3.87%)</u>	<u>1% Increase (4.87%)</u>
University's proportionate share of the net pension liability	\$3,788,472	\$3,335,968	\$2,949,611

Pension Plan Fiduciary Net Position. Detailed information about the HIS Plan's fiduciary net position is available in the separately issued FRS Pension Plan and Other State Administered Comprehensive Annual Financial Report.

13. Retirement Plans – Defined Contribution Pension Plans

FRS Investment Plan. The SBA administers the defined contribution plan officially titled the FRS Investment Plan (Investment Plan). The Investment Plan is reported in the SBA's annual financial statements and in the State's Comprehensive Annual Financial Report.

As provided in Section 121.4501, Florida Statutes, eligible FRS members may elect to participate in the Investment Plan in lieu of the FRS defined benefit plan. University employees already participating in the State University System Optional Retirement Program or DROP are not eligible to participate in the Investment Plan. Employer and employee contributions are defined by law, but the ultimate benefit depends in part on the performance of investment funds. Service retirement benefits are based upon the value of the member's account upon retirement. Benefit terms, including contribution requirements, are established and may be amended by the Florida Legislature. The Investment Plan is funded with the same employer and employee contributions, that are based on salary and membership class (Regular Class, Senior Management Service Class, etc.), as the FRS defined benefit plan. Contributions are directed to individual member accounts, and the individual members allocate contributions and account balances among various approved investment choices. Costs of administering the Investment Plan, including the FRS Financial Guidance Program, are funded through an employer contribution of 0.06 percent of payroll and by forfeited benefits of Investment Plan members. Allocations to the Investment Plan member accounts during the 2018-19 fiscal year were as follows:

<u>Class</u>	<u>Percent of Gross Compensation</u>
FRS, Regular	6.30
FRS, Senior Management Service	7.67
FRS, Special Risk Regular	14.00

For all membership classes, employees are immediately vested in their own contributions and are vested after 1 year of service for employer contributions and investment earnings regardless of membership class. If an accumulated benefit obligation for service credit originally earned under the FRS Pension Plan is transferred to the FRS Investment Plan, the member must have the years of service required for FRS Pension Plan vesting (including the service credit represented by the transferred funds) to be vested for these funds and the earnings on the funds. Nonvested employer contributions are placed in a suspense account for up to 5 years. If the employee returns to FRS-covered employment within the 5-year period, the employee will regain control over their account. If the employee does not return within the 5-year period, the employee will forfeit the accumulated account balance. For the fiscal year ended June 30, 2019, the information for the amount of forfeitures was unavailable from the SBA; however, management believes that these amounts, if any, would be immaterial to the University.

After termination and applying to receive benefits, the member may roll over vested funds to another qualified plan, structure a periodic payment under the Investment Plan, receive a lump-sum distribution, leave the funds invested for future distribution, or any combination of these options. Disability coverage is provided in which the member may either transfer the account balance to the FRS Pension Plan when approved for disability retirement to receive guaranteed lifetime monthly benefits under the FRS Pension Plan, or remain in the Investment Plan and rely upon that account balance for retirement income.

The University's Investment Plan pension expense totaled \$311,874 for the fiscal year ended June 30, 2019.

State University System Optional Retirement Program. Section 121.35, Florida Statutes, provides for an Optional Retirement Program (Program) for eligible university instructors and administrators. The Program is designed to aid State universities in recruiting employees by offering more portability to employees not expected to remain in the FRS for 8 or more years.

The Program is a defined contribution plan, which provides full and immediate vesting of all contributions submitted to the participating companies on behalf of the participant. Employees in eligible positions can make an irrevocable election to participate in the Program, rather than the FRS, and purchase retirement and death benefits through contracts provided by certain insurance carriers. The employing university contributes 5.14 percent of the participant's salary to the participant's account, 3.5 percent to cover the unfunded actuarial liability of the FRS pension plan, and 0.01 percent to cover administrative costs, for a total of 8.65 percent, and employees contribute 3 percent of the employee's salary. Additionally, the employee may contribute, by payroll deduction, an amount not to exceed the percentage contributed by the University to the participant's annuity account. The contributions are invested in the company or companies selected by the participant to create a fund for the purchase of annuities at retirement.

The University's contributions to the Program totaled \$642,277, and employee contributions totaled \$406,483 for the 2018-19 fiscal year.

14. Construction Commitment

The University's construction commitment at June 30, 2019, was as follows:

<u>Project Description</u>	<u>Total Commitment</u>	<u>Completed to Date</u>	<u>Balance Committed</u>
Applied Research Center	\$ 3,137,795	\$ 1,211,449	\$ 1,926,346

15. Risk Management Programs

The University is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees; and natural disasters. Pursuant to Section 1001.72(2), Florida Statutes, the University participates in State self-insurance programs providing insurance for property and casualty, workers' compensation, general liability, fleet automotive liability, Federal Civil Rights, and employment discrimination liability. During the 2018-19 fiscal year, for property losses, the State retained the first \$2 million per occurrence for all perils except named windstorm and flood. The State retained the first \$2 million per occurrence with an annual aggregate retention of \$40 million for named windstorm and flood losses. After the annual aggregate retention, losses in excess of \$2 million per occurrence were commercially insured up to \$78 million for named windstorm and flood through February 14, 2019, and decreased to \$68.5 million starting February 15, 2019. For perils other than named windstorm and flood, losses in excess of \$2 million per occurrence were commercially insured up to \$225 million; and losses exceeding those amounts were retained by the State. No excess insurance coverage is provided for workers' compensation, general and automotive liability, Federal Civil Rights and employment action coverage; all losses in these categories, with the exception of out-of-state workers' compensation, are completely self-insured by the State through the State Risk Management Trust Fund established pursuant to Chapter 284, Florida Statutes. The State Risk Management Trust Fund purchases an insurance policy for out-of-state workers' compensation coverage. Payments on tort claims are limited to \$200,000 per person and \$300,000 per occurrence as set by Section 768.28(5), Florida Statutes. Calculation of premiums considers the cash needs of the program and the amount of risk exposure for each participant. Settlements have not exceeded insurance coverage during the past 3 fiscal years.

Pursuant to Section 110.123, Florida Statutes, University employees may obtain healthcare services through participation in the State group health insurance plan or through membership in a health maintenance organization plan under contract with the State. The State's risk financing activities associated with State group health insurance, such as risk of loss related to medical and prescription drug claims, are administered through the State Employees Group Health Insurance Trust Fund. It is the practice of the State not to purchase commercial coverage for the risk of loss covered by this Fund. Additional information on the State's group health insurance plan, including the actuarial report, is available from the Florida Department of Management Services, Division of State Group Insurance.

16. Litigation

The University is involved in several pending and threatened legal actions. The range of potential loss from all such claims and actions, as estimated by the University's legal counsel and management, should not materially affect the University's financial position.

17. Functional Distribution of Operating Expenses

The functional classification of an operating expense (instruction, research, etc.) is assigned to a department based on the nature of the activity, which represents the material portion of the activity attributable to the department. For example, activities of an academic department for which the primary departmental function is instruction may include some activities other than direct instruction such as research and public service. However, when the primary mission of the department consists of instructional program elements, all expenses of the department are reported under the instruction classification. The operating expenses on the statement of revenues, expenses, and changes in net position are presented by natural classifications. The following are those same expenses presented in functional classifications as recommended by NACUBO:

<u>Functional Classification</u>	<u>Amount</u>
Instruction	\$ 9,266,435
Research	4,334,845
Public Services	190,362
Academic Support	9,098,299
Student Services	4,073,824
Institutional Support	12,009,645
Operation and Maintenance of Plant	3,489,048
Scholarships, Fellowships, and Waivers	8,855,573
Depreciation	5,566,928
Auxiliary Enterprises	3,616,109
Total Operating Expenses	<u><u>\$ 60,501,068</u></u>

18. Related Party Transaction

On June 26, 2019, the Board approved the release of the scholarship pledge receivable from the Foundation in the amount of \$5,718,582. The scholarship pledge receivable was reported in the University's Statement of Net Position as due from component unit in prior fiscal years.

19. Subsequent Event

On September 11, 2019, the Board approved the construction management contract and the Guaranteed Maximum Price (GMP) proposal for Phase 1 of the Applied Research Center (ARC) totaling \$8.2 million. This contract was signed and fully executed on September 24, 2019. Additionally, on February 26, 2020, the Board approved the construction management contract and the GMP proposal for Phase 2 of the ARC totaling \$17.7 million.

OTHER REQUIRED SUPPLEMENTARY INFORMATION

Schedule of the University's Proportionate Share of the Total Other Postemployment Benefits Liability

	<u>2018</u>	<u>2017</u>
University's proportion of the total other postemployment benefits liability	0.04%	0.04%
University's proportionate share of the total other postemployment benefits liability	\$ 4,221,000	\$ 4,483,000
University's covered-employee payroll	\$ 16,978,875	\$ 15,360,481
University's proportionate share of the total other postemployment benefits liability as a percentage of its covered-employee payroll	24.86%	29.19%

**Schedule of the University's Proportionate Share of the Net Pension Liability –
Florida Retirement System Pension Plan**

	<u>2018 (1)</u>	<u>2017 (1)</u>	<u>2016 (1)</u>	<u>2015 (1)</u>
University's proportion of the FRS net pension liability	0.030207815%	0.028494244%	0.022832875%	0.019998331%
University's proportionate share of the FRS net pension liability	\$ 9,095,857	\$ 8,428,407	\$ 5,765,319	\$ 2,583,054
University's covered payroll (2)	\$ 16,978,875	\$ 15,360,481	\$ 11,660,838	\$ 8,912,958
University's proportionate share of the FRS net pension liability as a percentage of its covered payroll	53.57%	54.87%	49.44%	28.98%
FRS Plan fiduciary net position as a percentage of the FRS total pension liability	84.26%	83.89%	84.88%	92.00%

(1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, State university system optional retirement program members, and members in DROP because total employer contributions are determined on a uniform basis (blended rate) as required by Part III of Chapter 121, Florida Statutes

Schedule of University Contributions – Florida Retirement System Pension Plan

	<u>2019 (1)</u>	<u>2018 (1)</u>	<u>2017 (1)</u>	<u>2016 (1)</u>
Contractually required FRS contribution	\$ 957,925	\$ 860,898	\$ 741,775	\$ 563,074
FRS contributions in relation to the contractually required contribution	<u>(957,925)</u>	<u>(860,898)</u>	<u>(741,775)</u>	<u>(563,074)</u>
FRS contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
University's covered payroll (2)	\$ 17,932,326	\$ 16,978,875	\$ 15,360,481	\$ 11,660,838
FRS contributions as a percentage of covered payroll	5.34%	5.07%	4.83%	4.83%

(1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, State university system optional retirement plan members, and members in DROP because total employer contributions are determined on a uniform basis (blended rate) as required by Part III of Chapter 121, Florida Statutes.

<u>2014 (1)</u>	<u>2013 (1)</u>
0.009648015%	0.000813120%
\$ 588,671	\$ 139,974
\$ 4,212,980	\$ 348,928
13.97%	40.12%
96.09%	88.54%

<u>2015 (1)</u>	<u>2014 (1)</u>
\$ 487,576	\$ 211,332
<u>(487,576)</u>	<u>(211,332)</u>
\$ -	\$ -
\$ 8,912,958	\$ 4,212,980
5.47%	5.02%

**Schedule of the University's Proportionate Share of the Net Pension Liability –
Health Insurance Subsidy Pension Plan**

	<u>2018 (1)</u>	<u>2017 (1)</u>	<u>2016 (1)</u>	<u>2015 (1)</u>
University's proportion of the HIS net pension liability	0.031518639%	0.030312239%	0.024197096%	0.018486835%
University's proportionate share of the HIS net pension liability	\$ 3,335,968	\$ 3,241,124	\$ 2,820,072	\$ 1,885,366
University's covered payroll (2)	\$ 9,805,704	\$ 9,232,755	\$ 7,298,830	\$ 5,391,296
University's proportionate share of the HIS net pension liability as a percentage of its covered payroll	34.02%	35.10%	38.64%	34.97%
HIS Plan fiduciary net position as a percentage of the HIS total pension liability	2.15%	1.64%	0.97%	0.50%

(1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, and members in DROP.

Schedule of University Contributions – Health Insurance Subsidy Pension Plan

	<u>2019 (1)</u>	<u>2018 (1)</u>	<u>2017 (1)</u>	<u>2016 (1)</u>
Contractually required HIS contribution	\$ 173,940	\$ 170,926	\$ 160,241	\$ 121,161
HIS contributions in relation to the contractually required HIS contribution	<u>(173,940)</u>	<u>(170,926)</u>	<u>(160,241)</u>	<u>(121,161)</u>
HIS contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
University's covered payroll (2)	\$ 10,262,946	\$ 9,805,704	\$ 9,232,755	\$ 7,298,830
HIS contributions as a percentage of covered payroll	1.69%	1.74%	1.74%	1.66%

(1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, and members in DROP.

<u>2014 (1)</u>	<u>2013 (1)</u>
0.009545059%	0.000943115%
\$ 892,486	\$ 82,111
\$ 2,508,042	\$ 55,192
35.58%	148.77%
0.99%	1.78%

<u>2015 (1)</u>	<u>2014 (1)</u>
\$ 70,668	\$ 32,698
<u>(70,668)</u>	<u>(32,698)</u>
\$ -	\$ -
\$ 5,391,296	\$ 2,508,042
1.31%	1.30%

1. Schedule of the University's Proportionate Share of the Total Other Postemployment Benefits Liability

No assets are accumulated in a trust that meet the criteria in paragraph 4 of GASB Statement No. 75 to pay related benefits.

Changes of Assumptions. The discount rate of the measurement date for GASB Statement No. 75 purposes was changed to 3.87 percent. The prior GASB Statement No.75 valuation used 3.58 percent. The GASB Statement No. 75 discount rate is based on the 20-year municipal bond rate as of the June 28, 2018.

2. Schedule of Net Pension Liability and Schedule of Contributions – Florida Retirement System Pension Plan

Changes of Assumptions. The long-term expected rate of return was decreased from 7.10 percent to 7.00 percent, and the active member mortality assumption was updated.

3. Schedule of Net Pension Liability and Schedule of Contributions – Health Insurance Subsidy Pension Plan

Changes of Assumptions. The municipal rate used to determine total pension liability increased from 3.58 percent to 3.87 percent.



Sherrill F. Norman, CPA
Auditor General

AUDITOR GENERAL STATE OF FLORIDA

Claude Denson Pepper Building, Suite G74
111 West Madison Street
Tallahassee, Florida 32399-1450



Phone: (850) 412-2722
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The President of the Senate, the Speaker of the
House of Representatives, and the
Legislative Auditing Committee

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the Florida Polytechnic University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2019, and the related notes to the financial statements, which collectively comprise the University's basic financial statements, and have issued our report thereon dated February 27, 2020, included under the heading **INDEPENDENT AUDITOR'S REPORT**. Our report includes a reference to other auditors who audited the financial statements of the discretely presented component unit, as described in our report on the University's financial statements. This report does not include the results of the other auditors' testing of internal control over financial reporting or compliance and other matters that are reported on separately by those auditors.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

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 *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 University'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.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, rules, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Respectfully submitted,

A handwritten signature in blue ink that reads "Sherrill F. Norman". The signature is fluid and cursive, with a large initial "S" and "N".

Sherrill F. Norman, CPA
Tallahassee, Florida
February 27, 2020

**Florida Polytechnic University
Audit & Compliance Committee
Board of Trustees
May 20, 2020**

Subject: Foundation Form 990 (June 30, 2019 Fiscal Year)

Proposed Committee Action

Recommend approval of the Foundation's Form 990 for the fiscal year ended June 30, 2019 to the Board of Trustees.

Background Information

FPU 10.002(17) requires that each DSO shall submit its federal Internal Revenue Service Return of Organization Exempt from Income Tax form (Form 990) to the President. BOG Regulation 9.011(6), requires that Form 990 be submitted to the university board of trustees or designee at the times required by the applicable regulation or policy of the board of trustees. Copies of such forms shall be provided by each university to the Board of Governors. The Foundation's form 990 for the fiscal year ended June 30, 2019 was recently completed by independent certified public accountants.

Supporting Documentation: Foundation Form 990

Prepared by: David A. Blanton, CAE/CCO

CLIFTONLARSONALLEN LLP
402 SOUTH KENTUCKY AVENUE, SUITE 600
LAKELAND, FL 33801-5354

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC
4700 RESEARCH WAY
LAKELAND, FL 33805

|||||

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CLIENT'S COPY



CLA (CliftonLarsonAllen LLP)
CLAconnect.com

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC
4700 RESEARCH WAY
LAKELAND, FL 33805

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC:

ENCLOSED IS THE ORGANIZATION'S 2018 EXTENSION FORM.

SPECIFIC FILING INSTRUCTIONS ARE AS FOLLOWS.

FORM 8868 FOR FORM 990 RETURN:

THE EXTENSION FOR FORM 990 HAS QUALIFIED FOR ELECTRONIC FILING. FORM 8868
EXTENDS THE DUE DATE OF THE ORGANIZATION'S FORM 990 RETURN UNTIL MAY 15, 2020.
THE EXTENSION HAS BEEN TRANSMITTED ELECTRONICALLY TO THE IRS AND NO FURTHER
ACTION IS REQUIRED.

NO PAYMENT IS DUE WITH FORM 8868.

SINCERELY,

LAUREN BALLARD, CPA

Form **8879-EO**

IRS e-file Signature Authorization for an Exempt Organization

OMB No. 1545-1878

For calendar year 2018, or fiscal year beginning JUL 1, 2018, and ending JUN 30, 2019

2018

Department of the Treasury
Internal Revenue Service

▶ **Do not send to the IRS. Keep for your records.**
▶ **Go to www.irs.gov/Form8879EO for the latest information.**

Name of exempt organization

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Employer identification number

46-1426289

Name and title of officer

**DEREK HORTON
FOUNDATION TREASURER**

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a**, **2a**, **3a**, **4a**, or **5a**, below, and the amount on that line for the return being filed with this form was blank, then leave line **1b**, **2b**, **3b**, **4b**, or **5b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

1a Form 990 check here ▶ <input checked="" type="checkbox"/>	b Total revenue , if any (Form 990, Part VIII, column (A), line 12)	1b <u>841,356.</u>
2a Form 990-EZ check here ▶ <input type="checkbox"/>	b Total revenue , if any (Form 990-EZ, line 9)	2b _____
3a Form 1120-POL check here ▶ <input type="checkbox"/>	b Total tax (Form 1120-POL, line 22)	3b _____
4a Form 990-PF check here ▶ <input type="checkbox"/>	b Tax based on investment income (Form 990-PF, Part VI, line 5)	4b _____
5a Form 8868 check here ▶ <input type="checkbox"/>	b Balance Due (Form 8868, line 3c)	5b _____

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2018 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

I authorize CLIFTONLARSONALLEN LLP to enter my PIN 26289
ERO firm name Enter five numbers, but do not enter all zeros

as my signature on the organization's tax year 2018 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2018 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ _____ Date ▶ _____

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

50586955902

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2018 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163**, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶ _____ Date ▶ 11/14/19

ERO Must Retain This Form - See Instructions
Do Not Submit This Form to the IRS Unless Requested To Do So

LHA For Paperwork Reduction Act Notice, see instructions.

Form **8879-EO** (2018)

823051 10-26-18

Return of Organization Exempt From Income Tax
Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

A For the 2018 calendar year, or tax year beginning **JUL 1, 2018** and ending **JUN 30, 2019**

B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC Doing business as Number and street (or P.O. box if mail is not delivered to street address) Room/suite 4700 RESEARCH WAY City or town, state or province, country, and ZIP or foreign postal code LAKELAND, FL 33805 F Name and address of principal officer: KEVIN ASPEGREN SAME AS C ABOVE	D Employer identification number 46-1426289 E Telephone number (863) 874-8416 G Gross receipts \$ 986,721. H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶
I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		
J Website: ▶ WWW.FLORIDAPOLYTECHNIC.ORG		
K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶		L Year of formation: 2012
		M State of legal domicile: FL

Part I Summary

	1	Briefly describe the organization's mission or most significant activities: ESTABLISHED TO HELP SUSTAIN THE MISSION OF FLORIDA POLYTECHNIC UNIVERSITY.		
	2	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
Activities & Governance	3	Number of voting members of the governing body (Part VI, line 1a)	3	22
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	21
	5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	0
	6	Total number of volunteers (estimate if necessary)	6	23
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
	7b	Net unrelated business taxable income from Form 990-T, line 38	7b	0.
	Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year 1,486,732.
9		Program service revenue (Part VIII, line 2g)	0.	0.
10		Investment income (Part VIII, column (A), lines 3, 4, and 7d)	217,361.	303,757.
11		Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-32,615.	-21,400.
12		Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,671,478.	841,356.
Expenses		13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	1,582,747.
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.	43,147.
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 75,232.		
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	468,779.	399,425.
	18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	2,051,526.	1,131,151.
	19	Revenue less expenses. Subtract line 18 from line 12	-380,048.	-289,795.
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	Beginning of Current Year 7,091,332.	End of Year 6,869,877.
	21	Total liabilities (Part X, line 26)	8,119,479.	2,783,589.
	22	Net assets or fund balances. Subtract line 21 from line 20	-1,028,147.	4,086,288.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer DEREK HORTON, FOUNDATION TREASURER Type or print name and title	Date 			
Paid Preparer Use Only	Print/Type preparer's name LAUREN BALLARD, CPA	Preparer's signature LAUREN BALLARD, CPA	Date 11/14/19	Check if self-employed <input type="checkbox"/>	PTIN P01451787
	Firm's name ▶ CLIFTONLARSONALLEN LLP			Firm's EIN ▶ 41-0746479	
Firm's address ▶ 402 SOUTH KENTUCKY AVENUE, SUITE 600 LAKELAND, FL 33801-5354			Phone no. 863-680-5600		

May the IRS discuss this return with the preparer shown above? (see instructions) Yes No

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

1 Briefly describe the organization's mission:
ESTABLISHED TO HELP SUSTAIN THE MISSION OF FLORIDA POLYTECHNIC UNIVERSITY TO EDUCATE STUDENTS EMPHASIZING SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM) IN AN INNOVATIVE, TECHNOLOGY-RICH, AND INTERDISCIPLINARY LEARNING ENVIRONMENT.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? Yes No
If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? Yes No
If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code: _____) (Expenses \$ 932,155. including grants of \$ 688,579.) (Revenue \$ _____)
FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION FOSTERS THE MISSION OF THE UNIVERSITY AND HAS PROVIDED SCHOLARSHIP SUPPORT TO THE UNIVERSITY EACH YEAR SINCE IT'S INAUGURAL CLASS IN 14-15.

4b (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4c (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4d Other program services (Describe in Schedule O.)
(Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

4e Total program service expenses **▶ 932,155.**

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	X	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>		X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>		X
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>		X
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>		X
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i>		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i>		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		X
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	X	

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2018)

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Part IV Checklist of Required Schedules (continued)

	Yes	No
22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22	X
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	X
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>	24a	X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>	25a	X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b	X
26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II</i>	26	X
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>	27	X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a	X
b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b	X
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c	X
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	X
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	X
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31	X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32	X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33	X
34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>	34	X
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	X
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>	35b	
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37	X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O	38	X

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

	Yes	No
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	6
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	

Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

		Yes	No
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return		
	2a		0
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	2b	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	X
b	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O	3b	
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a	X
b	If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a	X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b	X
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c	
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a	X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b	
7	Organizations that may receive deductible contributions under section 170(c).		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	X
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	X
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c	X
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d	
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e	X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f	X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g	
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h	
8	Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8	
9	Sponsoring organizations maintaining donor advised funds.		
a	Did the sponsoring organization make any taxable distributions under section 4966?	9a	
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b	
10	Section 501(c)(7) organizations. Enter:		
a	Initiation fees and capital contributions included on Part VIII, line 12	10a	
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b	
11	Section 501(c)(12) organizations. Enter:		
a	Gross income from members or shareholders	11a	
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b	
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a	
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b	
13	Section 501(c)(29) qualified nonprofit health insurance issuers.		
a	Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.	13a	
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b	
c	Enter the amount of reserves on hand	13c	
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a	X
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b	
15	Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year? If "Yes," see instructions and file Form 4720, Schedule N.	15	X
16	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.	16	X

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

Section A. Governing Body and Management

		Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		
	1a 22		
b	Enter the number of voting members included in line 1a, above, who are independent		
	1b 21		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?		X
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?		X
6	Did the organization have members or stockholders?		X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?		X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a	The governing body?	X	
b	Each committee with authority to act on behalf of the governing body?	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O		X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

		Yes	No
10a	Did the organization have local chapters, branches, or affiliates?		X
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?		
10b			
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	X	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	X	
12c			
13	Did the organization have a written whistleblower policy?		X
14	Did the organization have a written document retention and destruction policy?		X
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a	The organization's CEO, Executive Director, or top management official		X
b	Other officers or key employees of the organization		X
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		
16b			

Section C. Disclosure

- 17** List the states with which a copy of this Form 990 is required to be filed **FL**
- 18** Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records **DEREK HORTON - (863)874-8416**
4700 RESEARCH WAY, LAKELAND, FL 33805

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) ALICE HUNT CHAIR	1.25	X		X				0.	0.	0.
(2) JACK HARRELL VICE CHAIR	1.25	X		X				0.	0.	0.
(3) CINDY ALEXANDER DIRECTOR	1.25	X						0.	0.	0.
(4) RALPH ALLEN DIRECTOR	1.25	X						0.	0.	0.
(5) TODD BAYLIS DIRECTOR	1.25	X						0.	0.	0.
(6) PHILLIPA GREENBERG DIRECTOR	1.25	X						0.	0.	0.
(7) FORD HEACOCK DIRECTOR	1.25	X						0.	0.	0.
(8) ROB KINCART DIRECTOR	1.25	X						0.	0.	0.
(9) MICHAEL LAWLEY DIRECTOR	1.25	X						0.	0.	0.
(10) JOSHUA MCCOY DIRECTOR	1.25	X						0.	0.	0.
(11) IVETTE O'DOSKI DIRECTOR	1.25	X						0.	0.	0.
(12) MARLENE O'TOOLE DIRECTOR	1.25	X						0.	0.	0.
(13) DR. SIGO PAREKATTIL DIRECTOR	1.25	X						0.	0.	0.
(14) BLAKE PAUL DIRECTOR	1.25	X						0.	0.	0.
(15) SHELLEY ROBINSON DIRECTOR	1.25	X						0.	0.	0.
(16) LORETTA SANDERS DIRECTOR	1.25	X						0.	0.	0.
(17) LAUREN SCHWENK DIRECTOR	1.25	X						0.	0.	0.

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) DONNA SLYSTER DIRECTOR	1.25	X						0.	0.	0.
(19) VIC STORY DIRECTOR	1.25	X						0.	0.	0.
(20) SERETHA TINSLEY DIRECTOR	1.25	X						0.	0.	0.
(21) GREGORY FANCELLI DIRECTOR	1.25	X						0.	0.	0.
(22) CLIFF OTTO DIRECTOR	1.25	X						0.	0.	0.
(23) KATHRYN MIZERECK DIRECTOR	1.25 40.00	X						0.	129,280.	21,545.
(24) DEREK HORTON TREASURER	2.00 38.00			X				0.	121,195.	26,767.
(25) KEVIN ASPEGREN CEO JULY - FEB	2.00 38.00			X				0.	253,854.	40,055.
(26) RANDY AVENT PRESIDENT/CEO FEB - JUNE	2.00 38.00			X				0.	709,365.	44,868.
1b Sub-total								0.	1,213,694.	133,235.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								0.	1,213,694.	133,235.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **0**

	Yes	No
3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>		X
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i>	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
NONE		

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **0**

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

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Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514	
Contributions, Gifts, Grants and Other Similar Amounts	1 a Federated campaigns	1a					
	b Membership dues	1b					
	c Fundraising events	1c	158,270.				
	d Related organizations	1d					
	e Government grants (contributions)	1e					
	f All other contributions, gifts, grants, and similar amounts not included above	1f	400,729.				
	g Noncash contributions included in lines 1a-1f: \$						
	h Total. Add lines 1a-1f		558,999.				
Program Service Revenue	2 a _____	Business Code					
	b _____						
	c _____						
	d _____						
	e _____						
	f All other program service revenue						
	g Total. Add lines 2a-2f						
Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)		303,757.			303,757.	
	4 Income from investment of tax-exempt bond proceeds						
	5 Royalties						
	6 a Gross rents	(i) Real	(ii) Personal				
		b Less: rental expenses					
		c Rental income or (loss)					
		d Net rental income or (loss)					
	7 a Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other				
		b Less: cost or other basis and sales expenses					
		c Gain or (loss)					
		d Net gain or (loss)					
	8 a Gross income from fundraising events (not including \$ <u>158,270.</u> of contributions reported on line 1c). See Part IV, line 18	a		123,580.			
		b Less: direct expenses	b	145,365.			
		c Net income or (loss) from fundraising events		-21,785.			-21,785.
	9 a Gross income from gaming activities. See Part IV, line 19	a					
b Less: direct expenses		b					
c Net income or (loss) from gaming activities							
10 a Gross sales of inventory, less returns and allowances	a						
	b Less: cost of goods sold	b					
	c Net income or (loss) from sales of inventory						
Miscellaneous Revenue		Business Code					
11 a MISCELLANEOUS INCOME		900099	385.			385.	
b _____							
c _____							
d All other revenue							
e Total. Add lines 11a-11d			385.				
12 Total revenue. See instructions			841,356.	0.	0.	282,357.	

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2018)

46-1426289 Page **10**

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 ...	688,579.	688,579.		
2 Grants and other assistance to domestic individuals. See Part IV, line 22				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees				
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	43,147.		43,147.	
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)				
9 Other employee benefits				
10 Payroll taxes				
11 Fees for services (non-employees):				
a Management				
b Legal				
c Accounting	17,800.		17,800.	
d Lobbying	183,160.	183,160.		
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	5,133.			5,133.
12 Advertising and promotion				
13 Office expenses	1,097.		244.	853.
14 Information technology	1,949.		1,949.	
15 Royalties				
16 Occupancy	240.			240.
17 Travel	12,476.		9,549.	2,927.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials ...				
19 Conferences, conventions, and meetings	127,697.	56,203.	43,924.	27,570.
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	31,741.			31,741.
23 Insurance	2,429.			2,429.
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a DUES AND MEMBERSHIPS	4,951.		4,951.	
b STATE REGISTRATION FEES	2,200.		2,200.	
c _____				
d _____				
e All other expenses _____	8,552.	4,213.		4,339.
25 Total functional expenses. Add lines 1 through 24e	1,131,151.	932,155.	123,764.	75,232.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here if following SOP 98-2 (ASC 958-720)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2018)

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Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

		(A) Beginning of year		(B) End of year	
Assets	1 Cash - non-interest-bearing	503,197.	1	534,401.	
	2 Savings and temporary cash investments		2		
	3 Pledges and grants receivable, net	846,978.	3	294,189.	
	4 Accounts receivable, net		4		
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L			5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L			6	
	7 Notes and loans receivable, net		7		
	8 Inventories for sale or use		8		
	9 Prepaid expenses and deferred charges		9		
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a			
	b Less: accumulated depreciation	10b		10c	
	11 Investments - publicly traded securities	5,741,157.	11	6,032,750.	
	12 Investments - other securities. See Part IV, line 11		12		
	13 Investments - program-related. See Part IV, line 11		13		
	14 Intangible assets		14		
	15 Other assets. See Part IV, line 11	0.	15	8,537.	
16 Total assets. Add lines 1 through 15 (must equal line 34)	7,091,332.	16	6,869,877.		
Liabilities	17 Accounts payable and accrued expenses	7,756.	17	7,149.	
	18 Grants payable		18		
	19 Deferred revenue	2,750,000.	19	2,773,376.	
	20 Tax-exempt bond liabilities		20		
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21		
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22		
	23 Secured mortgages and notes payable to unrelated third parties		23		
	24 Unsecured notes and loans payable to unrelated third parties	4,110,797.	24		
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	1,250,926.	25	3,064.	
	26 Total liabilities. Add lines 17 through 25	8,119,479.	26	2,783,589.	
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.				
	27 Unrestricted net assets	-2,927,057.	27	1,448,123.	
	28 Temporarily restricted net assets	700,063.	28	1,215,827.	
	29 Permanently restricted net assets	1,198,847.	29	1,422,338.	
	Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.				
	30 Capital stock or trust principal, or current funds		30		
	31 Paid-in or capital surplus, or land, building, or equipment fund		31		
	32 Retained earnings, endowment, accumulated income, or other funds		32		
33 Total net assets or fund balances	-1,028,147.	33	4,086,288.		
34 Total liabilities and net assets/fund balances	7,091,332.	34	6,869,877.		

Form **990** (2018)

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	1	841,356.
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,131,151.
3	Revenue less expenses. Subtract line 2 from line 1	3	-289,795.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	-1,028,147.
5	Net unrealized gains (losses) on investments	5	24,677.
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	-320,202.
9	Other changes in net assets or fund balances (explain in Schedule O)	9	5,699,755.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	4,086,288.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

- 1 Accounting method used to prepare the Form 990: Cash Accrual Other _____
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a Were the organization's financial statements compiled or reviewed by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- b Were the organization's financial statements audited by an independent accountant?
If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both:
 Separate basis Consolidated basis Both consolidated and separate basis
- c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- 3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?
- b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

	Yes	No
2a		X
2b	X	
2c	X	
3a		X
3b		

Form 990 (2018)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC** Employer identification number **46-1426289**

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1 A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3 A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11 An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
 - a **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
 - b **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
 - c **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
 - d **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
 - e Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
 - f Enter the number of supported organizations _____
 - g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
Total						

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2014	(b) 2015	(c) 2016	(d) 2017	(e) 2018	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	3030406.	4289043.	1157618.	1486732.	558,999.	10522798.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3	3030406.	4289043.	1157618.	1486732.	558,999.	10522798.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						2933685.
6 Public support. Subtract line 5 from line 4.						7589113.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2014	(b) 2015	(c) 2016	(d) 2017	(e) 2018	(f) Total
7 Amounts from line 4	3030406.	4289043.	1157618.	1486732.	558,999.	10522798.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	114,768.	71,610.	94,649.	217,361.	303,757.	802,145.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)					385.	385.
11 Total support. Add lines 7 through 10						11325328.
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						<input type="checkbox"/>

Section C. Computation of Public Support Percentage

14 Public support percentage for 2018 (line 6, column (f) divided by line 11, column (f))	14	67.01 %
15 Public support percentage from 2017 Schedule A, Part II, line 14	15	79.10 %
16a 33 1/3% support test - 2018. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization		<input checked="" type="checkbox"/>
b 33 1/3% support test - 2017. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
17a 10% -facts-and-circumstances test - 2018. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
b 10% -facts-and-circumstances test - 2017. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions		<input type="checkbox"/>

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Table with 7 columns: (a) 2014, (b) 2015, (c) 2016, (d) 2017, (e) 2018, (f) Total. Rows include: 1 Gifts, grants, contributions, and membership fees received; 2 Gross receipts from admissions; 3 Gross receipts from activities that are not an unrelated trade or business; 4 Tax revenues levied for the organization's benefit; 5 The value of services or facilities furnished by a governmental unit; 6 Total; 7a Amounts included on lines 1, 2, and 3 received from disqualified persons; 7b Amounts included on lines 2 and 3 received from other than disqualified persons; 8 Public support.

Section B. Total Support

Table with 7 columns: (a) 2014, (b) 2015, (c) 2016, (d) 2017, (e) 2018, (f) Total. Rows include: 9 Amounts from line 6; 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources; 10b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975; 10c Add lines 10a and 10b; 11 Net income from unrelated business activities not included in line 10b; 12 Other income; 13 Total support.

14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here

Section C. Computation of Public Support Percentage

Table with 2 columns: Description, Percentage. Row 15: Public support percentage for 2018 (line 8, column (f), divided by line 13, column (f)) 15 %; Row 16: Public support percentage from 2017 Schedule A, Part III, line 15 16 %

Section D. Computation of Investment Income Percentage

Table with 2 columns: Description, Percentage. Row 17: Investment income percentage for 2018 (line 10c, column (f), divided by line 13, column (f)) 17 %; Row 18: Investment income percentage from 2017 Schedule A, Part III, line 17 18 %

19a 33 1/3% support tests - 2018. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

b 33 1/3% support tests - 2017. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

	Yes	No
1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>		
b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>		
b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>		
b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>		
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		
b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		
c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		
10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i>		
b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>		

Part IV Supporting Organizations (continued)

	Yes	No
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
b A family member of a person described in (a) above?		
c A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i>		

Section B. Type I Supporting Organizations

	Yes	No
1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i>		
2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.</i>		

Section C. Type II Supporting Organizations

	Yes	No
1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i>		

Section D. All Type III Supporting Organizations

	Yes	No
1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i>		
3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i>		

Section E. Type III Functionally Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).		
a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.		
b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.		
c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).		
2 Activities Test. Answer (a) and (b) below.		
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i>		
b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>		
3 Parent of Supported Organizations. Answer (a) and (b) below.		
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i>		
b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI.) **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions.	
7 Total annual distributions. Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions.	
9 Distributable amount for 2018 from Section C, line 6	
10 Line 8 amount divided by line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2018	(iii) Distributable Amount for 2018
1 Distributable amount for 2018 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2018 (reasonable cause required- explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2018			
a From 2013			
b From 2014			
c From 2015			
d From 2016			
e From 2017			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2018 distributable amount			
i Carryover from 2013 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2018 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2018 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2018, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI . See instructions.			
6 Remaining underdistributions for 2018. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI . See instructions.			
7 Excess distributions carryover to 2019. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2014			
b Excess from 2015			
c Excess from 2016			
d Excess from 2017			
e Excess from 2018			

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

SCHEDULE A, PART II, LINE 10, EXPLANATION FOR OTHER INCOME:

MISCELLANEOUS INCOME

2018 AMOUNT: \$ 385.

Multiple horizontal lines for providing additional information.

Schedule B

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2018

Name of the organization

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Employer identification number

46-1426289

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

501(c)(3) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I (entering "N/A" in column (b) instead of the contributor name and address), II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part I Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 60,181.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
2	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 24,250.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
3	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 55,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
4	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
5	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
6	<div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 100%; height: 15px;"></div>	\$ 32,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part I Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	<div style="background-color: black; width: 200px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 250px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 200px; height: 15px;"></div>	\$ <u>25,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
8	<div style="background-color: black; width: 180px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 200px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 220px; height: 15px;"></div>	\$ <u>25,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
9	<div style="background-color: black; width: 200px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 280px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 200px; height: 15px;"></div>	\$ <u>24,400.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
10	<div style="background-color: black; width: 180px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 250px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 220px; height: 15px;"></div>	\$ <u>22,857.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
11	<div style="background-color: black; width: 200px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 280px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 200px; height: 15px;"></div>	\$ <u>20,800.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
12	<div style="background-color: black; width: 120px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 250px; height: 15px; margin-bottom: 5px;"></div> <div style="background-color: black; width: 200px; height: 15px;"></div>	\$ <u>19,700.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info. once.) ▶ \$ _____
Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	

SCHEDULE C
(Form 990 or 990-EZ)

Political Campaign and Lobbying Activities

OMB No. 1545-0047

2018

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

For Organizations Exempt From Income Tax Under section 501(c) and section 527
▶ **Complete if the organization is described below. ▶ Attach to Form 990 or Form 990-EZ.**
▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.
- 2 Political campaign activity expenditures ▶ \$ _____
- 3 Volunteer hours for political campaign activities

Part I-B Complete if the organization is exempt under section 501(c)(3).

- 1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ \$ _____
- 2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ \$ _____
- 3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? Yes No
- 4a Was a correction made? Yes No
- b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

- 1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ \$ _____
- 2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ \$ _____
- 3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b ▶ \$ _____
- 4 Did the filing organization file **Form 1120-POL** for this year? Yes No
- 5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ. Schedule C (Form 990 or 990-EZ) 2018

Part II-A Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A** Check if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B** Check if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a	Total lobbying expenditures to influence public opinion (grass roots lobbying)														
b	Total lobbying expenditures to influence a legislative body (direct lobbying)														
c	Total lobbying expenditures (add lines 1a and 1b)														
d	Other exempt purpose expenditures														
e	Total exempt purpose expenditures (add lines 1c and 1d)														
f	Lobbying nontaxable amount. Enter the amount from the following table in both columns.														
<table border="1"> <thead> <tr> <th>If the amount on line 1e, column (a) or (b) is:</th> <th>The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <tr> <td>Not over \$500,000</td> <td>20% of the amount on line 1e.</td> </tr> <tr> <td>Over \$500,000 but not over \$1,000,000</td> <td>\$100,000 plus 15% of the excess over \$500,000.</td> </tr> <tr> <td>Over \$1,000,000 but not over \$1,500,000</td> <td>\$175,000 plus 10% of the excess over \$1,000,000.</td> </tr> <tr> <td>Over \$1,500,000 but not over \$17,000,000</td> <td>\$225,000 plus 5% of the excess over \$1,500,000.</td> </tr> <tr> <td>Over \$17,000,000</td> <td>\$1,000,000.</td> </tr> </tbody> </table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e.	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.	Over \$17,000,000	\$1,000,000.		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e.														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.														
Over \$17,000,000	\$1,000,000.														
g	Grassroots nontaxable amount (enter 25% of line 1f)														
h	Subtract line 1g from line 1a. If zero or less, enter -0-														
i	Subtract line 1f from line 1c. If zero or less, enter -0-														
j	If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?		<input type="checkbox"/> Yes <input type="checkbox"/> No												

4-Year Averaging Period Under Section 501(h)
 (Some organizations that made a section 501(h) election do not have to complete all of the five columns below.
 See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

	(a)		(b)
	Yes	No	Amount
1 During the year, did the filing organization attempt to influence foreign, national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a Volunteers?		X	
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		X	
c Media advertisements?		X	
d Mailings to members, legislators, or the public?		X	
e Publications, or published or broadcast statements?		X	
f Grants to other organizations for lobbying purposes?		X	
g Direct contact with legislators, their staffs, government officials, or a legislative body?		X	
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		X	
i Other activities?	X		183,000.
j Total. Add lines 1c through 1i			183,000.
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?	X		
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

	Yes	No
1 Were substantially all (90% or more) dues received nondeductible by members?	1	
2 Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
3 Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?	3	

Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No," OR (b) Part III-A, line 3, is answered "Yes."

1 Dues, assessments and similar amounts from members	1	
2 Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
a Current year	2a	
b Carryover from last year	2b	
c Total	2c	
3 Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4 If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5 Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

PART II-B, LINE 1, LOBBYING ACTIVITIES:

PAYMENT TO LOBBYIST FOR REPRESENTATION WITH LEGISLATORS.

SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.**
▶ **Attach to Form 990.**

▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

OMB No. 1545-0047

2018
Open to Public Inspection

Name of the organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC **Employer identification number** 46-1426289

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate value of contributions to (during year)		
3 Aggregate value of grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).
 Preservation of land for public use (e.g., recreation or education) Preservation of a historically important land area
 Protection of natural habitat Preservation of a certified historic structure
 Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1

(ii) Assets included in Form 990, Part X

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1

b Assets included in Form 990, Part X

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990. Schedule D (Form 990) 2018

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

- 3** Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a** Public exhibition
 - b** Scholarly research
 - c** Preservation for future generations
 - d** Loan or exchange programs
 - e** Other _____
- 4** Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5** During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No
- b** If "Yes," explain the arrangement in Part XIII and complete the following table:
- | | Amount |
|--|-----------|
| c Beginning balance | 1c |
| d Additions during the year | 1d |
| e Distributions during the year | 1e |
| f Ending balance | 1f |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? Yes No
- b** If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

- 2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a** Board designated or quasi-endowment _____ %
 - b** Permanent endowment _____ %
 - c** Temporarily restricted endowment _____ %
- The percentages on lines 2a, 2b, and 2c should equal 100%.
- 3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by:
- | | Yes | No |
|---|---------------|----|
| (i) unrelated organizations | 3a(i) | |
| (ii) related organizations | 3a(ii) | |
| b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? | 3b | |
- 4** Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment				
e Other				

Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) 0.

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DUE TO FLORIDA POLYTECHNIC	
(3) UNIVERSITY	3,064.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	3,064.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	992,571.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains (losses) on investments	2a	24,677.	
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII.)	2d	-18,827.	
e	Add lines 2a through 2d	2e		5,850.
3	Subtract line 2e from line 1	3		986,721.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b	-145,365.	
c	Add lines 4a and 4b	4c		-145,365.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)	5		841,356.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	1,276,516.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2a		
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII.)	2d	145,365.	
e	Add lines 2a through 2d	2e		145,365.
3	Subtract line 2e from line 1	3		1,131,151.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines 4a and 4b	4c		0.
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)	5		1,131,151.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

PART X, LINE 2:

THE FOUNDATION ADOPTED THE INCOME TAX STANDARD FOR UNCERTAIN TAX POSITIONS ON JANUARY 1, 2009. AS A RESULT OF THE IMPLEMENTATION, THE FOUNDATION DETERMINED THERE WERE NO UNCERTAIN TAX POSITION FOR WHICH EITHER RECOGNITION OR DISCLOSURE IS REQUIRED IN THE FINANCIAL STATEMENTS.

PART XI, LINE 2D - OTHER ADJUSTMENTS:

WRITE OFF OF UNCOLLECTIBLE PLEDGES -18,827.

PART XI, LINE 4B - OTHER ADJUSTMENTS:

DIRECT FUNDRAISING EVENT EXPENSES -145,365.

Part XIII Supplemental Information *(continued)*

PART XII, LINE 2D - OTHER ADJUSTMENTS:

DIRECT FUNDRAISING EVENT EXPENSES 145,365.

Multiple horizontal lines for additional entries.

SCHEDULE G
(Form 990 or 990-EZ)

Supplemental Information Regarding Fundraising or Gaming Activities

OMB No. 1545-0047

Complete if the organization answered "Yes" on Form 990, Part IV, line 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.

2018

Department of the Treasury
Internal Revenue Service

▶ **Attach to Form 990 or Form 990-EZ.**

Open to Public Inspection

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC**

Employer identification number
46-1426289

Part I Fundraising Activities. Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.

- a** Mail solicitations
- b** Internet and email solicitations
- c** Phone solicitations
- d** In-person solicitations
- e** Solicitation of non-government grants
- f** Solicitation of government grants
- g** Special fundraising events

2 a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees, or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? **Yes** **No**

b If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization.

(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions?		(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col. (i)	(vi) Amount paid to (or retained by) organization
		Yes	No			
Total				▶		

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing.

FLORIDA POLYTECHNIC UNIVERSITY

Part II Fundraising Events. Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col. (a) through col. (c))
		PIVOT 2019 (event type)	(event type)	NONE (total number)	
Revenue	1 Gross receipts	281,850.			281,850.
	2 Less: Contributions	158,270.			158,270.
	3 Gross income (line 1 minus line 2)	123,580.			123,580.
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs				
	7 Food and beverages	36,900.			36,900.
	8 Entertainment	87,090.			87,090.
	9 Other direct expenses	21,375.			21,375.
	10 Direct expense summary. Add lines 4 through 9 in column (d)				145,365.
11 Net income summary. Subtract line 10 from line 3, column (d)				-21,785.	

Part III Gaming. Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
		1 Gross revenue			
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
7 Direct expense summary. Add lines 2 through 5 in column (d)					
8 Net gaming income summary. Subtract line 7 from line 1, column (d)					

9 Enter the state(s) in which the organization conducts gaming activities: _____

a Is the organization licensed to conduct gaming activities in each of these states? Yes No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? Yes No

b If "Yes," explain: _____

FLORIDA POLYTECHNIC UNIVERSITY

Schedule G (Form 990 or 990-EZ) 2018 FOUNDATION, INC

46-1426289 Page 3

- 11 Does the organization conduct gaming activities with nonmembers?
12 Is the organization a grantor, beneficiary or trustee of a trust, or a member of a partnership or other entity formed to administer charitable gaming?
13 Indicate the percentage of gaming activity conducted in:
a The organization's facility
b An outside facility
14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name Address

Name Address

- 15a Does the organization have a contract with a third party from whom the organization receives gaming revenue?
b If "Yes," enter the amount of gaming revenue received by the organization and the amount of gaming revenue retained by the third party
c If "Yes," enter name and address of the third party:

Name

Address

16 Gaming manager information:

Name

Gaming manager compensation \$

Description of services provided

- Director/officer Employee Independent contractor

17 Mandatory distributions:

- a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license?
b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year \$

Part IV Supplemental Information. Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions.

Part IV Supplemental Information (continued)

Multiple horizontal lines for supplemental information.

**SCHEDULE I
(Form 990)**

Department of the Treasury
Internal Revenue Service

**Grants and Other Assistance to Organizations,
Governments, and Individuals in the United States**
Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

▶ **Go to www.irs.gov/Form990 for the latest information.**

OMB No. 1545-0047

2018

**Open to Public
Inspection**

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

**Employer identification number
46-1426289**

Part I General Information on Grants and Assistance

- 1** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? **Yes** **No**
- 2** Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
FLORIDA POLYTECHNIC UNIVERSITY 4700 RESEARCH WAY LAKELAND, FL 33805	46-0764837	STATE OF FLORIDA	688,579.	0.	N/A	N/A	STUDENT SCHOLARSHIPS AND UNIVERSITY SALARIES

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶ 1.

3 Enter total number of other organizations listed in the line 1 table ▶ 0.

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Schedule I (Form 990) (2018)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Part III Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" on Form 990, Part IV, line 22.
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance

Part IV Supplemental Information. Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

PART I, LINE 2:

THE FOUNDATION REQUIRES THE UNIVERSITY TO SUBMIT INVOICES TO SUPPORT THE AMOUNTS NEEDED TO COVER SCHOLARSHIPS AND SALARIES. THE FOUNDATION ALSO REQUIRES THE UNIVERSITY TO SUBMIT THE NAMES OF THE STUDENTS THAT HAVE BEEN AWARDED THE SCHOLARSHIPS ALONG WITH THE INVOICES.

**SCHEDULE J
(Form 990)**

Compensation Information

OMB No. 1545-0047

2018

Open to Public Inspection

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
 ▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.
 ▶ Attach to Form 990.
 ▶ Go to www.irs.gov/Form990 for instructions and the latest information.

Department of the Treasury
Internal Revenue Service

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC** Employer identification number **46-1426289**

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- | | |
|--|--|
| <input type="checkbox"/> First-class or charter travel | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees |
| <input type="checkbox"/> Discretionary spending account | <input type="checkbox"/> Personal services (such as maid, chauffeur, chef) |

b If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?

3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- | | |
|--|--|
| <input type="checkbox"/> Compensation committee | <input type="checkbox"/> Written employment contract |
| <input type="checkbox"/> Independent compensation consultant | <input type="checkbox"/> Compensation survey or study |
| <input type="checkbox"/> Form 990 of other organizations | <input type="checkbox"/> Approval by the board or compensation committee |

4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- a** Receive a severance payment or change-of-control payment? **4a**
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan? **4b**
- c** Participate in, or receive payment from, an equity-based compensation arrangement? **4c**
- If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.

5 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

- a** The organization? **5a**
- b** Any related organization? **5b**
- If "Yes" on line 5a or 5b, describe in Part III.

6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- a** The organization? **6a**
- b** Any related organization? **6b**
- If "Yes" on line 6a or 6b, describe in Part III.

7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III

8 Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III

9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

	Yes	No
1b		
2		
4a		X
4b		X
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		

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Schedule J (Form 990) 2018

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Schedule J (Form 990) 2018

46-1426289

Page 2

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

Note: The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) KATHRYN MIZERECK DIRECTOR	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	129,280.	0.	0.	0.	21,545.	150,825.	0.
(2) KEVIN ASPEGREN CEO JULY - FEB	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	253,854.	0.	0.	21,483.	18,572.	293,909.	0.
(3) RANDY AVENT PRESIDENT/CEO FEB - JUNE	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	709,365.	0.	0.	26,217.	18,651.	754,233.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2018

Open to Public
Inspection

Name of the organization	FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number	46-1426289
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FORM 990, PART VI, SECTION B, LINE 11B:

A COMPLETE COPY OF THE 990 IS PROVIDED TO EVERY MEMBER OF THE BOARD OF DIRECTORS FOR REVIEW PRIOR TO BEING FILED WITH THE IRS.

FORM 990, PART VI, SECTION B, LINE 12C:

IN CONNECTION WITH ANY ACTUAL OR POSSIBLE CONFLICTS OF INTEREST, AN INTERESTED PERSON MUST DISCLOSE THE EXISTENCE OF HIS OR HER FINANCIAL INTEREST AND ALL MATERIAL FACTS TO THE DIRECTORS AND MEMBERS OF COMMITTEES WITH BOARD-DELEGATED POWERS CONSIDERING THE PROPOSED TRANSACTIONS OR ARRANGEMENT. THE REMAINING BOARD OR COMMITTEE MEMBERS SHALL DECIDE WHETHER A CONFLICT OF INTEREST EXISTS. AN INTERESTED PERSON MAY MAKE A PRESENTATION AT THE BOARD OR COMMITTEE MEETING, BUT AFTER SUCH PRESENTATION, HE OR SHE SHALL BE INVITED AND ALLOWED (BUT NOT REQUIRED) TO LEAVE THE MEETING DURING THE DISCUSSION OF, AND THE VOTE ON, THE TRANSACTION OR ARRANGEMENT THAT RESULTS IN THE CONFLICT OF INTEREST. THE CHAIR OF THE BOARD OR THE COMMITTEE SHALL, IF APPROPRIATE, APPOINT A DISINTERESTED PERSON OR COMMITTEE TO INVESTIGATE ALTERNATIVES TO THE PROPOSED TRANSACTION OR ARRANGEMENT. AFTER EXERCISING DUE DILIGENCE, THE BOARD OR COMMITTEE SHALL DETERMINE WHETHER THE FOUNDATION CAN OBTAIN A MORE ADVANTAGEOUS TRANSACTION OR ARRANGEMENT WITH REASONABLE EFFORTS FROM A PERSON OR ENTITY THAT WOULD NOT GIVE RISE TO A CONFLICT OF INTEREST. IF A MORE ADVANTAGEOUS TRANSACTION OR ARRANGEMENT IS NOT REASONABLY ATTAINABLE UNDER CIRCUMSTANCES THAT WOULD NOT GIVE RISE TO A CONFLICT OF INTEREST, THE BOARD OR COMMITTEE SHALL DETERMINE BY A MAJORITY VOTE OF THE DISINTERESTED DIRECTORS OR MEMBERS IN ATTENDANCE WHETHER TO ENTER INTO THE TRANSACTION DESPITE THE CONFLICT OF INTEREST.

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2018)

832211 10-10-18

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Employer identification number
46-1426289

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS GOVERNMENT DOCUMENTS, CONFLICT OF INTEREST
POLICY, AND FINANCIAL STATEMENTS AVAILABLE UPON REQUEST

FORM 990, PART XI, LINE 9, CHANGES IN NET ASSETS:

WRITE OFF OF UNCOLLECTIBLE PLEDGES	-18,827.
GAIN ON FORGIVENESS OF PLEDGE LIABILITY	5,718,582.
TOTAL TO FORM 990, PART XI, LINE 9	5,699,755.

**SCHEDULE R
(Form 990)**

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.

▶ Attach to Form 990.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization **FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC** Employer identification number **46-1426289**

Part I Identification of Disregarded Entities. Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II Identification of Related Tax-Exempt Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
FLORIDA POLYTECHNIC UNIVERSITY - 46-0764837 4700 RESEARCH WAY LAKELAND, FL 33805	UNIVERSITY	FLORIDA			N/A		X

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule R (Form 990) 2018

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Part III Identification of Related Organizations Taxable as a Partnership. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	

Part IV Identification of Related Organizations Taxable as a Corporation or Trust. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity?	
								Yes	No

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Part V Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note: Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

	Yes	No
a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity		X
b Gift, grant, or capital contribution to related organization(s)	X	
c Gift, grant, or capital contribution from related organization(s)		X
d Loans or loan guarantees to or for related organization(s)		X
e Loans or loan guarantees by related organization(s)		X
f Dividends from related organization(s)		X
g Sale of assets to related organization(s)		X
h Purchase of assets from related organization(s)		X
i Exchange of assets with related organization(s)		X
j Lease of facilities, equipment, or other assets to related organization(s)		X
k Lease of facilities, equipment, or other assets from related organization(s)		X
l Performance of services or membership or fundraising solicitations for related organization(s)		X
m Performance of services or membership or fundraising solicitations by related organization(s)		X
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)		X
o Sharing of paid employees with related organization(s)		X
p Reimbursement paid to related organization(s) for expenses		X
q Reimbursement paid by related organization(s) for expenses		X
r Other transfer of cash or property to related organization(s)		X
s Other transfer of cash or property from related organization(s)		X

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) FLORIDA POLYTECHNIC UNIVERSITY	B	688,579.	CASH PAID
(2)			
(3)			
(4)			
(5)			
(6)			

Application for Automatic Extension of Time To File an Exempt Organization Return

Department of the Treasury
Internal Revenue Service

▶ **File a separate application for each return.**
▶ **Go to www.irs.gov/Form8868 for the latest information.**

Electronic filing (e-file). You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/e-file-providers/e-file-for-charities-and-non-profits.

Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

		Enter filer's identifying number
Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions. FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number (EIN) or 46-1426289
	Number, street, and room or suite no. If a P.O. box, see instructions. 4700 RESEARCH WAY	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. LAKELAND, FL 33805	

Enter the Return Code for the return that this application is for (file a separate application for each return) 0 | 1

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

DEREK HORTON

- The books are in the care of ▶ **4700 RESEARCH WAY - LAKELAND, FL 33805**
Telephone No. ▶ **(863)874-8416** Fax No. ▶ _____
- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . If it is for part of the group, check this box and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 6-month extension of time until **MAY 15, 2020** , to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ calendar year _____ or
▶ tax year beginning **JUL 1, 2018** , and ending **JUN 30, 2019** .

2 If the tax year entered in line 1 is for less than 12 months, check reason: Initial return Final return
 Change in accounting period

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	0.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	0.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

Caution: If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

**Florida Polytechnic University
Audit & Compliance Committee
Board of Trustees
May 20, 2020**

Subject: University Audit Quality Assurance Review (QAR) Self-Assessment (FPU 2020-07)

Proposed Committee Action

Recommend approval of the Quality Assurance Review (QAR) Self-Assessment, prepared by the Chief Audit Executive, to the Board of Trustees.

Background Information

The audit charter provides that University Audit will establish a quality assurance and improvement program (QAIP) of internal auditing for the chief audit executive and the department as a whole. Additionally, the Charter requires that University Audit adhere to the Code of Ethics and the Standards put forth by the Institute of Internal Auditing (IIA). Such Standards require that the Chief Audit Executive must develop and maintain a QAIP that covers all aspects of the internal audit activity. The QAIP is comprised of ongoing assessments, periodic assessments, and external assessments. This QAR Self-Evaluation effectively covers the periodic assessment component of a QAIP and will also serve to prepare the university for an external assessment that is required by 2022.

The Audit and Compliance Committee should familiarize themselves with the Standards (included in the report as Exhibit A, Evaluation Summary and Ratings Criteria), and evaluate whether the Committee's performance, with respect to the responsibilities outlined in the Audit Committee Charter are being performed satisfactorily.

Supporting Documentation: Report FPU 2020-07: University Audit & Compliance Quality Assurance Review (QAR) Self-Assessment

Prepared by: David A. Blanton, CAE/CCO



FLORIDA POLYTECHNIC
UNIVERSITY

Report No: FPU 2020-07

April 2020

**University Audit & Compliance
Quality Assurance Review (QAR)
Self-Assessment**

David A. Blanton, CPA, CCEP
Chief Audit Executive and Chief Compliance Officer

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University Audit and Compliance (UAC) is employed by the University. UAC’s mission is to serve the University by recommending actions to assist in achieving its strategic and operational objectives. This assistance includes evaluating and providing assurance of activities designed and implemented by management to strengthen internal controls, reduce risk to and waste of resources, and improve operations to enhance the performance and reputation of the University. Accordingly, this report is intended solely for the use of University management and its various oversight authorities and is not intended for any other purpose. This restriction is not intended to limit the distribution of this report, which is a matter of public record.

Executive Summary:

Pursuant to the Audit Work Plan¹ approved by the Audit & Compliance Committee, University Audit and Compliance (UAC) performed a Quality Assurance Review (QAR) Self-Assessment. As outlined below, a QAR self-assessment is one of the three (3) required components of an effective Quality Assurance and Improvement Plan (QAIP):

1. Ongoing monitoring. (Done continuously).
2. Periodic self-assessments. (This QAR self-assessment and UAC's annual report).
3. External assessment. (To be conducted by July 2022).

This report summarizes the QAR self-assessment completed by UAC. The *International Standards for the Professional Practice of Internal Auditing (Standards)* requires that the Chief Audit Executive must develop and maintain a QAIP that covers all aspects of the internal audit activity. Overall, this assessment supports an opinion that UAC **generally conforms** to the IIA *Standards* and Code of Conduct. This is the highest rating possible under the IIA guidance. A detailed list of individual standards and the Code of Ethics along with UAC's determination of conformance is shown in **Exhibit A**.

The scope of the QAR included all aspects of the internal audit activity, as set forth in the Charter and approved by the Board (which defines the purpose, authority, and responsibility of University Audit). The QAR self-assessment concluded on April 30, 2020 and provides senior management and the Board with information about University Audit as of that date. The *Standards* and Code of Ethics in place and effective as of November 2019 were the basis for QAR self-assessment which focused on internal audit activity from July 2019 up to the release of this report.

The following matters, summarized below, are discussed further in the **Observations** section of this report and are presented to support the QAIP and assist the Audit and Compliance Committee (AACC) in achieving its oversight responsibilities of University Audit:

Gaps to Conformance with the *Standards* or the Code of Ethics:

- No significant nonconformance noted.

Opportunities for Continuous Improvement:

- Key Performance Indicators (KPI's) should be expanded and enhanced to provide greater information for the AACC in fulfillment of their oversight responsibilities.
- Written policies and procedures for University Audit should be updated to reflect current practice.

¹ UAC Work Plan for the Fiscal Year Ended June 30, 2020, approved September 11, 2019.

- UAC should periodically facilitate the self-evaluation of AACC's performance and ensure they communicate the results to the Board, as prescribed by the AACC Charter. As part of this process, audit charters should be reviewed and amended as necessary.
- UAC should enhance documentation to support the linkage of risks identified in audit planning to audit work performed.
- UAC should enhance follow-up monitoring for completed audits.

Background, Objectives, Scope, and Methodology:

Background:

The Audit Charter² provides that University Audit will establish a quality assurance and improvement program (QAIP) of internal auditing for the chief audit executive and the department as a whole. This program must include an external assessment conducted at least once every five (5) years³. The external assessment report and any related improvement plans shall be presented to the Board of Trustees, with a copy provided to the Florida Board of Governors. Additionally, the Charter requires that University Audit adhere to the Code of Ethics and the *Standards*⁴ put forth by the Institute of Internal Auditing (IIA). Such *Standards* require that the Chief Audit Executive must develop and maintain a QAIP that covers all aspects of the internal audit activity.

Common elements of all QAIP's include:

- A scope that includes all aspects of the internal audit activity.
- An evaluation of conformance with the *Standards* and the Code of Ethics.
- An appraisal of the efficiency and effectiveness of the internal audit activity.
- The identification of opportunities for continuous improvement.
- Involvement by the Board in oversight of the QAIP.

As depicted in **Figure 1** below, a QAIP provides for the following three components:

- Ongoing Monitoring. This is continually done to ensure the processes in place are working effectively and efficiently, on an audit by audit basis. This is accomplished through the use of checklists, templates, standardized audit forms and reports, reporting of time and progress against the audit plan, and project-specific surveys from audit clients at the conclusion of each project.
- Periodic Self-Assessments. This is periodically done to ensure conformance, quality, infrastructure support, added value, and performance achievement. UAC has established procedures to perform self-assessments annually, with a more formalized process and

² Florida Polytechnic University Internal Audit Charter, approved by the Board of Trustees on March 15, 2017

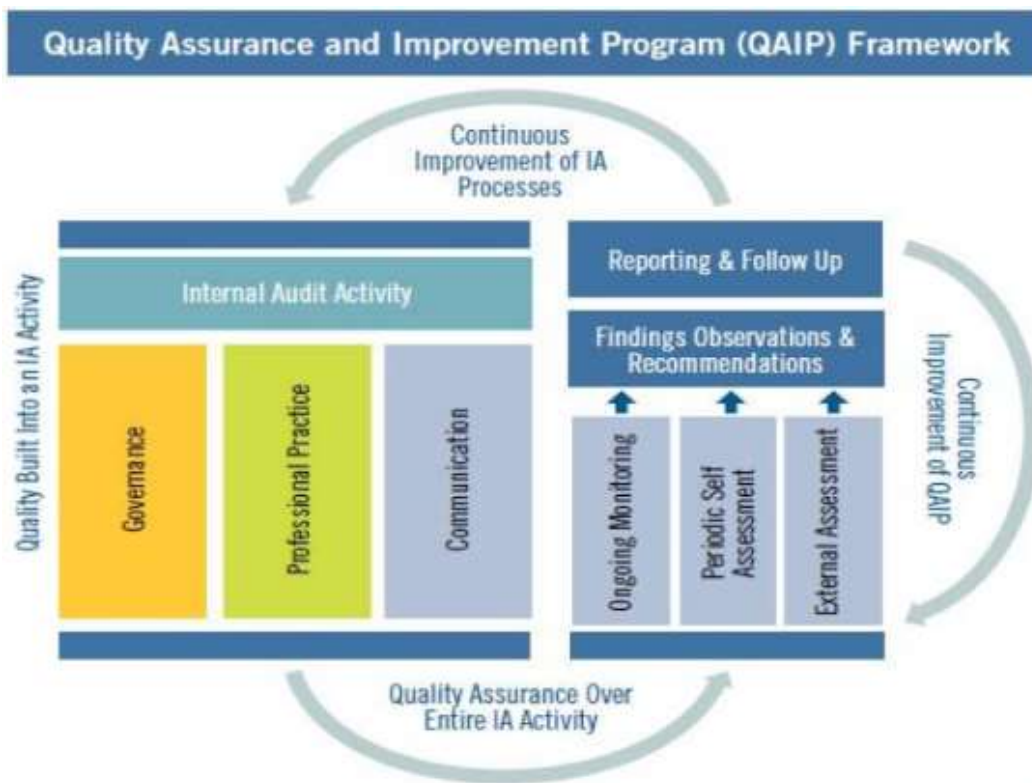
³ Initial external assessment must be completed by July 31, 2022, five years after inception of UAC.

⁴ The *International Standards for the Professional Practice of Internal Auditing (Standards)*

interim report presented to the Board at the mid-point of each external assessment. This report is presented to satisfy UAC’s procedure with respect to interim reporting, provided that UAC’s first ever external QAR is due in 2022. In addition, UAC’s Annual Report and quarterly updates to the Audit and Compliance Committee are prepared and presented to the Board to further support periodic self-assessments.

- External Assessment. This is done to assess the achievement of all aspects of the QAIP (design, plan, performance, report, monitoring, and improvement plan) and conformance to the IIA’s Code of Conduct and *Standards*. Since UAC was effectively established on July 31, 2017, with my hiring, the initial external assessment is required to be completed by July 31, 2022.

FIGURE 1



Objectives:

The principle objectives of the QAR self-assessment were to:

- assess University Audit's conformance with the *Standards* and the Code of Ethics.
- evaluate University Audit's effectiveness in carrying out its mission (as set forth in University Audit's Charter and expressed in the expectations of Florida Polytechnic University's management); identify successful internal audit practices demonstrated by University Audit; and to identify opportunities for continuous improvement to enhance the efficiency and effectiveness of the infrastructure, processes, and the value to their stakeholders.

Scope:

The scope of the QAR self-assessment included all aspects of the internal audit activity, as set forth in the Charter and approved by the Board (which defines the purpose, authority, and responsibility of University Audit). The QAR self-assessment concluded on April 30, 2020, and provides senior management and the Board with information about UAC as of that date. The Standards and Code of Ethics in place and effective as of April 2020 were the basis for the QAR self-assessment⁵ which focused on internal audit activity from July 2019 up to the release of this report.

UAC would like to thank University staff and Board members who took time to provide responses and valuable feedback in completing the self-assessment surveys. Their cooperation was greatly appreciated and the QAR would not be possible without their honest contributions to the assessment.

Methodology:

To achieve the objectives of this QAR self-assessment, UAC performed the following activities:

- UAC compiled and prepared information consistent with the methodology established in the Quality Assessment Manual (2017) for the Internal Audit Activity. This information included completed and detailed planning guides, together with supporting documentation; an evaluation summary, documenting conclusions and observations; and preparation of the self-assessment report.
- UAC selected key stakeholders (senior management and the board) and surveyed them about UAC's conformance with the standards. Surveys were sent out to the individuals identified and tabulated by UAC. Survey results are summarized in **Exhibit C**.
- UAC reviewed a sample of two audit projects and associated working papers and reports; reviewed survey data received from Florida Polytechnic stakeholders; and prepared

⁵ As outlined by the *Quality Assessment Manual for the Internal Audit Activity* which captures modifications to the IIA's *International Standards for the Professional Practice of Internal Auditing*, effective January 1, 2017.

diagnostic tools consistent with the methodology established for a QAR in the *Quality Assessment Manual for the Internal Audit Activity*.

Opinion as to Conformance with the *Standards* and the Code of Ethics:

Overall, this self-assessment supports an opinion that UAC **generally conforms** to the IIA *Standards* and the Code of Ethics. This is the highest rating possible under IIA guidance. A detailed list of conformance with individual standards and the Code of Ethics is shown in **Exhibit A**.

The IIA's *Quality Assessment Manual for the Internal Audit Activity* suggests a scale of three rankings when opining on the internal audit activity: "Generally Conforms," "Partially Conforms," and "Does Not Conform." The ranking of "Generally Conforms" means that an internal audit activity has a charter, policies, and processes that are in conformance with the *Standards* and the Code of Ethics. "Partially Conforms" means that deficiencies in practice are noted and are judged to deviate from the *Standards* and the Code of Ethics; however, these deficiencies did not preclude the internal audit activity from performing its responsibilities in an acceptable manner. "Does Not Conform" means that deficiencies in practice are judged to deviate from the *Standards* and the Code of Ethics, and are significant enough to seriously impair or preclude the internal audit activity from performing adequately in all or in significant areas of its responsibilities. A detailed description of conformance criteria can be found in **Exhibit A**.

Observations:

Observations are divided into three categories:

1. Successful Internal Audit Practices. Areas where Internal Audit (IA) is operating in a particularly effective or efficient manner when compared to the practice of internal auditing demonstrated in other internal audit activities.
2. Gaps to Conformance with the Standards or the Code of Ethics. Areas identified during the QA where the assessment team has concluded that IA is operating in a manner that falls short of achieving one or more major objectives, with the *Standards* or the Code of Ethics that results in an opinion for an individual standard of "partially conforms" or "does not conform."
3. Opportunities for Continuous Improvement. Observations of opportunities to enhance the efficiency or effectiveness of IA's infrastructure of processes. These items do not indicate a lack of conformance with the *Standards* or the Code of Ethics, but rather offer suggestions on how to better align with criteria defined in the *Standards* or the Code of Ethics.

Successful Internal Audit Practices

The following successful practices were noted during this self-assessment:

- Standard 1000 – Purpose, Authority, and Responsibility: University Audit continues to evolve and improve its practices and processes since its inception on July 31, 2017.
- Standard 1000 – Purpose, Authority, and Responsibility: University Audit’s charter is comprehensive and contains all the mandatory elements of the International Professional Practices Framework.
- Standard 2060 – Reporting to Senior Management and the Board: The CAE reports frequently to senior management and the Board on University Audit’s purpose, authority, responsibility, and performance relative to its plan.
- Standard 2110 – Governance: The CAE regularly attends and participates in University Leadership meetings and briefings with senior management and the Board, affording him the knowledge to evaluate and contribute to the improvement of governance processes for strategic and operational decisions.

Gaps to Conformance with the Standards or the Code of Ethics

No significant nonconformance noted.

Opportunities for Continuous Improvement

Observation 1: Standard 1300/Quality Assurance and Improvement Program (QAIP) Standard 1311/Internal Assessments

Standards: A quality assurance and improvement program is designed to enable an evaluation of the internal audit activity’s conformance with the Standards and an evaluation of whether internal auditors apply the Code of Ethics. The program also assesses the efficiency and effectiveness of the internal audit activity and identifies opportunities for improvement. The chief audit executive (CAE) should encourage board oversight in the quality assurance and improvement program.

Internal assessments must include ongoing monitoring of the performance of the internal audit activity.

Observation: Key Performance Indicators (KPI’s) could be incorporated into the annual report prepared by UAC to enhance internal assessments and facilitate enhanced oversight by the Audit and Compliance Committee.

Recommendation: KPI’s should be evaluated and incorporated into UAC’s annual report.

University Audit Response and Action Plan: The CAE will seek input from the Audit and Compliance Committee on relevant and meaningful KPI’s and incorporate such metrics into the annual report presented in September of each year for the preceding fiscal year.

Observation 2: Standard 2040/Policies and Procedures

Standard: The CAE must establish policies and procedures to guide the internal audit activity.

Observation: Policies and procedures were initially drafted, upon the establishment of the Internal Audit function, in 2017; however such policies and procedures have not be reviewed and updated to reflect changes since the inception of the audit function.

Recommendation: The CAE should review and revise written internal audit policies and procedures.

University Audit Response and Action Plan: The CAE will review and revise, as necessary, the policies and procedures that were developed for the internal audit function.

Observation 3: Standard 2060/Reporting to Senior Management and the Board Standard 1010/Recognizing Mandatory Guidance in the Internal Audit Charter

Standards: The CAE must report periodically to senior management and the board on the internal audit activity's purpose, authority, responsibility, and performance relative to its plan and on its conformance with the Code of Ethics and the Standards.

Organizational independence is effectively achieved when the chief audit executive reports functionally to the board and is evidenced by periodic review and approval of the Internal Audit Charter.

Observation: The CAE should periodically facilitate the evaluation of Audit and Compliance Committee's performance and governing documents and ensure communication of such to the full Board. Specifically, the following improvements are recommended:

- Both the University Audit and the Audit and Compliance Committee's (AACC) charter should be reviewed and formally approved by the AACC. Both charters were initially approved in March of 2017 and require review and approval every three years. As part of this QAR, the charters were reviewed and will be presented to the AACC in May for formal approval.
- The AACC Charter requires that the Committee periodically perform a self-evaluation to evaluate the Committee's own performance, on a periodic basis, and communicate the results to the Board.

Recommendation: The University Charter and the AACC Charter should be presented to the Committee at their next meeting and formally approved. Additionally, the AACC should evaluate their performance and communicate the results to the Board.

University Audit Response and Action Plan: The CAE will review the charters and present them for review and approval at the next AACC meeting and facilitate the evaluation of the AACC's performance.

Observation 4: Standard 2200/Engagement Planning

Standard: Internal auditors must develop and document a plan for each engagement, including the engagement's objectives, scope, timing, and resource allocations. The plan must consider the organization's strategies, objectives, and risks relevant to the engagement.

Observation: Although risks are assessed and specific to each planned project, UAC could benefit from linking specific risks identified in the planning phase to the actual work performed and project objectives to ensure they appropriately addressed in each planned project.

Recommendation: The CAE should enhance procedures to ensure appropriate linkage between risks identified in planning and audit work performed for each audit performed.

University Audit Response and Action Plan: This matter has been corrected. The CAE has modified the risk assessment template to document that all relevant risks identified in the planning phase are appropriately addressed in the corresponding audit support (working papers).

Observation 5: Standard 2500/Monitoring Progress

Standard: The chief audit executive must establish a follow-up process to monitor and ensure that management actions have been effectively implemented or that senior management has accepted the risk of not taking action.

Observation: Since the inception of UAC on July 31, 2017, the following audit projects have been issued with audit observations requiring follow-up monitoring:

- Audit of Sponsored Research Activities (November 2018)
- Follow-up Review on Auditor General Operational Report (February 2019)
- Audit of Americans with Disability Act and University Disability Services (July 2019)

Although UAC has developed procedures that define a process for follow-up⁶, such monitoring has not been performed, to date, for the various projects listed above. Additionally, the use of a tracking document would assist UAC in tracking and ensuring the timely follow up and monitoring of audit observations.

Recommendation: The CAE should continue efforts at performing follow-up work and reporting the results of such matters to the Board.

⁶ UAC written procedures provide that follow-up on findings deemed significant will be performed within 12 months of the implementation target date for each planned corrective action.



Report No. FPU 2020-07

University Audit & Compliance
4700 Research Way
Lakeland, Florida 33805
Floridapoly.edu

University Audit Response and Action Plan: The CAE will prioritize follow-up procedures on previous audits and report such matters to the Board.

Exhibit A: Evaluation Summary and Rating Definitions

EVALUATION SUMMARY AND RATING DEFINITIONS

	GC	PC	DNC
Overall Evaluation	<input checked="" type="checkbox"/>		

Attribute Standards (1000 through 1300)		GC	PC	DNC
1000	Purpose, Authority, and Responsibility			
1010	Recognizing Mandatory Guidance in the Internal Audit Charter	<input checked="" type="checkbox"/>		
1100	Independence and Objectivity			
1110	Organizational Independence	<input checked="" type="checkbox"/>		
1111	Direct Interaction with the Board	<input checked="" type="checkbox"/>		
1112	Chief Audit Executive Roles Beyond Internal Auditing	<input checked="" type="checkbox"/>		
1120	Individual Objectivity	<input checked="" type="checkbox"/>		
1130	Impairment to Independence or Objectivity	<input checked="" type="checkbox"/>		
1200	Proficiency and Due Professional Care			
1210	Proficiency	<input checked="" type="checkbox"/>		
1220	Due Professional Care	<input checked="" type="checkbox"/>		

1230	Continuing Professional Development	<input checked="" type="checkbox"/>		
1300	Quality Assurance and Improvement Program			
1310	Requirements of the Quality Assurance and Improvement Program	<input checked="" type="checkbox"/>		
1311	Internal Assessments	<input checked="" type="checkbox"/>		
1312	External Assessments	n/a		
1320	Reporting on the Quality Assurance and Improvement Program	<input checked="" type="checkbox"/>		
1321	Use of “Conforms with the <i>International Standards for the Professional Practice of Internal Auditing</i> ”	<input checked="" type="checkbox"/>		
1322	Disclosure of Nonconformance	<input checked="" type="checkbox"/>		

Performance Standards (2000 through 2600)		GC	PC	DNC
2000	Managing the Internal Audit Activity			
2010	Planning	<input checked="" type="checkbox"/>		
2020	Communication and Approval	<input checked="" type="checkbox"/>		
2030	Resource Management	<input checked="" type="checkbox"/>		
2040	Policies and Procedures	<input checked="" type="checkbox"/>		
2050	Coordination and Reliance	<input checked="" type="checkbox"/>		
2060	Reporting to Senior Management and the Board	<input checked="" type="checkbox"/>		

2070	External Service Provider and Organizational Responsibility for Internal Auditing	n/a		
2100	Nature of Work			
2110	Governance	<input checked="" type="checkbox"/>		
2120	Risk Management	<input checked="" type="checkbox"/>		
2130	Control	<input checked="" type="checkbox"/>		
2200	Engagement Planning			
2201	Planning Considerations	<input checked="" type="checkbox"/>		
2210	Engagement Objectives	<input checked="" type="checkbox"/>		
2220	Engagement Scope	<input checked="" type="checkbox"/>		
2230	Engagement Resource Allocation	<input checked="" type="checkbox"/>		
2240	Engagement Work Program	<input checked="" type="checkbox"/>		
2300	Performing the Engagement			
2310	Identifying Information	<input checked="" type="checkbox"/>		
2320	Analysis and Evaluation	<input checked="" type="checkbox"/>		
2330	Documenting Information	<input checked="" type="checkbox"/>		
2340	Engagement Supervision	n/a		
2400	Communicating Results			
2410	Criteria for Communicating	<input checked="" type="checkbox"/>		

2420	Quality of Communications	<input checked="" type="checkbox"/>		
2421	Errors and Omissions	<input checked="" type="checkbox"/>		
2430	Use of “Conducted in Conformance with the <i>International Standards for the Professional Practice of Internal Auditing</i> ”	<input checked="" type="checkbox"/>		
2431	Engagement Disclosure of Nonconformance	<input checked="" type="checkbox"/>		
2440	Disseminating Results	<input checked="" type="checkbox"/>		
2450	Overall Opinions	n/a		
2500	Monitoring Progress	<input checked="" type="checkbox"/>		
2600	Communicating the Acceptance of Risks	<input checked="" type="checkbox"/>		

Code of Ethics		GC	PC	DNC
	Code of Ethics	<input checked="" type="checkbox"/>		

LEGEND:

: Indicates either GC (generally conforms), PC (partially conforms), or DNC (does not conform), as applicable. See page 14 of this report for rating definitions.

n/a: Indicates not applicable for the following reasons:

- 1312: An external assessment is not required until July 2022 since UAC began operations on 7/31/17.
- 2070: UAC does not currently utilize external service providers.
- 2340: UAC only employs one position and thus supervision of staff is not applicable.
- 2450: UAC does not include overall opinions in their reports.

RATING DEFINITIONS

GC – “Generally Conforms” means that the assessor or the assessment team has concluded that the relevant structures, policies, and procedures of the activity, as well as the processes by which they are applied, comply with the requirements of the individual standard or elements of the Code of Ethics in all material respects. For the sections and major categories, this means that there is general conformity to a majority of the individual Standard or element of the Code of Ethics and at least partial conformity to the others within the section/category. There may be significant opportunities for improvement, but these should not represent situations where the activity has not implemented the *Standards* or the Code of Ethics, and has not applied them effectively or achieved their stated objectives. As indicated above, general conformance does not require complete or perfect conformance, the ideal situation, or successful practice, etc.

PC – “Partially Conforms” means that the assessor or assessment team has concluded that the activity is making good-faith efforts to comply with the requirements of the individual standard or elements of the Code of Ethics or a section or major category, but falls short of achieving some major objectives. These will usually represent significant opportunities for improvement in effectively applying the *Standards* or the Code of Ethics and/or achieving their objectives. Some deficiencies may be beyond the control of the internal audit activity and may result in recommendations to senior management or the board of the organization.

DNC – “Does Not Conform” means that the assessor or assessment team has concluded that the internal audit activity is not aware of, is not making good-faith efforts to comply with, or is failing to achieve many or all of the objectives of the individual standard or element of the Code of Ethics or a section or major category. These deficiencies will usually have a significantly negative impact on the internal audit activity’s effectiveness and its potential to add value to the organization. These may also represent significant opportunities for improvement, including actions by senior management or the board.

Exhibit B: List of Individuals Surveyed

The following Florida Polytechnic University employees and Board members were provided an opportunity to be interviewed or surveyed in order to provide an independent assessment component of this QAR and a measure of perceived value with respect to UAC. From the list below, 16 stakeholders provided feedback and their responses are graphed in **Exhibit C**.

Randy K. Avent, President

Don Wilson, Chair Board of Trustees

Gary C. Wendt, Trustee/Chair Audit and Compliance Committee

Mark Bostick, Trustee/Vice-Chair Audit and Compliance Committee

Adrienne Perry, Trustee/Audit and Compliance Committee

Earl Sasser, Trustee/Audit and Compliance Committee

Ryan Perez, Trustee/Audit and Compliance Committee

Victoria Astley, Trustee/Audit and Compliance Committee

Terry Parker, Executive Vice-President and Provost

Gina DeJulio, Vice President and General Counsel

Mark Mroczkowski, Vice President and Chief Financial Officer

Kathryn Miller, Vice Provost Student Affairs

Tom Dvorske, Vice Provost Academic Affairs

Ben Beachy, Associate Vice President and Chief Information Officer

John Sprenkle, Interim Assistant Vice President and Controller

David Calhoun, Assistant Vice President Facilities and Safety Services

Treasa McLean, Assistant Vice President Procurement and Auxiliary Enterprises

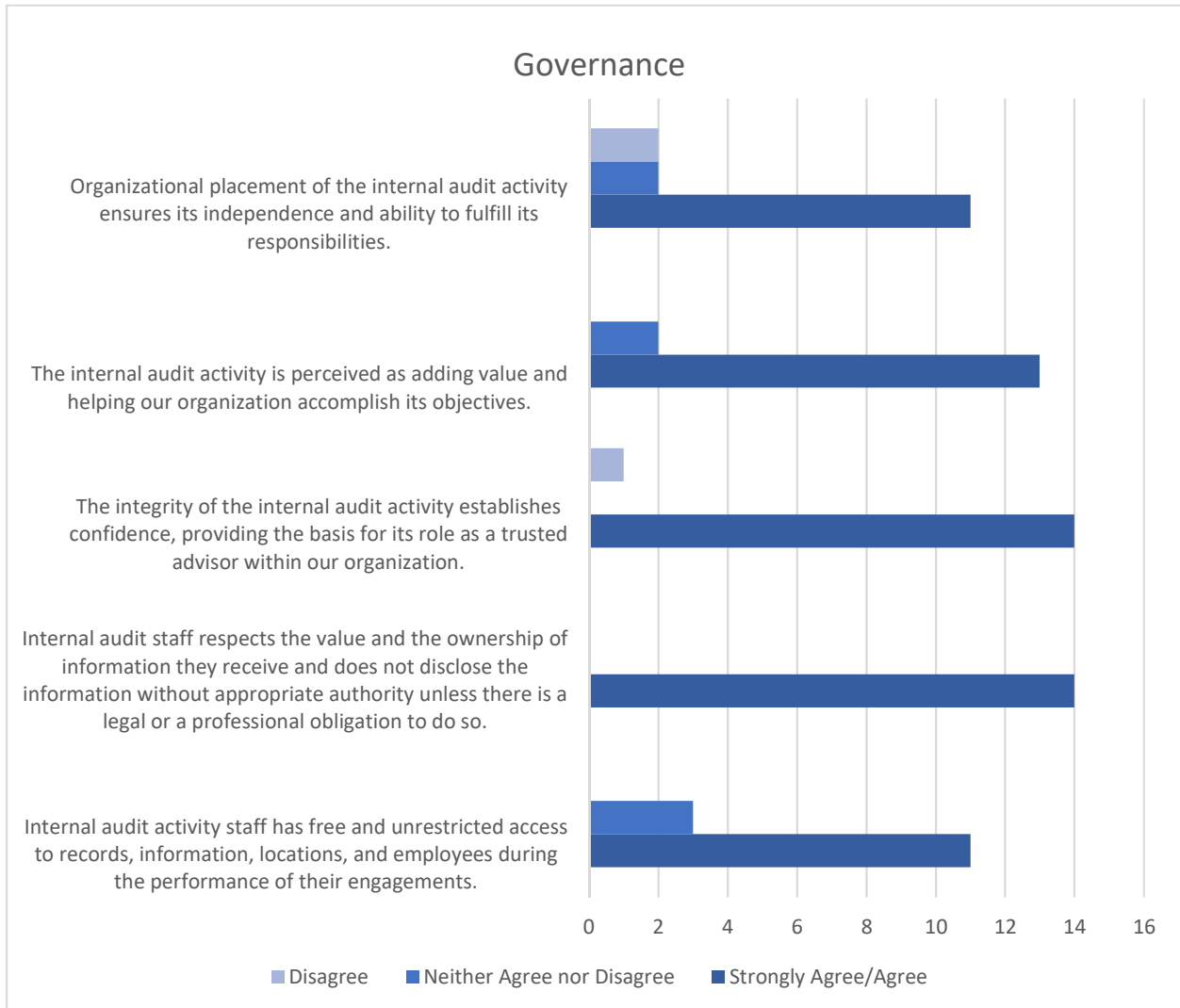
Rick Maxey, Assistant Vice President – Board Liaison and Economic Development

BenMatthew Corpus, Associate Vice Provost Admissions and Financial Aid

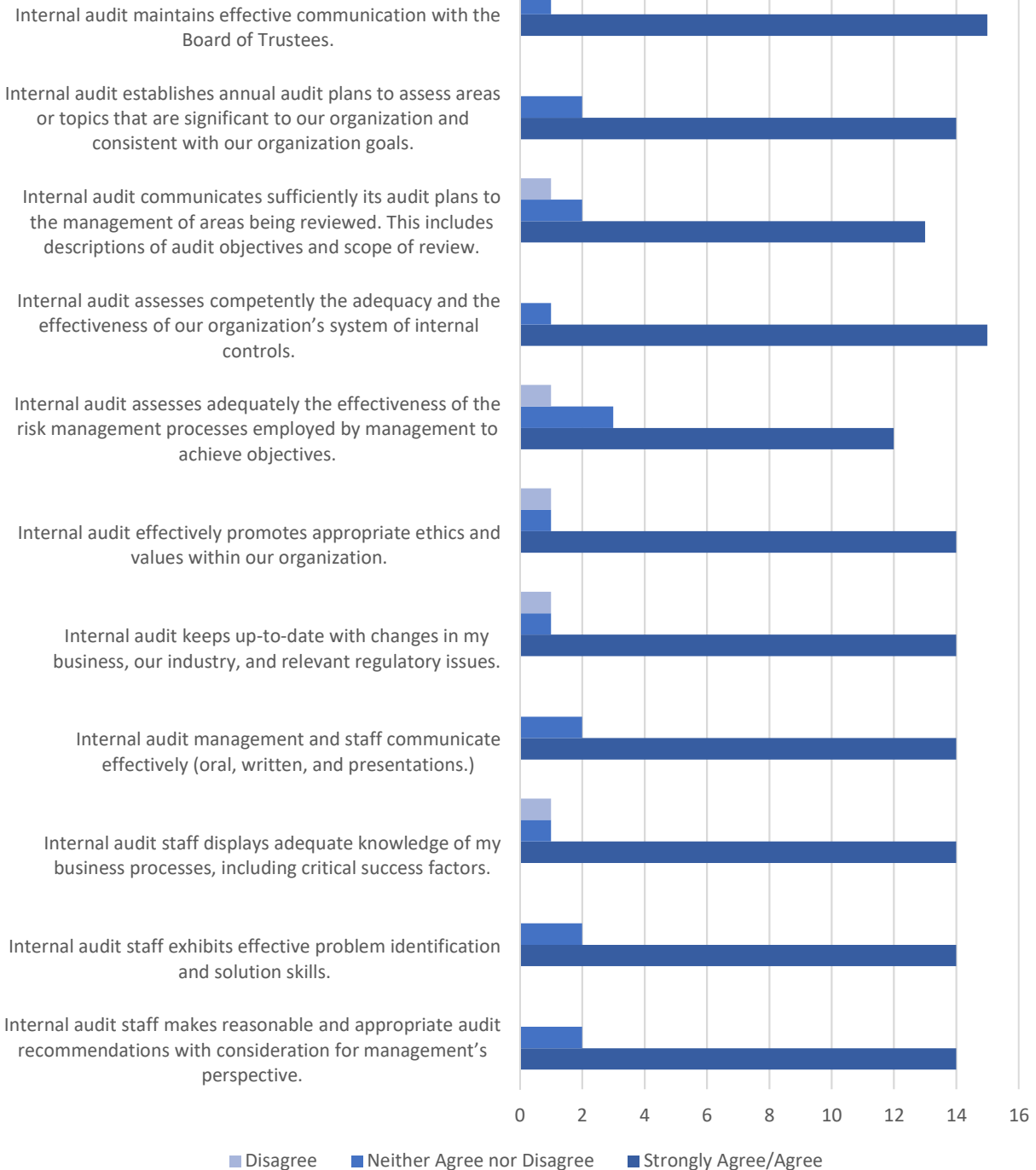
Kathy Bowman, Vice President Advancement

Results of survey responses are summarized in **Exhibit C**.

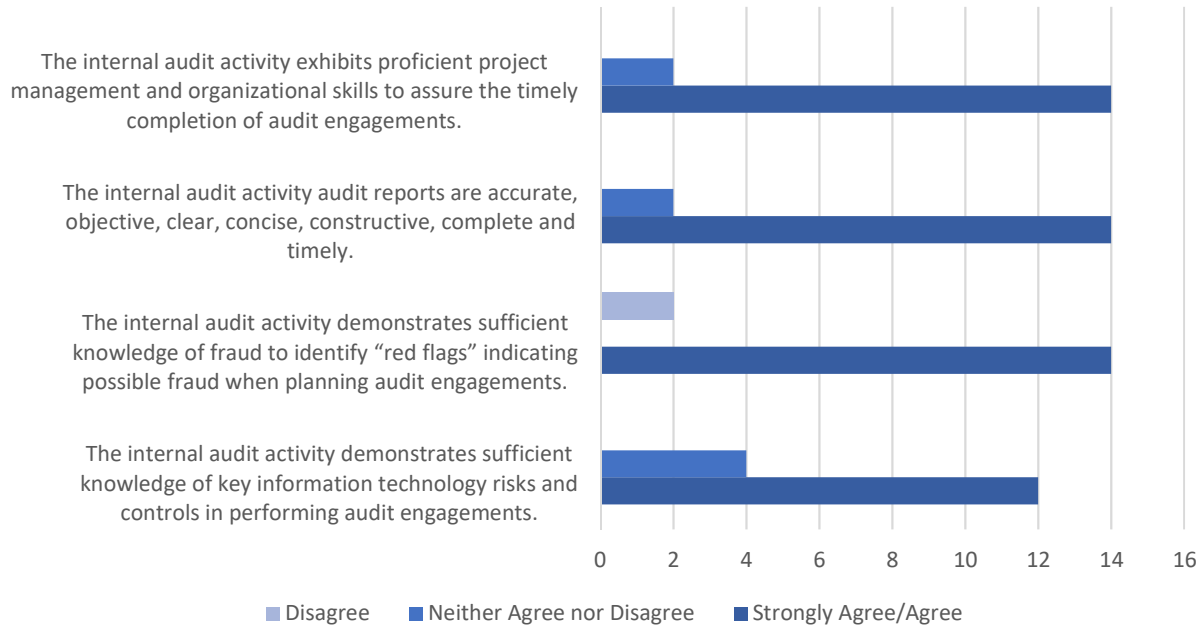
Exhibit C: Survey Results



Internal Audit Management & Staff



Internal Audit Process



**Florida Polytechnic University
Audit & Compliance Committee
Board of Trustees
May 20, 2020**

Subject: Review and Approval of all Audit and Compliance Charters

Proposed Committee Action

Recommend approval of (1) the Audit and Compliance Committee (AACC) Charter, (2) the Internal Audit Charter, and (3) the Compliance and Ethics Charter to the Board of Trustees. Recommend a self-evaluation by the Audit Committee of their performance relative to the Standards and the Audit Committee Charter.

Background Information

The Audit & Compliance Committee Charter requires that the AACC (1) review the Committee's charter annually and update as necessary and (2) ensure that any changes to the charter are discussed with the Board and reapproved. The AACC should evaluate whether the Committee's performance, with respect to the responsibilities outlined in the Audit Committee Charter, are being performed satisfactory and whether any changes to the charter are necessary.

The Audit Charter and the Compliance and Ethics Charter requires that these charters are to be reviewed and approved at least every three (3) years for consistency with applicable Florida Board of Governors and University regulations, professional standards, and industry best practices. The AACC should evaluate whether any changes to the charters are necessary.

Supporting Documentation:

Board of Trustees Charter, Audit & Compliance Committee (last approved 3/15/17)

Florida Polytechnic University Internal Audit Charter (approved 3/15/17)

Florida Polytechnic University Compliance and Ethics Charter (approved 3/15/17)

Prepared by: David A. Blanton, CAE/CCO



**FLORIDA POLYTECHNIC
UNIVERSITY**

**Board of Trustees
Charter
Audit and Compliance Committee**

Purpose

The Audit and Compliance Committee (“AACC” or the “Committee”) is one of the standing committees of the Board of Trustees. The primary purpose of the AACC is to assist the Board in fulfilling its oversight responsibilities for the following areas:

- Oversight of the University’s internal controls
- Oversight and direction of the internal and external auditing functions ensuring its independence
- Integrity of the University’s annual financial statements
- The performance of the University’s independent audit functions
- Approval of the annual audit plan
- Monitoring and controlling risk exposure
- Monitoring compliance with laws, rules and regulations
- Oversight and direction of the University’s compliance and ethics program ensuring its independence
- Set standards for ethical conduct

The Committee is responsible for taking appropriate actions to establish the overall standards for ethical behavior, sound risk management and sound business practices. The AACC serves as the point of contact between the Board of Trustees, external auditors, and state and federal auditors. The Chair of the AACC serves as the liaison between the Florida Polytechnic University Board of Trustees and the AACC

Composition

The AACC shall consist of no less than three members of the Board of Trustees. The Chair and the Vice-Chair shall be ex-officio voting members. The AACC Chair and members are appointed and removed by Chair of the Board of Trustees.

AACC members shall be free from any financial, family or other material personal relationship that would impair his or her independence from the management of the University.

Quorum

A majority of AACC members present at a committee meeting constitutes quorum for purposes of committee business.

Authority

To fulfill its oversight role, the AACC has the authority to investigate or study matters within the AACC's scope of responsibility. The Board authorized the Committee to:

- Perform activities within the scope of its charter
- Have unrestricted access to management, faculty, and employees of the University and its DSOs, as well as to all their books, records, and facilities.
- Study or investigate any matter related to audit, compliance, or related concerns such as potential fraud or conflicts of interest that the Committee deems appropriate.
- Engage independent counsel, independent accountants and other advisers as it deems necessary to discharge its duties.
- Provide oversight and direction of the internal auditing function, of external auditors, and of engagements with state auditors.
- Provide oversight and direction of the institutional compliance, ethics, and risk program, and be knowledgeable of the program with respect to its implementation and effectiveness.
- Perform other duties as assigned by the Board.

The AACC shall inform the Board of all actions and the results.

Meetings

The AACC shall meet at least (4) four times annually. The AACC may schedule additional meetings if needed. All meetings are open to the public and all committee members are expected to attend each meeting in person or via conference call. The AACC will invite members of management, auditors, or others to attend meetings and provide pertinent information. The Chair of the Committee shall discuss the meeting agenda with the Vice President and Chief Financial Officer prior to each meeting to finalize the agenda and review the issues to be discussed. Meeting agendas and the supporting materials will be provided in advance and the committee members will be briefed prior to each meeting. Minutes will be prepared for each meeting.

Confidential/Exempt Issues

Issues being addressed by the Audit and Compliance Committee are subject to Chapter 119, Florida Statutes (Public Records). Meetings are confidential and exempt from the public when the discussion involves sensitive issues related to individuals or an on-going investigation related to Sections 112.3187-112.31895, Florida Statutes - "Whistle-blower's Act".

Responsibilities and Duties

The AACC has the following responsibilities and duties:

General

- Assisting the Board of Trustees in fulfilling oversight responsibilities in relation to financial reporting, internal control systems, risk management systems, compliance with laws rules and regulations and internal and external audit functions. Its role is to

- provide advice and recommendations to the Board within the scope of this Charter.
- Adopt flexible procedures in order to react to changing conditions and provide reasonable assurances to the Board that the scope of audit services and the adequacy of the internal control systems are in compliance with state and federal laws, regulations and requirements.
 - Adopt a formal written charter that specifies the scope, responsibilities, processes and practices of the committee. The charter should be reviewed annually.
 - Maintain minutes of meetings and activities.
 - Report committee actions to the Board that the committee may deem appropriate.
 - Direct the Internal Auditor to conduct investigations into any matters within its scope of responsibility and obtaining advice and assistance from outside legal, accounting, or other advisers, as necessary, to perform its duties and responsibilities. Meeting with and seeking any information it requires from employees, officers, directors, or external parties.
 - Conduct or authorize investigations into matters within the committee's scope of responsibilities. The AACC shall be empowered to retain independent accountants, counsel or others to assist it in the conduct of any investigation.
 - Perform other governance oversight as assigned by the Board.

Review and monitor implementation of management's response to internal and external audit recommendations.

Internal Control

Regarding internal controls, the AACC shall:

- a. Consider the effectiveness of the University's internal control systems, including information technology security and control.
- b. Understand the scope of internal and external auditors' review of internal control over financial reporting, and obtain reports on significant findings and recommendations, together with management's responses.
- c. Review management's written responses to significant findings and recommendations of the auditors, including the timetable to correct weaknesses in the internal control system.
- d. Review the adequacy of accounting, management, and financial processes of the University and its DSOs.

Financial Statements

The AACC shall receive and review Auditor General financial statement audits related to the University and conducted for the purpose of determining whether the University:

- a. Presented the basic financial statements in accordance with generally accepted accounting principles;
- b. Established and implemented internal controls over financial reporting and

compliance with requirements that could have a direct and material effect on the financial statements; and

- c. Complied with the various provisions of laws, rules, regulations, contracts, and grant agreements that are material to the financial statements.

Receiving and reviewing any disclosure of: i) significant deficiencies and material weaknesses in the design or operation of internal control over financial reporting which are reasonably likely to adversely affect the System's ability to record, process, summarize, and report financial data; and ii) any fraud, whether material or not, that involves management or other employees who have a significant role in the System's internal controls.

The AACC shall follow up, as determined appropriate, on any findings contained in Auditor General financial statement audits of the Board Office and State University System of Florida.

External Audit

With regard to external audits, the AACC shall:

- a. Receive and review all external auditors' reports of the University, including that the University's Boards of Trustees and its President take timely and appropriate corrective actions.
- b. If the AACC determines that circumstances require special purpose audits beyond that provided by the Auditor General of the State of Florida, then the AACC shall:
 - i. Review and approve the selection of external auditors or may delegate such authority to the President.
 - ii. Review and approve the audit plan and significant changes to the plan.
 - iii. Review all significant findings and recommendations noted by external auditors.
- c. Meet periodically with appropriate University staff and independent auditors to discuss and evaluate the scope and results of audits.

Internal Audit

With regard to internal audits, the AACC shall:

- a. Approve the internal audit charter.
- b. Review the independence, qualifications, activities, performance, resources, and structure of the internal audit function and ensure no unjustified restrictions or limitations are made.
- c. Review and approve the proposed internal audit plan for the coming year or the multi-year plan and ensure that it addresses key areas of risk based on risk assessment procedures performed by Audit in consultation with management and the Committee.
- d. Review the Internal Auditor's performance of audit activities relative to its plan.
- e. Ensure that significant findings and recommendations made by the internal

auditors and management's proposed response are received, discussed, and appropriately resolved.

Compliance and Ethics Program

With regard to compliance, the AACC shall:

- a. Approve the compliance charter.
- b. Review the effectiveness of the University's efforts to comply with Board of Governors Regulations and any applicable Federal, State and local laws, rules and regulations.
- c. Review and approve the Compliance Program Plan and any subsequent changes.
- d. Review the independence, qualifications, activities, resources, and structure of the compliance and ethics function and ensure no unjustified restrictions or limitations are made.
- e. Review the effectiveness of the compliance and ethics program in preventing or detecting noncompliance, unethical behavior, and criminal misconduct and ensure that it has appropriate standing and visibility across the University.
- f. Ensure that significant findings and recommendations made by the chief compliance and ethics officer are received, discussed, and appropriately resolved.
- g. Ensure that procedures for reporting misconduct, or ethical and criminal violations are well publicized and administered and include a mechanism that allows for anonymity or confidentiality, whereby members of the university community may report or seek guidance without the fear of retaliation.
- h. Review the effectiveness of the system for monitoring compliance with laws and regulations and management's investigation and follow-up (including disciplinary action) of any wrongful acts or non-compliance.
- i. Review the proposed compliance and ethics work plan for the coming year and ensure that it addresses key areas of risk and includes elements of an effective program as defined by Chapter 8 of the Federal Sentencing Guidelines.
- j. Obtain regular updates from the chief compliance and ethics officer regarding compliance and ethics matters that may have a material impact on the organization's financial statements or compliance policies.
- k. Review the findings of any examinations or investigations by regulatory bodies.
- l. Review the University and DSO conflict of interest policies to ensure that: 1) the term "conflict of interest" is clearly defined, 2) guidelines are comprehensive, 3) annual signoff is required, and 4) potential conflicts are adequately resolved and documented.

Investigative Responsibilities

With regard to investigations, the AACC shall:

- a. Ensure a process exists for receiving anonymous complaints and review the nature and disposition of reported matters.
- b. Institute and oversee special investigations as needed.

- c. Direct the Internal Auditor to conduct, coordinate, or request investigations when the Board determines that the University is unwilling or unable to address credible allegations relating to waste, fraud, or financial mismanagement.
- d. When requested by the Office of General Counsel or the University Police, direct the Internal Auditor to assist them in their investigations.

Reporting Responsibilities

- a. Regularly update the Board about its activities and make appropriate recommendations.
- b. Ensure the Board is aware of matters that may cause significant financial, legal, reputational, or operational impact to the University or its DSOs.
- c. Receive a summary of findings from completed internal and external audits and the status of implementing related recommendations.
- d. Receive a summary of findings from completed reports related to the compliance, ethics, or risk programs.

Other Responsibilities

The AACC's other responsibilities shall include but not be limited to performing activities consistent with this Charter, regulations, rules and governing laws that the Board or AACC determines are necessary or appropriate.

Evaluating Performance

- a. Evaluate the Committee's own performance, both of individual members and collectively, on a periodic basis and communicate the results of this evaluation to the Board.
- b. Review the Committee's charter annually and update as necessary.
- c. Ensure that any changes to the charter are discussed with the Board and reapproved

AACC Chair Responsibilities

The AACC Chair shall:

- a. Preside at all AACC meetings and shall have the authority to call any special or emergency meetings of the Committee. The AACC Chair shall assign members responsibility for specific projects.
- b. Approve decisions regarding the appointment, replacement and removal of the Internal Auditor. This responsibility will help ensure the Internal Auditor is independent and possesses the competencies necessary to perform the position duties and responsibilities as outlined in the position description.
- c. Provide input to the Board of Trustees on the annual performance evaluation of the Internal Auditor.

- d. Accept the Internal Auditor's determination of no further Board action when, as a result of a Preliminary Inquiry, the Internal Auditor recommends that no further Board action is warranted. In all other situations the Audit Committee shall review the matter at its next meeting.

The AACC Vice-Chair shall perform the duties of the AACC Chair and have the same power and authority in the absence or disability of the AACC Chair.

Adoption of Charter

The Florida Polytechnic University Board of Trustees adopted the Audit and Compliance Committee Charter on March 15, 2017.

History: Adopted September 9, 2015, reviewed and amended March 15, 2017

FLORIDA POLYTECHNIC UNIVERSITY INTERNAL AUDIT CHARTER

Purpose and Mission

The University's internal auditor shall be composed of a Chief Audit Executive and his assistants, if any, either employees or contractors and are hereinafter referred to collectively as "University Audit". University Audit shall provide internal audits and reviews, management consulting and advisory services, investigations of fraud and abuse, follow-up of audit recommendations, evaluation of the processes of risk management and governance, and coordination with external auditors. University Audit will escalate and report the results of this work to appropriate internal and external parties including the President and Board of Trustees.

The mission of the office is to serve the University by recommending actions to assist them in achieving its strategic and operational objectives. This assistance includes providing recommendations to management of activities designed and implemented by management to strengthen internal controls, reduce risk to and waste of resources, and improve operations to enhance the performance and reputation of the University. In addition, University Audit assists the Audit and Compliance Committee of the Board of Trustees in accomplishing its oversight responsibilities in accordance with the University's Board of Trustees and Florida Board of Governors guidelines and regulations.

Definition and Role of Internal Auditing

According to the Institute of Internal Auditors:

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

Under the IIA "Three Lines of Defense" model, Internal Audit serves as "the third line of defense" as noted below: The first line of defense is provided by front line staff and operational management. The systems, internal controls, the control environment and culture developed and implemented by these business units is crucial in anticipating and managing operational risks. The second line of defense is provided by the risk management and compliance functions. These functions provide the oversight and the tools, systems and advice necessary to support the first line in identifying, managing, and monitoring risks. The third line of defense is provided by the internal audit function. This function provides a level of independent assurance that the risk management and internal control framework is working as designed.

Reporting Structure and Independence

University Audit reports administratively to the President, and functionally to the Audit and Compliance Committee of the Board of Trustees. This reporting structure promotes independence and full consideration of audit recommendations and management action plans.

All internal audit activities shall remain free of influence by any element in the organization, including matters of audit selection, scope, procedures, frequency, timing, or report content to permit maintenance of an independent and objective mental attitude necessary in rendering reports.

To maintain independence in accordance with serving as the "third line of defense" University Audit is **not authorized** to:

- Perform any operational duties (such as implementing or performing internal controls, developing University-wide or department level procedures, installing systems or preparing records or tendering legal opinions) for the areas of the University or any affiliated organizations external to the department.
- Initiate or approve accounting transactions or selection of third-party vendors external to the department.
- Direct the activities of any University employee not employed by University Audit, except to the extent such employees have been appropriately assigned to auditing teams or to otherwise assist the internal audit staff during the course of audit work in providing requested documentation or clarification of University processes and practices.

Authority

University Audit has the authority to audit or investigate all areas of the University, including its direct support organizations, auxiliary facilities and services, faculty practice plan corporations, and other component units. Audits, reviews, and investigations shall not be restricted or limited by management, the President, or the Board of Trustees.

University Audit has unrestricted and timely access to records, data, personnel, and physical property relevant to performing audits, reviews, investigations, and consulting services. Documents and information given to internal auditors will be handled in the same prudent and confidential manner as by those employees normally accountable for those records. As required by law, University Audit will comply with the Florida Sunshine Law and public record requests. University Audit will notify the chair of the board of trustee's Audit and Compliance Committee or the President as appropriate, of any unresolved restriction, barrier or limitation to obtaining necessary information to perform their duties. If the University is not able to remedy such limitations, the chief audit executive shall timely notify the Board of Governors (through the OIGC) of any such restrictions, barrier, or limitation.

Duties and Responsibilities

University Audit performs three types of projects:

- Perform audits and reviews according to the risk-based annual plan, which is submitted to the President and the Audit and Compliance Committee.

- Audits are assurance services defined as examinations of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples include financial, operational performance, compliance, systems and data security and due diligence engagements relating to vendors and third-party relationships.
- Consulting services, the nature and scope of which are agreed to with the client, are intended to add value and improve an organization's governance, risk management, and control processes without University Audit assuming management responsibility. Examples include reviews, recommendations (advice), facilitation of and providing guidance relating to management's control self-assessment initiatives, identification of leading practices, and providing training to the University community in areas such as fraud awareness, risk management, internal controls and other related subject matter.
- Investigations are independent evaluations of allegations generally focused on improper activities including misuse of University resources, fraud, financial irregularities, and academic integrity concerns along with research misconduct. Management will also be informed of any identified significant control weaknesses such as management override of controls along with unethical behavior, lack of academic integrity, failure to provide adequate oversight, or similar types of actions. In conjunction with performance of or participation in investigations across the University community, University Audit is responsible for determining whether allegations associated with an investigation fall under the State of Florida Whistle-blower Act in accordance with sections 112.3187-112.31895, Florida Statutes.

In addition, as noted in Florida Board of Governors Regulation 4.002 State University Chief Audit Executives, University Audit is responsible to review statutory whistle-blower information and coordinate all activities of the University as required by the Florida Whistle-blower's Act. When performing any of these activities, University Audit will focus on:

- a) Evaluating the economy, efficiency and effectiveness in the administration of University programs and operations
- b) Recommending adjustments to existing internal controls to enhance the prevention and detection of fraud and abuse within University programs and operations
- c) Examine the validity of significant and credible allegations relating to waste, fraud or financial mismanagement as provided in Board of Governors Regulation 4.001.

Audits will be scheduled and performed according to the risk-based annual plan, which is submitted to the President, the Audit and Compliance Committee and the Florida Board of Governors. The plan will be updated as necessary to reflect changes in the University's strategic plan, program initiatives, and external environmental factors along with accommodating requests

from the Board of Trustees and University management. Consulting services and investigations will be scheduled and performed on a case-by-case basis.

Follow-up on open audit issues will be performed on a regular basis to evaluate management's progress in implementing internal audit recommendations generated by all audit department projects as defined above.

In addition, University Audit will work with third parties such as the State University System of Florida Board of Governors, the Florida Auditor General, external auditors (public accounting firms), and relevant federal, state and local government agencies to discuss internal control related activities and provide requested information.

To help ensure University Audit has the capabilities to perform these functions, the department will:

- use existing or request additional funds to maintain a professional staff with sufficient size, knowledge, skills, experience, and professional certifications along with obtaining appropriate technology that increases the department's capabilities, productivity and efficiency ,
- use third-party resources (i.e. co-sourcing) as appropriate to supplement the department's efforts and,
- establish a quality assurance improvement program of internal auditing for the office of chief audit executive and the department as a whole. This program must include an external assessment conducted at least once every five (5) years. The external assessment report and any related improvement plans shall be presented to the Board of Trustees, with a copy provided to the Florida Board of Governors.,
- prepare an annual report summarizing the activities of the department for the preceding fiscal year, the office's plans and resource requirements, including significant changes, and the impact of resource limitations for distribution to the President, Board of Trustees and Florida Board of Governors.
- report on a routine basis (through written or verbal means) to the Audit and Compliance Committee and/or the full Board of Trustees on matters including significant risk exposures, control issues, fraud risks, governance issues and other matters as requests by the President and/or the Board of Trustees.

Professional Standards

University Audit adheres to the Code of Ethics and the *International Standards for the Professional Practice of Internal Auditing* adopted by The Institute of Internal Auditors. In addition, this charter will be reviewed and approved at least every three (3) years for consistency with applicable Florida Board of Governors and University regulations, professional standards, and industry best practices.

Approved by the Board of Trustees
March 15, 2017

FLORIDA POLYTECHNIC UNIVERSITY
COMPLIANCE AND ETHICS CHARTER

Purpose and Mission

The University's Compliance and Ethics Program shall be composed of a Chief Compliance and Ethics Officer and his assistants, if any, either employees or contractors and are hereinafter referred to collectively as “University Compliance”. University Compliance provides oversight and guidance to university-wide ethics, compliance, and enterprise risk management activities, and fosters a culture that embeds these disciplines in all university functions and activities. The office provides centralized and coordinated oversight through the ongoing development of effective policies and procedures, education and training, monitoring, communication, risk assessment, and response to reported issues as required by Chapter 8 of the Federal Sentencing Guidelines and Board of Governors Regulation 4.003. These guidelines and regulation set forth the requirements of an effective compliance and ethics program and require promoting compliance with laws and ethical conduct.

The mission of the office is to support and promote a culture of ethics, compliance, risk mitigation, and accountability.

Reporting Structure and Independence

University Compliance reports administratively to the President, and functionally to the Audit and Compliance Committee of the Board of Trustees. This reporting structure promotes independence and full consideration of University Compliance’ recommendations and action plans.

The Chief Compliance and Ethics Officer and staff shall have organizational independence and objectivity to perform their responsibilities and all activities of the office shall remain free from influence.

Authority

University Compliance has the authority to review or investigate all areas of the university, including its direct support organizations and faculty practice plan. Reviews and investigations shall not be restricted or limited by management, the President, or the Board of Trustees. University Compliance has unrestricted and timely access to records, data, personnel, and physical property relevant to performing compliance reviews and investigations, and to allow for appropriate oversight and guidance related to compliance, ethics, and risk mitigation efforts.

The Chief Compliance and Ethics Officer will notify the President and request remediation of any unresolved restriction or barrier imposed by any individual on the scope of any inquiry, or the failure to provide access to necessary information or people for the purposes of such inquiry. If unresolved by the President or if the inappropriate restriction is imposed by the President, the Chief Compliance and Ethics Officer will notify the chair of the Audit and

Compliance Committee of the Board of Trustees. If not resolved, the Chief Compliance and Ethics Officer will notify the Board of Governors through the Office of the Inspector General and Director of Compliance.

Documents and records obtained for the above purposes will be handled in compliance with applicable laws, regulations, and university policies and procedures. As required by law, University Compliance will comply with public records requests.

Duties and Responsibilities

The duties and responsibilities of the Chief Compliance And Ethics Officer and staff include projects and activities that fulfill the requirements for an effective compliance and ethics program as required by Chapter 8 of the Federal Sentencing Guidelines and Board of Governors Regulation 4.003. The University Compliance and Ethics Program (“Program”) will be reasonably designed to optimize its effectiveness in preventing or detecting noncompliance, unethical behavior, and criminal conduct. The Program’s design supports mitigation of risks to the university and its employees and provides safe harbor in the event of misconduct or noncompliance. The following elements define the duties and responsibilities of the office:

1. Oversight of Compliance and Ethics and Related Activities
2. Development of Effective Lines of Communication
3. Providing Effective Training and Education
4. Revising and Developing Policies and Procedures
5. Performing Internal Monitoring, Investigations, and Compliance Reviews
6. Responding Promptly to Detected Problems and Undertaking Corrective Action
7. Enforcing and Promoting Standards through Appropriate Incentives and Disciplinary Guidelines
8. Measuring Compliance Program Effectiveness
9. Oversight and Coordination of External Inquiries into Compliance with Federal and State Laws and Take Appropriate Steps to Ensure Safe Harbor

The Chief Compliance and Ethics Officer and staff will:

- Develop a Program plan based on the requirements for an effective program. The Program plan and subsequent changes will be provided to the board of trustees for approval. A copy of the approved plan will be provided to the board of governors.
- Provide training to university employees and Board of Trustees’ members regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures. The Program plan will specify when and how often this training will occur.

- Obtain an external review of the Program’s design and effectiveness at least once every five years. The review and any recommendations for improvement will be provided to the President and Board of Trustees. The assessment will be approved by the Board of Trustees and a copy provided to the Board of Governors.
- Identify and provide oversight and coordination of compliance partners responsible for compliance and ethics related activities across campus and provide communication, training, and guidance on the Program and compliance and ethics related matters.
- Administer and promote, a compliance and ethics hotline, an anonymous mechanism available for individuals to report potential or actual misconduct and violations of university policy, regulations, or law, and ensure that no individual faces retaliation for reporting a potential or actual violation when such report is made in good faith.
- Maintain and communicate the university’s policy on reporting misconduct and protection from retaliation and ensure the policy articulates the steps for reporting and escalating matters of alleged misconduct, including criminal conduct, when there are reasonable grounds to believe such conduct has occurred.
- Communicate routinely to the President and the board of trustees regarding Program activities. Annually report on the effectiveness of the Program. Any Program plan revisions, based on the Chief Compliance and Ethics Officer’s report, shall be approved by the Board of Trustees. A copy of the report and revised plan will be provided to the Board of Governors.
- Promote and enforce the Program, in consultation with the President and board of trustees, consistently through appropriate incentives and disciplinary measures to encourage a culture of compliance and ethics. Failures in compliance and ethics will be addressed through appropriate measures, including education or disciplinary action.
- Initiate, conduct, supervise, coordinate, or refer to other appropriate offices such inquiries, investigations, or reviews deemed appropriate in accordance with university regulations and policies, state statutes, and/or federal regulations.
- Make necessary modification to the Program in response to detected non-compliance, unethical behavior, or criminal conduct and take steps to prevent its occurrence.
- Assist the university in its responsibility to use reasonable efforts to exclude within the university and its affiliated organizations individuals whom it knew or should have known through the exercise of due diligence to have engaged in conduct not consistent with an effective Program.
- Coordinate or request compliance activity information or assistance as necessary from

any university, federal, state, or local government entity. Oversee and coordinate external inquiries into compliance with federal and state laws and take appropriate steps to ensure safe harbor in instances of non-compliance.

University Compliance provides guidance on compliance, ethics, and related matters to the university community. The office collaborates with compliance partners and senior leadership to review and resolve compliance and ethics issues and coordinate compliance and ethics activities, accomplish objectives, and facilitate the resolution of problems.

To ensure University Compliance staff has the capabilities to perform the duties and responsibilities as described the Chief Compliance and Ethics Officer will:

- Maintain a professional staff with sufficient size, knowledge, skills, experience, and professional certifications
- Utilize third-party resources as appropriate to supplement the department's efforts
- Perform assessments of the program and make appropriate changes and improvements

Professional Standards

University Compliance adheres to the *Florida Code of Ethics* and the *Code of Professional Ethics for Compliance and Ethics Professionals*.

The University Compliance Charter will be reviewed at least every three years for consistency with applicable Board of Governors and university regulations, professional standards, and best practices. Subsequent changes will be submitted to the Board of Trustees for approval. A copy of the charter and any subsequent changes will be provided to the Board of Governors.

Approved by the Board of Trustees
March 15, 2017



FLORIDA POLYTECHNIC
UNIVERSITY

Governance Committee Meeting

Wednesday, May 20, 2020, 10:15-10:45 AM

Or upon conclusion of the Audit & Compliance Committee meeting

Florida Polytechnic University
TELE-CONFERENCE MEETING

Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Rear Admiral Philip Dur, Chair
Cliff Otto

Dr. Louis Saco, Vice Chair
Bob Stork

Frank Martin
Henry McCance

AGENDA

- | | |
|--|--------------------------------|
| I. Call to Order | Rear Admiral Philip Dur, Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Rear Admiral Philip Dur, Chair |
| IV. Approval of the February 25, 2020 Minutes
Action Required | Rear Admiral Philip Dur, Chair |
| V. Slate of Officers for 2020-2022
Action Required | Rear Admiral Philip Dur, Chair |
| VI. Renewal of President's Employment for 2020-21
Action Required | Rear Admiral Philip Dur, Chair |
| VII. President's Employment Agreement
Action Required | Rear Admiral Philip Dur, Chair |
| VIII. President's Goals 2020-21
Action Required | Dr. Randy K. Avent, President |
| IX. Closing Remarks and Adjournment | Rear Admiral Philip Dur, Chair |

Florida Polytechnic University
Board of Trustees

Governance Committee Meeting

DRAFT MEETING MINUTES

Tuesday, February 25, 2020
2:45 PM – 3:45 PM

Florida Polytechnic University - Student Development Center
4700 Research Way, Lakeland, FL 33805

I. Call to Order

Committee Chair Dur called the Governance Committee meeting to order at 2:45 p.m.

II. Roll Call

Kristen Wharton called the roll: Committee Chair Philip Dur, Vice Chair Louis Saco, Trustee Frank Martin, Trustee Henry McCance, Trustee Cliff Otto, and Trustee Bob Stork were present (Quorum).

Other Trustees present: Chair Don Wilson

Staff present: Ms. Gina Delulio, Mr. David Brunell, Mrs. Melaine Schmiz, and Mrs. Kris Wharton

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Vice Chair Louis Saco made a motion to approve the December 10, 2019 minutes. Trustee Henry McCance seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2018-20 Governance Committee Work Plan Review

Ms. Gina Delulio reviewed changes to the Committee Work Plan which will result in the evaluation process taking place after completion of the fiscal year. This will allow for additional time to collect relevant data.

Chair Philip Dur further explained that the proposed changes to the President's employment agreement will also be available for discussion in early May. During the May meeting, the Committee will use a report on the President's year-to-date accomplishments to make a recommendation on renewal of the President's employment agreement for July 2020-July 2021 only.

Trustee Henry McCance made a motion to approve 2018-20 Governance Work Plan with changes as discussed. Vice Chair Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

VI. Nominations for Chair and Vice Chair

The Board of Trustees Chair and Vice Chair two-year terms will expire August 1, 2020. The Governance Committee discussed the process for making nominations to the board for the office of Chair and Vice Chair in preparation for the election that will take place at the May meeting.

Ms. Delulio explained the process used in the past and the committee discussed the qualities the Chair and Vice Chair should have as well as the time commitment required for the positions.

Chair Dur instructed the General Counsel to send out an email to all trustees eligible to serve as officers in order to allow them to express their interest and willingness to be considered in the nomination process. Ms. Delulio will report the responses at the next committee meeting. The Committee will then discuss those names and recommend nominees to the full board.

VII. Proposed Revisions to the President's Employment Agreement

On February 26, 2019 the Board of Trustees approved an amendment to the President's Employment Agreement ("Agreement") with a term ending July 7, 2020. In preparation for the next renewal term, the Governance Committee discussed the proposed revisions to the original Agreement.

One of the changes was related to the performance compensation (bonus).

Discussion ensued of the evaluation criteria. Using the new criteria (Not Achieved, Partially Achieved, Achieved, Exceeded and Far Exceeded), the Committee proposed amending the language under section 5.3.1 as follows:

1. Add the word "Achieved" in the second sentence, after "an overall evaluation of....or higher", which relates to the Twenty Percent (20%) bonus.
2. Add the language after the second sentence of "If the President receives an overall evaluation of "Exceeded" or higher from the Board in his annual evaluation, the amount may be up to Thirty Percent (30%)."

The President's Employment Agreement will be revised as discussed and forwarded to the Committee members for review. If the Committee would like to have a conference call prior to the May meeting, they are to contact Ms. Delulio.

Final recommendations on the Agreement and on the renewal of Agreement will take place at the May meeting.

VIII. Regulation FPU-1.01 Service of Process

Mr. David Brunell presented an overview of the regulation.

Florida Statutes and the Board's bylaws require that service of process related to lawsuits against the University or its board of trustees, officers, directors or employees serving in their official capacities must be made on the Office of the General Counsel when the Board Chair is not present. However,

process servers have recently attempted to make service on various other departments at the J.D. Alexander Campus instead of serving the documents at the Office of the General Counsel, which is located at Poly South. By adopting a regulation which provides specific notice of the requirement and information necessary to assist process servers in complying with the requirement (such as the physical address and the mailing address of the Office of the General Counsel) the institution hopes to ensure the administration has immediate notice of lawsuits and the General Counsel has adequate time to respond to each lawsuit.

The Notice of Proposed Regulation was published on the University's website on January 23, 2020. No comments were received during the review and comment period.

Trustee Henry McCance made a motion to recommend approval of Regulation FPU-1.01 Service of Process to the Board of Trustees. Vice Chair Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

IX. Closing Remarks and Adjournment

With no further comments, the meeting adjourned at 3:53 p.m.

Florida Polytechnic University
Governance Committee
Board of Trustees
May 20, 2020

Subject: Slate of Officers for 2020-2022

Proposed Action

Recommend to the Board of Trustees, a slate of the nominees for Board Chair and Vice-Chair for the term of August 1, 2020 through July 31, 2022.

Background Information

Pursuant to Section 4.2 of the Fourth Amended and Restated Bylaws of the Florida Polytechnic University Board of Trustees adopted September 11, 2019:

The Board shall elect the Chair and Vice-Chair from the appointed members of the Board at its last regular meeting prior to August 1 upon recommendation of the Governance Committee; the Chair and the Vice-Chair shall each serve for a two-year term to begin on August 1. The Chair and the Vice-Chair shall be eligible for reselection for one additional consecutive term by vote of the Board, after which they may not be an officer for two years before being eligible for selection again.

At the Governance Committee's request, the General Counsel sent an email asking the trustees who were eligible to serve as chair or vice-chair to reply and indicate their interest in being considered for the offices. The General Counsel will report on the responses of those willing to be considered for the offices.

Supporting Documentation: None

Prepared by: Gina DeLulio, VP and General Counsel

Florida Polytechnic University
Governance Committee
Board of Trustees
May 20, 2020

Subject: Renewal of President's Employment for 2020-21

Proposed Action

Make a recommendation to the Board of Trustees on the Renewal of the President's Employment for 2020-21.

Background Information

The President's Employment Agreement is set to expire on July 7, 2020. The Board needs to decide whether to renew the President's employment for an additional year so that the appropriate information can be provided to the Board of Governors for its approval prior to the expiration of the agreement.

Pursuant to the President's employment agreement and the Board of Trustees Policy, the President is evaluated on an annual basis. The timeline for the annual review of the President has been revised so that the review takes place after the end of the fiscal year at a time when the relevant data is available, so the annual review for the 2019-20 fiscal year will take place in the fall, as well as the related decisions on the President's compensation.

The President has prepared an interim report on progress made on the Operational Plan for 2019-20 to inform the Board's decision on renewing the President's employment. The report was provided to the Board at the last meeting and the updated report (updates indicated in red text) has been provided to the Chair and Governance Committee Chair and is included in the supporting documentation.

Supporting Documentation: Assessment Plan 2019-20, Interim Report to the Board of Trustees on Operational Goals

Prepared by: Gina DeLulio, VP and General Counsel

ASSESSMENT PLAN 2019-20

FLORIDA POLYTECHNIC UNIVERSITY

Interim Report
to the Board of Trustees
on Operational Goals

Randy K. Avent
May 2020

2019-20	Peer Group	SUS Average	2020-2021
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Degree Alignment				
% of Bachelors' Graduates Enrolled or Employed (\$25,000+)	75%		72%	78%
Median Wages of Bachelors' Graduates Employed Full-time	\$50,000		\$41,200	\$51,500
% of Bachelors' Degrees Awarded within Programs of Strategic Emphasis	100%	78%	51.37%	100%
% of Graduate Degrees Awarded within Programs of Strategic Emphasis	100%	74%	61.20%	100%
Student Success				
% Academic Progress Rate (GPA>2.0)	72%	81%	82%	(74%) 80%*
4-year FTIC Graduation Rate	37%	32%	41%	(40%) 39%*
6-year FTIC Graduation Rate (FT and PT students)	47%	62%	76%	(58%) 54%*
Time to Degree for FTICs in 120 hr. programs	4.7		4.2	4.6
% Baccalaureate Degrees without Excess Hours	95%		75%	(>75%) 80%*
Freshmen in Top 10% of HS Class	22%			23
Economic Development				
Bachelors' Degrees Awarded (First Majors Only)	320			320
Graduate Degrees Awarded (First Majors Only)	18			22
Total Research Expenditures (\$ in thousands)	\$750			\$1,000
% of Research Expenditures Funded from External Sources	69%			81%
Affordability				
Average Cost to Students (120 hours)	\$9.5K	\$21.9K	\$13.9K	(<\$14K) \$9K*
% University Access Rate (UG with Pell grant)	30%	24%	38%	(30) 29*

*(PREVIOUS GOAL) NEW, APPROVED 2020-2021 ACCOUNTABILITY REPORT GOAL

OPERATIONAL GOALS 2019-2020

(DEGREE ALIGNMENT) BUILD PROMINENT PROGRAMS IN HIGH-PAYING INDUSTRIES

Goal 1: Enroll a high-quality and diverse incoming class (Numbers as of 4/8/2020)

1. Despite a national decline in higher education enrollment for the eighth consecutive year, our freshman applications are up 29%: Graduate applications are also up significantly. We have admitted 31 to date, compared to 15 last year at this time; however, most are international and will not be able to obtain visas in time for the fall.
 - a. We overhauled our admissions strategy and operations.
 - b. We designed and developed new recruitment publications and digital strategy around email, text, YouTube, and Instagram.
 - c. We revamped our campus visit program to better connect cutting-edge technology, social and economic relevance to the student and make the campus look less sterile and more alive.
 - d. We purchased a national high school guidance counselor list and developed a drip campaign that feeds them content marketing based on their interests in STEM.
 - e. We launched a state and national awareness campaign for guidance counselors and calculus teachers that discussed STEM applications and allowed them to directly nominate students for scholarships.
 - f. We significantly updated our financial aid operations, so our process is cleaner and more professional. With that, we saw an 85% increase in FAFSA applications that allow us to package financial aid information for students earlier.
 - g. Five Fulbright Graduate Students applied to FL Poly grad program.
2. Our academic quality has improved on all measures: SAT scores are up for admitted freshmen by 34 points to 1334, ACT is flat, and our admitted applicant core GPAs are up 0.20 points to 4.15.
 - a. We built new micro-targeted lead generation strategies that created “templates” of desired students and targeted them at key times.
 - b. We built a separate undergraduate recruitment microsite for those students.
 - c. We developed three scholars’ programs – Provost, Alexander and Presidential – and built “segmented campaign sprints” to fill them with exceptional candidates.
 - d. We completed 30 STEM-Tech days addressing more than 1,000 students from highly ranked Florida high school AP calculus and physics classes.
3. Our transfer applications are up 23% with the average GPA increasing from 3.0 to 3.38.
 - a. We designed and developed new recruitment brochures that included a website and email campaign.
 - b. We identified five state colleges and focused on building relationships with their calculus faculty.

- c. *We developed an innovative “one-year pipeline” program that allows eligible students direct admission into Florida Poly after their first year at a state college. This program maximizes the number of credits that transfer to Poly and helps those students graduate in four years.*
- 4. *Our international applications are up significantly (82%), but we see that 68% are coming from countries that have significant travel and visa restrictions due to COVID-19, and many will be unable to arrive in the fall.*
 - a. *We hired full-time regional recruiter to focus on the northeast, where the density of STEM-bound students is close to 10 times larger than in Florida.*
 - b. *We addressed strategic challenges with our global corporate partner and developed a new approach to international recruitment.*
 - c. *We purchased an international database of high school teachers, counselors and principals and are in the early process of using that information to better focus our recruitment efforts in targeted countries.*
- 5. *Our diversity continues to improve. Although our female applications are up 34%, deposits are flat to last year, which was a good year. Black/African Americans and Latino applications are up, and deposits are up as well.*
 - a. *We continue to build a first-year STEM Program that targets low-income students with strong math skills and moderate test scores. This year we doubled the size of this program.*
- 6. *We continue to have official discussions with Walt Disney World to establish an “Aspire Program” that offers Disney employees degrees from Florida Poly.*

Goal 2: Grow a faculty body committed to excellence

- 1. Faculty searches are in progress with an objective to grow the faculty body by roughly 10 for fall 2020. All positions are posted to The Chronicle of Higher Education, Inside Higher Education and Higher Ed Jobs as well as various diversity recruiting hubs. *Between moving to remote instruction, faculty reappointments, a strained budget and the COVID-19 crises, we may be less successful on this front than originally hoped.*
 - a. *Searching will continue through summer*
 - b. *Targets are aligned to program-areas to meet demand*
 - c. *Three Senior Fulbright Visiting Chairs applied to Florida Poly for Mechanical Engineering, Electrical Engineering and the Advanced Mobility Institute*
- 2. Consistent with the Collective Bargaining Agreement, all of our early (pre-2017) faculty members will be reviewed this Spring for consideration for reappointment to a second three-year term. Additionally, two faculty members will be considered for promotion to Associate Professor, and two other faculty members that were hired after June 1, 2017 will be reviewed as part of the normal review process.
 - a. *Review committees formalized by February 14th*

- b. *Review will start in earnest on March 3 with recommendations to Provost's office*
 - c. *Process will be completed in appropriate time thereafter*
- 3. We created a generous professional development package for faculty to become more involved in their research and academic community.
 - a. *Package provides \$3,500 for each faculty member for travel*
 - b. *One-time awards for equipment and supplies are available*
 - c. *Several Poly Institutes have begun offering seed funding to encourage faculty participation*

Goal 3: Improve instructional effectiveness and consistency of quality

1. Instructional effectiveness improved slightly from previous survey assessment but remains approximately one-half point lower than other 4-year public institutions.
 - a. *Results from 2019 Noel-Levitz Survey, Florida Poly scored 5.01 satisfaction on a 7-point scale with national four-year publics rating at a 5.46. (Specific question: Quality of instruction in most of my classes is excellent). This survey was administered in April 2019, the same month our Director of Teaching and Learning started (new position).*
 - b. *Continued to work with departments to produce courses that are **consistent** in terms of learning outcomes and grading standards, with a large emphasis on multi-section course.*
2. 100% of faculty participated in an effective Teaching and Technology Practices Workshop at fall 2019 faculty orientation. 80% of faculty engaged with Teaching and Learning in one-on-one instructional consultations.
3. Teaching and Learning conducted mid-semester student feedback surveys (fall 2019) of 1,600 students in 84 courses sections for 39 faculty members. These surveys provided formative feedback on instructional practices that were best facilitating student learning.
4. We grew programs and resources in Teaching and Educational Research by 100%
 - a. *Developed a rich repository in Canvas of resources and tools on teaching, classroom technology, and course administration*
 - b. *Facilitated educational research via developing NSF-STEM education grant proposals; worked with Sponsored Research on establishing an Institutional Review Board (IRB), and conducted workshops on IRB, STEM-education grants, and Scholarship of Teaching and Learning (SoTL)*
5. We initiated first courses via distance learning to support on-time progression for juniors and seniors.
 - a. *Special career-focused sections of Intro to STEM and Academic & Professional Skills*

6. Converted 100% of courses from face-to-face to remote delivery over a 3-day period.
 - a. *Started pre-planning two-weeks prior in anticipation of worst-case scenario, included phases that started with recording in-class lectures, deployed upon return from spring break (March 9th).*
 - b. *Director of Teaching and Learning (DTL) developed extensive “Resources for Teaching Remotely” and “Remote Learning Resources for Students” in Canvas (the Learning Management System) to support faculty and students in the transition.*
 - c. *DTL and Instructional Designer supported faculty in updating courses and tests and working with faculty to learn key technologies to collaborate and communicate with students in real-time and in other ways for the remainder of the term.*
 - d. *Academic Departments (faculty) developed minimum standards and methods for ensuring course content and requirements were appropriately transitioned online and quality and quantity of content was not lost.*
 - e. *Acquired online test proctoring software to ensure integrity of remote delivery of exams (an expectation of all online courses).*
 - i. *Provide instructions, support, and hands-on testing guidance for faculty to ensure exams are set up and proctored properly*
 - ii. *Organized student remote learning support team led by Director of Educational Outreach to provide live support for students prior to and during testing time.*
7. Academic Affairs (faculty and administration) collaborated to develop a one-time change to University Grading Policy to recognize the difficult challenges students are facing—personal, technological, educational—that provides pathways for successfully completing the term and making progress towards their degree while preserving academic quality.
8. Expanded instructional technology availability and use to faculty, staff, and students to rapidly deliver content and interaction among all campus constituents.
9. Contracted with two external agencies to explore new ways of delivering online courses as pilot studies (Bisk and Outlier). Bisk modules being delivered in part now, and both will be delivered alongside our own efforts this summer to learn from and mine for opportunities to enhance our own delivery quality and methodologies.

Goal 4: Grow the number of academic programs in strategic disciplines

1. We implemented three new degree programs in fall 2019 to bring our total undergraduate offerings to nine degree programs. Work this year has focused on operationalizing these programs so they can grant degrees.
 - a. *Engineering Physics – 5 enrolled*
 - b. *Environmental Engineering – 4 enrolled*
 - c. *Engineering Mathematics – 2 enrolled*

2. We created one strategic concentration that built on the Advanced Mobility Institute mission for Fall 2020: *Autonomous and Electric Vehicles (Computer and Electrical Engineering)*. We also added concentrations in *Aerospace and Mechanical Systems (Mechanical Engineering)*, *Autonomous Systems (Computer Science)* and *Autonomous Robotic Systems (Computer Engineering)*.
3. We have one new bachelors' program in process for Fall 2021: *Bachelor of Science in Cyber-Security Engineering*.

Goal 5: Mature and grow the graduate program

Note: The legislature granted us \$500K last year to mature and grow our graduate program and the Governor vetoed that funding, thereby significantly curtailing this effort.

1. We grew the graduate program by 52% from fall 2018 (headcount 33 to 50) to last year.
 - a. *We formalized the curricular structure for both master's degrees and expanded them to include tracks in ME, CE, EE and Engineering Management; and Data Science and Computer Science.*
2. We launched a Robotics track in the M.S. in Engineering program as a strongly interdisciplinary degree with elements from Electrical and Computer Engineering, Computer Science and Mechanical Engineering.
 - a. *We continue to explore new degree programs for future implementation.*
3. We explored limited distance learning (online and hybrid) delivery for courses in Engineering Management track (MS Engineering) and Data Science track (MS Computer Science).

(STUDENT SUCCESS) PREPARE STUDENTS FOR A LIFETIME OF SUCCESS

Goal 6: Help students achieve academic goals

1. Student Success is critical to the student experience, and we increased student access to success professionals by 33% in 2019-2020.
 - a. *Hired a leader for Student Success and Retention*
 - b. *Developed a Student Success destination on campus where the Success Coaches are readily available*
 - c. *All Fall 2019 new Florida Poly students were assigned to a specific Success Coach*
 - d. *Provided faculty with a reporting system for students of concern to be reported directly to Success Coaches via Canvas*
 - e. *Developed a Canvas course for remote registration advising*

2. An Academic Improvement Program was piloted in Summer 2019 and implemented in Fall 2019. Of those students actively engaged in the Fall 2019 Program, 84% had improved their academic standing at the end of the semester.
3. Adding to established campus experiences organized through Registered Student Organizations, Student Government and Presidential Ambassador programming, campus opportunities to engage and learn increased by 20% with the addition of new student-focused workshop series.
 - a. *Student-focused workshop series added to campus include co-curricular leadership endorsement, hard topics series, academic motivation workshops and pizza with the Provost.*
 - b. *Club Row was held in Fall and Spring to allow students to connect and join campus clubs.*
 - c. *Student access to outdoor activities increased by 20% with the addition of a new interactive outdoor area for students on campus (Oak Grove). This outdoor area joined other outdoor activity areas on campus (Pool, Soccer Fields, Volleyball/Basketball area and Campus Pathways).*
 - d. *Developed a Virtual Student Union to encourage students to stay connected and engaged with the campus while learning remotely.*
4. To build soft skills and business acumen we provided three learning opportunities for students.
 - a. *We hosted 6 Innovation Speaker Series to expose students to successful leaders, innovators and entrepreneurs.*
 - b. *We offered guest lectures on How to Give the Perfect Pitch to 5 classes and our entire senior capstone program.*
 - c. *We offered an ENACTUS club for students interested in learning about and pursuing social entrepreneurship ideas.*

Goal 7: Build essential skills in communication, leadership, design and business

Goal 8: Embed projects in a sustainable manner to enhance professional development

Goal 9: Support students through work experience programs and career opportunities

1. *We increased the number of students who attended the Spring 2019 Career Fair by 66%, exposing them to over 150 employers through career-related events and correspondents, and we provided students with 15,000 STEM job opportunities specific to the state of Florida.*
 - a. *Collaborated with the colleges and universities in Polk County to leverage our employee relationships.*
 - b. *Coordinated strategic programming for professional development.*
 - c. *Incorporated an additional Career Fair in the Fall semester to increase student exposure to job opportunities.*
2. We helped 200 freshmen with their career planning and professional goals.
 - a. *A "Resume Desk" was added to the Commons, providing for 24 additional career development support hours on campus each week.*

- b. *Collaborated with Microsoft and the First Year Experience Coordinator to develop professional development training for freshmen.*
3. In response to COVID-19, Career Services has adjusted methods of communication to keep students engaged and connected with employment opportunities.
- a. A campaign has been launched to call all seniors scheduled to graduate this May to further assist them with their employment process.
 - b. Canvas has been used as a platform to keep all students engaged with Career Development. Students have access to nine professional development videos and a competencies assessment—within the first two weeks of the launch over 95 students signed up.
 - c. Professional Development presentations have been hosted covering topics such as Personal Financial Planning and SCRUM project management.
 - d. All seniors are emailed weekly leads on opportunities with companies that are hiring immediately such as Northrup Grumman, Lockheed Martin, and Amazon.

(ECONOMIC DEVELOPMENT) GROW A HIGH-TECHNOLOGY ECONOMY AROUND FLORIDA POLY

Goal 10: Conduct and execute a realistic and sustainable industry interaction model

- 3. The percentage of industry sponsored capstone projects slightly increased to 86% (32 of 37) from 85% (29 of 34).
 - a. *We established the role of Capstone Design Coordinator (now Director of Industry Engagement and Capstone Projects) to recruit externally sponsored projects.*
 - b. *The bi-weekly Industry Update meeting purposefully connects various external partners with multiple avenues for University partnerships.*
 - c. *We expect this percentage to remain similar moving forward as not all students wish to sign away intellectual property rights.*
- 4. We increased the percentage of multidisciplinary capstone projects to 43% (16 of 37) from 35% (12 of 34).
 - a. *Capstone instructors meet on a weekly basis to coordinate disciplinary specific facets of multidisciplinary projects.*
 - b. *Departments have agreed to a common timeline of project deliverables and expectations.*
 - c. *Marketing materials from the Spring 19 Showcase specifically highlighted the success of previous multidisciplinary teams.*
- 5. Overall, most of the teams were still able to complete a majority if not all of their project goals. We were able to get most of the necessary components sourced and to the student teams in early/mid-February, thus when we went to remote instruction, they were able to simply take their parts and continue progress off site. There are a couple of larger interdisciplinary “big-build” teams that were no longer able to continue down their

original path, now their focus is on modeling, simulation and documentation. We expect to pick these projects back up in the Fall and complete them on an accelerated timeline (using Super Capstone and off sequence students).

6. We created an entrepreneurship certificate with four courses & a total enrollment of 58 students in 2019-2020 FY.
 - a. *We offered ENT2112, Entrepreneurship Opportunity Analysis in Fall 2019 and Spring 2020 with a total enrollment of 58 students.*
7. We offered consultations to 80 students interested in commercialization and entrepreneurial competitions where students won over \$55,000+ in prize money to date.
 - a. *We hosted an eMerge Americas Pitch Night to give our students exposure to business style presentations on our campus.*
 - b. *We offer coaching sessions for students to participate in various state and local entrepreneurial competitions. This has resulted in our student entrepreneurs winning over \$6,000 in 2019-2020 FY, and over \$55,000 in total prize money from 2016-present.*
 - c. *We offered entrepreneurial consultations to 80 students who have an idea or project with interest in commercialization of some kind in 2019-2020 FY.*
8. In partnership with Walt Disney World, we began offering a series of eight executive education courses to industry executives from Latin American countries.
 - a. *Offered a pilot strategic planning course to 43 Latin American business executives in conjunction with Walt Disney World's executive training program for Latin America.*
 - b. *Walt Disney World added Florida Poly to its website as a partner in its Latin American executive training program.*
 - c. *Program served as a pilot for Florida Poly to offer several programs for industry executives as a financially self-supporting continuing education center.*
9. We are working to develop a highly innovative and differentiated Executive Leadership program. The program builds on the Disney course and will focus on Technology, Leadership and Governance elements and integrates our progress in International outreach with significant elements within the state of Florida.
10. In mid-March we were contacted by the Nicholson Center (training and teaching arm of AdventHealth) about helping them produce the PRUSAPRINT.ORG RC3 face shield components. As of April 13 we had delivered nearly 1,400 sets of face shield components and we continue to deliver around 100-125 sets per day. Maintenance is ongoing to revive and to keep as many of our 3D printers running as possible. Additionally, we also signed an MOU with the City of Auburndale and have delivered 150 sets of face shield components to them.
11. Also in March, we were contacted by Steve Scruggs on behalf of Wesley Beck and Advanced Concept Innovations (ACI) Inc about machining components for them. ACI is building equipment to manufacture N95 masks at the rate of 3-5M units per week.

12. In mid-April we were again contacted by ACI about laser cutting nosepiece assembly guides. After a brief struggle again with our equipment, we were able to deliver over 200 sets of the assembly guides to ACI.
13. Consistent with these efforts, we have been working with BRPH (engineering/architectural firm out of Melbourne, FL) on an Agile Manufacturing Center as the primary research center of our manufacturing technology vertical. This center would include technology around Industry 4.0, agile and modular manufacturing, and integrated testing.

Goal 11: Conduct applied research to strengthen University impact

1. We increased the number of proposals by 21%, the total number of new awards by 22%, the total dollar amount of new awards by 122% and the percentage of funds from external sources by 21%.
2. We established the Health System Engineering (HSE) organizational leadership and defined its strategy.
 - a. *Recruited a director (Spring 2019) and are recruiting a program manager and a post-doc (Spring 2020).*
 - b. *Established an advisory board with a broad representation of sectors and expertise within healthcare.*
 - c. *Defined the HSE Center's mission, vision and goals in alignment with Poly's institutional mission goals.*
 - d. *Met with various healthcare organizations within the region including LRH, AdventHealth and BayCare among others and defined projects for students and faculty.*
3. We successfully launched several research programs in HSE and are more aggressively promoting our research efforts within Poly and with external healthcare leaders.
 - a. *Eleven faculty members that represent all STEM disciplines have been meeting regularly to exchange ideas and define opportunities for collaboration in research and for extramural funding.*
 - b. *HSE's Data Science Business Analytics (DSBA) faculty cohort in collaboration with Lakeland Regional Health has formalized research threat on Social Determinants of Health (SDoH)*
 - c. *We are partnering and have received IRB approval from AdventHealth to proceed with research study titled: Fitness Awareness in Young Adults.*
 - d. *We have three ongoing HSE related capstone projects led by HSE faculty.*
 - e. *We secured a **\$600K NSF grant** – Florida Poly's largest federal grant to date – to create a novel pedagogical approach for STEM ethics training through internships in an industrial setting, including healthcare environments.*

4. We increased the outside funding of FIPR by signing a 3-year \$876K agreement with Critical Materials Corporation with focus on Lithium & Rare Earths production, and we also increased our external laboratory services by 80%.
5. We refocused FIPR to grow new research missions that are more relevant and urgent
 - a. *Revamped and revitalized research focus of institute - identified four specific areas which provide assistance to industry for process improvement, address compelling environmental challenges, and serve to develop new supply chains of vital national security concerns. These areas include Water Processing, Phospho-Gypsum stacks, Phosphatic Clay, and Minerals Processing/Rare Earths.*
 - b. *Collaborating with Mosaic in securing an EPA exception to utilizing Phospho-gypsum in commercial products, as well as working on a solution to clean up process water. These are two of the biggest challenges in the phosphate mining industry.*
 - c. *Packed Column Jig project well underway to improve minerals processing which will dramatically change mining landscape. This is a FIPR self-funded project that will provide an IP revenue stream, and potential technology sales.*
6. We grew the Advanced Mobility Institute and have reorganized its operations and focused its research efforts.
 - a. *Dr. Arman Sargolzaei has officially been named the new Director of the Institute and will be responsible for its operations and research mission.*
 - b. *Dr. Rahul Razdan will continue with the Institute and will oversee industry and government interactions, provide guidance on strategic directions, and build the simulation infrastructure.*
 - c. *The primary research thrusts have focused on four issues: (1) edge-case detection and accelerated learning; (2) ElectroMagnetic Interference (EMI) in sensing and communications; (3) language of driving; and (4) transportation optimization.*
7. We started a weekly research seminar series to build the research mission of the Advanced Mobility Institute with a focus on applied research. We offered an internal seed funding opportunity with a budget of \$200K and received 13 proposals from our faculty. Proposals are under review.
 - a. We won a \$350K NSF Major Research Instrumentation (MRI) award for the testing and verification of AV and have submitted another proposal to the Department of Homeland Security for \$500K.
 - b. We published one journal paper and have 8 conference papers either accepted or published.
8. We strengthened our brand and impact in the Validation and Verification (V&V) of Autonomous Systems (AV) by publishing in major venues and building strategic alliances with key organizations.
 - a. *We have 6 conference and one major transaction paper, as well as two SAE Edge Reports and 9 contributing articles on Transportation for Forbes.*

- b. *We built major partnerships with Embry-Riddle and Taltech and have several collaborations/touch points with UF, USF, UCF and IHMC.*
 - c. *We plan to host two major AV Conferences at Florida Poly this coming year and are interacting with Standardization groups for SAE and IEEE on V&V.*
 - d. *We have numerous industry connection points including Mathworks, National Instruments, Cadence, Analog Devices, Nvidia, Beep, Jacksonville Transportation Authority (JTA), TUV-SUD, SunTrax and ACM.*
9. We continue to work with SunTrax as they rebuild their efforts after organizational difficulties these past two years.
- a. *Met with new leadership and continue to discuss the importance of our collaboration to the success of SunTrax.*
 - b. *In discussion with the new DOT secretary and the CEO of Florida Turnpike on the creation of a MS course in Transportation Technology to help them retain their mid-career engineering and technical management personnel.*
 - c. *The contract for the Operation and Maintenance of SunTrax is now underway: The construction of the in-field AV test grounds is also now underway.*

Goal 12: Develop extended campus to support University growth

1. In an effort to support campus operations, and increase utility efficiencies, the University has entered into an agreement that brings reclaimed/redundant water lines to campus, affording us 100% redundancy in potable and grey water.
 - a. *Negotiated an agreement with the City of Auburndale, partnering with SWFWMD, that allows the University to use reclaimed water with no utility fees for 50 years.*
 - b. *Hired a design consultant to design systems to support the use of reclaimed water for irrigation and chilled water make up.*
 - c. *Coordinated with the City of Lakeland to bring a redundant interconnect water supply from the City of Auburndale, to afford the University a backup source of water.*
 - d. *Hired a design consultant to review the projected campus growth and outfit the chiller plant to maintain redundancy with the addition of the Applied Research Center (ARC).*
2. Initiated/completed a study to finalize the programming of the ARC to support 100% of the current academic research mission/growth projection through 2026.
 - a. *Analyzed the deployment of space in the IST to deploy efficiencies, and determine shortfalls, to support the Applied Research Center Program.*
 - b. *Programmed the Applied Research Center to support academic program growth and overcome facility shortfalls of the current academic facilities.*
 - c. *Began construction on the Applied Research Center.*
3. Initiated/completed a plan to leverage outdoor spaces on campus, to support and encourage interaction of students, faculty, and staff campus wide increasing useable space by 5%.
 - a. *Designed and installed sidewalks to provide easier access to the South end of campus.*
 - b. *Designed an interactive outdoor campus model to maximize the use of outdoor spaces.*

- c. *Constructed a portion of the interactive outdoor model adjacent to the SDC (Oak Grove).*
4. We continue to socialize and work with two developers to build an innovation district and research park around the campus that stimulates the Polk County high-tech economy and creates an ecosystem that attracts students from across the state.
 - a. *We helped several developers assess the surrounding property and are now working closely with a favorable one that is doing due diligence with Williams for all the property.*
 - b. *We continue to publicly advocate that warehousing developments should be built outside the innovation district and have worked with city and county officials to locate them other places.*
 - c. *We are working to create a Research Development Authority (RDA) to help with the creation of the park. Obtained BOT approval of a resolution to partner with the RDA and completed drafts of a county resolution and ordinance for that RDA.*

(AFFORDABILITY) MAXIMIZE VALUE FOR THE STUDENT

Goal 13: Create a strong student user experience

1. To improve student services and foster better decisions, the Registrars Office validated transfer credit for 95% of our students and manually reviewed the academic standing of all students.
 - a. *7% of the 17,546 records needed a second review and only 26 records required a manual cleanup after IT conversion.*
2. We built an innovation support software system, the Phoenix Nest, that allows us to offer a world class student innovator experience at Florida Poly with higher outcomes and at 1/10th the cost of comparable universities.
 - a. *We have over 440+ students on the software currently, around 1/3rd of our student body. Most universities struggle to engage 1% of their students with entrepreneurial support.*
 - b. *In September 2019, we were a finalist for the "Exceptional Activities in Entrepreneurship Across Disciplines" award at the Global Consortium for Entrepreneur Centers (GCEC). Other finalists were Texas A&M, Penn State, Harvard, and Florida State.*
3. A strong student experience includes a student being healthy and able to participate on campus. In 2019-2020, we grew our mental health offerings by 50%.
 - a. *Access to clinical support grew by 50%: Three additional licensed counselors are available on campus offering students a range of clinical expertise to support their well-being.*
 - b. *Access to mental health education grew by 50%: Four new workshops focused on the healthy individual were offered to students that address depression, mindfulness, suicide awareness and mental health first aid.*
 - c. *Developed a Student Support Request Form and process where students can digitally "raise their hand" and they will be contacted by the CARE team to help the student problem solve.*

4. We successfully negotiated to take over Residential Life in October 2019, resulting in a 100% increase in University efforts to create a strong user experience in the residence hall.
 - a. *We hired an Assistant Director of Residential Life and Resident Assistants.*
 - b. *In January we conducted an extensive Residential Assistant training to ensure the campus safety net was fully established.*

Goal 14: Concentrate spending on academic programs

1. The COVID-19 crisis presented near-term challenges to us as a campus.
 - a. *We assembled an Emergency Management Team early in the process that met regularly throughout the crisis to make decisions that affected both students and employees.*
 - b. *We followed BOG guidance in creating a 2-week remote instruction period and then extending that through the spring and now the summer. We worked with students to encourage them to return home and locked down the IST. We canceled all events and worked with both Vestcor (dorms) and Chartwells (food) to provide refunds to those students that left campus. We developed new grading and admissions policies and continue to respond to the changing landscape.*
 - c. *We developed and implemented a phased plan for qualified employees to work remotely.*
2. In anticipation of future funding cuts in a troubled economy, we developed a financial resiliency plan that included short-term austerity actions and longer-term resilience measures.
 - a. *Short term austerity measures included hiring, procurement and travel freezes, and a review of all contracts.*
 - b. *Longer-term measures were tied to three potential recovery models and used guiding principles around preserving liquidity, protecting and growing the academic enterprise, increasing revenues and investing in University Advancement.*
3. Enterprise Systems leveraged the use of existing and new technologies to make our administrative operations more efficient and cost effective.
 - a. *Completed approximately 318 business process changes.*
 - b. *Voting members of the Workday Operations team reviewed, vetted and approved approximately 20 change managements.*
 - c. *Developed 108 new Workday reports to improve automation of reporting.*
 - d. *Acquired new functionality, e.g. Workday Student and Adaptive Insights budget planning and forecasting.*
 - e. *Created new processes, e.g. Special Administrative and push-button Monthly Budget to Actuals.*
4. Enterprise Systems provided employee education through training, workshops and conferences.
 - a. *Approved 183 Workday training events provided by Workday Education.*
 - b. *Funded 7 staff to attend the Workday Rising Conference in Orlando and 2 staff attended the Adaptive Insights Regional User Group meeting in Tampa.*

5. Enterprise Systems ensured efficient and effective use of the ERP and a satisfactory experience.
 - a. *Maintained and upgraded Workday to facilitate the processing and standardization of 70,411 common financial transactions, 2,726 HCM transactions; 7,324 payroll transactions.*
 - b. *Resolved 62% of the Workday Support Tickets logged in one day or less than 24 hours.*
 - c. *Moved manual or paper processes into Workday by activating or up-taking 30% more of Workday functionality and new features.*

6. To provide key stakeholders more efficient/valuable information for decision making, the Finance and Accounting team created push button dash boards to deliver relevant financial information.
 - a. *Reduced the period close time from 7 to 5 days to provide timely reporting.*

7. We performed a comprehensive review of the Foundation's business processes and decided to migrate to a more effective CRM platform and to move our accounting and finance responsibilities so we provide a truly independent and autonomous relationship between the University and the Foundation.
 - a. *Previously, the Foundation had seven different software programs integrated into the University's existing CRM platform producing what Blackbaud provides in one CRM solution. This move provided a budget savings of 7%.*
 - b. *We performed an in-depth analysis of our current banking and investment relationships and moved our essential services to provide a savings of over \$20,000 annually beginning next fiscal year.*

8. We completed several initiatives that address BOG reporting requirements for Performance Based Funding, corrected internal processes and began conversion to a new Student Information System.
 - a. *Completed Enrollment and Degree Verify reporting.*
 - b. *Excess Hour calculations were validated by ensuring that 100% of currently enrolled students have correct high school graduation dates and FTIC enrollment dates.*
 - c. *Created real-time access for excess hours for 100% of the undergraduate students.*

9. To improve university processes, we launched a Lean Six Sigma program that provides professional development opportunities for our employees while improving our internal processes.
 - a. *To date, 32 employees have taken the training with 15 completing their yellow belt certification.*
 - b. *Five employees are currently completing a lean yellow belt course and six employees are completing a green belt six sigma course.*

10. In an effort to simplify processes for students and employees, the University implemented new software management programs that automate and streamline processes.
 - a. *Parking management software, NuPark.*

- b. *ID Card management software, Atrium.*
- c. *Package Tracking software, Hermes (developed by Florida Poly students).*

11. As Barnes and Nobles planned to close their on-campus bookstore in June, we looked at proposals from both Barnes and Nobles and Follett to determine how to best address the needs moving forward. A decision was made to contract with Follett to provide an online store to sell textbooks, apparel, spirit items and supplies.

Goal 15: Continue advocacy efforts to support University growth and reputation

1. We conducted an economic impact analysis for Florida Poly that measured the impact of the institution's programs and activities. This study found that last year we had a total \$290M impact with \$160M in GDP growth and \$96M in labor income.
2. To increase legislative advocacy efforts, we met with 18 current and future state leaders including Congressman Spano and Governor DeSantis' Chief of Staff.
 - a. *Held legislative advocacy retreat with contracted lobbyists and university staff to identify key influencers and map our 2020 priorities and strategy.*
 - b. *Developed legislative funding requests through the Board of Governors for the Applied Research Center and the Universities of Distinction.*
 - c. *Held weekly phone calls with contract lobbyists regarding execution of strategy.*
 - d. *Coordinated with University Relations to send weekly Capitol Updates during legislative session (good news/accomplishment articles).*
3. To build our brand in Tallahassee we held 23 separate meetings with key stakeholders
 - a. *Met with staff members of the Board of Governors, House, Senate and Governor's office.*
 - b. *Had several meetings with BOG Chair Syd Kitson to discuss strategic issues around Florida Poly and Performance Based Funding.*
 - c. *Identified and engaged community and industry partners to advocate for priorities.*
 - d. *Strengthened the relationship with the Florida Chamber of Commerce which resulted in video broadcasts of Dr. Avent on the state of the University and Dr. Razdan on the progress at AMI and regular sharing of Florida Poly items on the Chamber's social media.*
4. Early February the House introduced a bill to merge Florida Polytechnic into the University of Florida. The public motivation for this was threefold: Our costs per degree, our administrative overhead and the cost of building out the campus. We worked with our lobbying team to launch a positive campaign that raised legislative awareness of the impact Florida Poly was having the bill was postponed.
 - a. *We worked with our lobbying team to develop a strategic priority list of meetings, communications and other outreach efforts.*
 - b. *We conducted an internal analysis of each of the three issues and found that the House numbers all lacked important context. We developed a tight story on our differentiated value, what we add to the system and what was at risk with a merger. We used these*

facts to make public statements at both the House Education Policy committee and the House Education Appropriations Committee.

- c. We worked through our media consultants to place positive stories about Florida Poly in important political press publications.*
 - d. We responded to TaxWatch and shared our data with them as they conducted an independent analysis of the costs of the merger. They ultimately published two articles on their analysis.*
 - e. As a leadership bill, we presumed it would pass in the House, so we first focused our efforts on the Senate, meeting and briefing every senator. We later turned our efforts towards the House where we met and briefed key House members.*
 - f. The bill was withdrawn*
5. We developed a plan for reducing the likelihood of future bills that propose to merge or close the University. The plan is based on lessons learned this session and includes continuing to build our strategic network, sharing a campus growth plan with key legislators, calculating administrative costs so they are consistent with others and communicating the true cost of STEM degrees.
6. We established a Foundation goal of \$2.5M in net production for FY2020, which is a 350% increase over FY2019. To date, the net production total is **\$838K** surpassing last year's total and on target for our goal.
 - a. Completed our first annual fund, year-end campaign for alumni, community and faculty/staff. The total raised was ~\$51k.*
 - b. We created a pipeline report tracking all solicitations on gifts we expect to book for fiscal year 2020. The current pipeline projection indicates we have pending solicitations totaling **\$5,300,000** to date.*
 - c. Communicated expectations for frontline fundraisers key performance indicators (kpi) and updated job descriptions to reflect the new metrics expectations. **Thus far, we have made 665 contact reports, which is a 52% increase over last year at this same time.***
7. We created a comprehensive professional development program providing access to cloud-based training in fundraising. Since November 2019, the Advancement team has completed:
 - a. **20** webinars, **19** trainings in progress and **18** white papers reviewed.*
 - b. The training program has 1,924 course/resources available for the Advancement team's professional development.*
 - c. Advancement team is actively participating in Blackbaud University for training and professional development. They completed over 100 hours of training including database management, prospect research, and data analytics utilizing the Blackbaud CRM software.*
8. We established the Florida Polytechnic University Alumni Association providing a formal platform for our alumni to engage with the University, network with other alumni, give back to support Florida Poly and assist fellow alumni as they enter the workforce.
 - a. Seniors graduating are participating at a rate of 43% in support of Florida Poly. The Alumni Association will assist with continued communicating great news about the University,*

fellow alumni and important opportunities to support Florida Poly and maintain a strong retention rate.

- b. Completed the first alumni survey with a good participation rate (37%) providing us with key statistics on employment, income and degree satisfaction. Of those responding to the survey, 17% made between \$50-60K, 21% between \$60-70K and 21% between \$70K-80K.*
9. To promote Florida Poly's brand and reputation we increased our media exposure by 2% and ensured the President and University appeared (via earned media) in at least 3 state-wide publications.

 - a. We proactively send a minimum of one press release per week to a large target market of diverse media outlets with the intent that 50% of them get picked up. We also strategically place high-interest stories on the PR Web and monitor and track media analytics.*
 - b. Identified and capitalized on opportunities to feature the University and President in regional and state-wide publications such as magazines, podcasts, and media interviews. Outlets include: Florida Business Journal, Florida Trend, Florida Chamber of Commerce, Invest TampaBay, and Fluent in Floridian.*
10. To grow brand recognition and awareness of Florida Poly, we increased our social media reach across all University channels by 3% (University channels: Facebook, LinkedIn, Twitter, Instagram, YouTube, GIPHY). We also increased the President's social media presence by 3%. (President's channels: Instagram and Twitter)

 - a. Implemented an organic and paid strategy to support the University's strategic plan, historical milestones, and culture.*
 - b. Created platform-specific content to increase engagement and awareness.*
 - c. Implemented and trained 13 students to "takeover" the University's Instagram Stories to show our audiences what their life is like as a student at Florida Poly.*
 - d. Strategically produced over 35+ videos that showcase the University's culture, student life, and historical milestones.*
11. To improve our existing web content and support the communication goals of the University, we increased the number of new web pages by over 50% (from 2,900 to over 4,300 pages of relevant content) and we planned to launch a new website in April of 2020.

 - a. Website launch has been postponed indefinitely because of COVID-19.*
12. To drive traffic to our website and increase awareness, we increased SEO (Search Engine Optimization) by over 5% or 175,000 new users and have increased new users of the Florida Poly Mobile app by 10%.

 - a. Developed and positioned content for each specific social media channel through meeting user expectations and behavior for each platform that drives traffic to the websites. As a result, we saw a +16.4 % increase in website sessions originating from the University's social platforms over last year.*
 - b. Launched a statewide digital advertising campaign that drives traffic to the website (from platforms such as: social media advertising; Google Ads; Florida Trend; Tampa Bay*

Business Journal; Chronicle of Higher Education; Florida Politics; Channel 8 weather cam; NPR; and WAZE).

- c. *Continued implementation of our campaign to increase usage of the University's mobile app.*
4. In building our international reach and reputation, we hosted two important international government officials:
 - a. *Florida Poly hosted her Excellency Dr. Gale T.C. Rigobert; Minister of Education, Innovation, Gender Relations and Sustainable Development, Saint Lucia.*
 - b. *Florida Poly hosted her Excellency Ms. Alejandrina Germán; Minister of Higher Education, Science & Technology, Dominican Republic.*
5. We continue to grow our Fulbright program through several engagements.
 - a. *Florida Poly hosted Dr. Michael Hawes, CEO President Fulbright Canada and Erica Lutes, Chairwoman for Fulbright Schuman Europe, Belgium & Luxembourg.*
 - d. *Florida Poly faculty Dr. Sessa S. Srinivasan was nominated for a 2020 – 2021 Fulbright Specialist award.*
 - e. *Florida Poly undergraduate student Mr. Gage Roper was nominated for the 2020-2021 Killam Fellow award, bringing our total number of Killam Fellows to four.*

Goal 16: Ensure a highly effective organization

1. Human Resources improved campus-wide morale by adding an Employee Relations Specialist who has had **216** meetings with employees for advice and consultation on employee relations issues, eliminating the need for further action.
2. To improve campus-wide camaraderie and awareness of opportunities, Human Resources expanded 5 employee events and improved methods for collecting measurable data.
 - a. *Expanded orientation (added a Segment II) for all new employees and added an evaluation to collect awareness and satisfaction data. 85% of all new employees have attended both Segment I and Segment II orientations. 100% of those attending rate the sessions "good" or above.*
 - b. *Developed and implemented "stay-interviews" for current employees to capture retention data and prevent unnecessary turnover.*
 - c. *Revamped "exit interviews" to be administered on-line with metrics that can now be measured and analyzed.*
 - d. *Improved annual Florida Poly Perks event and Open Enrollment Fair and participated in developing Diversity Fest and Ablaze events for employee awareness and engagement.*
 - e. *Enhanced the diverse, campus-wide Employee Activities Committee (EAC) which plans and implements monthly activities and special events for all employees.*
3. To promote a more effective organization, Human Resources offered a comprehensive training program for employees that included 12 new professional development sessions for Fall 2019, 5

higher level management/supervisory sessions to date for Spring 2020, the addition of Kognito Mental Health training as initiated by BOG, and continuation of Six Sigma training.

- a. Sessions for Fall 2019 resulted in 113 total attendees (average 9.42), who ranked the sessions a 4.88 out of a 5.0 satisfaction score.*
4. Human Resources promoted the hiring and retention of quality employees and worked with hiring managers to facilitate 184 new hires (including student workers), 28 promotions, and 40 terminations.
 - a. Worked with hiring managers and supervisors in fiscal year 2020 to create 23 new positions and facilitate 184 new hires (17 faculty, 23 staff, & 144 students), 28 promotions (1 faculty & 27 staff), 40 terminations, voluntary and involuntary (20 faculty & 20 staff)*
 - b. Led successful campus-wide searches which resulted in hiring key positions including Chief of Police, AVP/Controller, and AVP/HR.*
5. To improve our Title IX program, we increased our online report services by 40%, conducted two formal investigations for sexual misconduct and two formal investigations for discrimination. We increased online training efforts by 50% and conducted 11 ongoing educational programs regarding sex, consent, sexual misconduct and healthy relationships.
 - a. Developed a process and incident report form for Residential Life and Academic Integrity.*
 - b. Created Title IX refresher course for employees.*
 - c. Placed mandatory requirements of Title IX training for all new incoming students.*
5. To improve our American Disability Act (ADA) program, we increased the number of American Sign Language (ASL) providers and services by 75% to include on-site interpreting and video remote interpreting, completed a self-evaluation on best practices and compliance, and developed a golf cart transportation service.
 - a. Completed four tours with employees that examined facilities, classroom accessibility and website.*
 - b. Conducted focus groups for both students and employees.*
 - c. Provided opportunity for online submissions.*
 - d. Worked with student affairs to secure student workers to drive golf cart when needed.*
6. Audit and Compliance increased their reports by 28.5% and administered an effective compliance and ethics program to promote a culture of ethics, compliance, risk mitigation and accountability.
 - a. Investigated and reported on two reports related to UFF grievances and one report of discrimination issued jointly with Title IX.*
 - b. Processed 13 allegations and reported to the Audit & Compliance committee.*
 - c. Performed ethics trainings with one workshop and two employee orientations.*

11. Successfully completed the first reopener negotiation for the Collective Bargaining Agreement with United Faculty of Florida - Florida Poly Chapter.
 - a. *Negotiated the amendment of 3 Articles (Salaries, Leaves, Performance Evaluations) and made technical corrections to 17 of the 28 Articles and 3 of the 4 Appendices.*
 - b. *Amended CBA unanimously ratified by Executive Committee of BOT; UFF-Poly Chapter voted 24-2 in favor of ratification.*
 - c. *Began preparations for reopener negotiation commencing in February 2020 and full book renegotiation commencing in FY20-21.*

12. Provided trainings to the University community.
 - a. *Participated in four trainings on the Student Code of Conduct for hearing bodies, resident assistants, and student affairs.*
 - b. *Conducted five trainings on public records and sunshine law, including the orientation video for the BOT.*
 - c. *Facilitated a training on the rights and obligations under CBA for department chairs.*
 - d. *Facilitated webinar training on Navigating the Legal Issues of Residence Hall Life.*
 - e. *Facilitated Safe Zone training for the diversity committee and student affairs.*

13. Completed legal review of over 50 contracts.
 - a. *30 contracts/amendments of contracts. This includes two Skanska GMPs.*
 - b. *7 Contract Template Revisions.*
 - c. *8 Foundation policies/gift agreements.*
 - d. *2 Solicitations.*
 - e. *At least a half dozen MSA redlines and negotiations.*

14. We completed 67 public records requests within an average of 4.51 days of receiving the request.
 - a. *Completed public records request within an average of 2.30 days once records were received by OGC.*
 - b. *Completed two third-party subpoenas.*

15. To promote safety and security of the University we provided 10 Active Assailant classes to all Faculty, Staff and Students. We continue to offer these classes through HR onboarding to new employees, where we also provide educational safety, crime prevention, anonymous witness and see something/say something programs.

16. We conducted 29 safety programs resulting in a 96% satisfaction.
 - a. *Provide highly visible interaction with campus community.*
 - b. *Provide proactive patrols of parking lots and roads.*

17. We ensure a safe and secure campus environment by having a 9.5 minute or less response time 90% of the time. In testing we achieved a two-minute response time more than 90% of the time.
18. To promote a more efficient organization, Business Services was reorganized and rebranded into Auxiliary Enterprises. Standardized operating procedures were created and implemented to improve internal customer service.
 - a. *Implemented charge back process through Workday Internal Service Delivery allowing Auxiliaries to charge back cost centers for Auxiliary related services such as mail and copy/print.*
 - b. *Implementation of University Ticketing System as a streamlined response system for all email inquiries.*
 - c. *Created an all-encompassing Auxiliary Enterprise Service Center rather than separate locations to meet customer service needs.*

**Florida Polytechnic University
Governance Committee
Board of Trustees
May 20, 2020**

Subject: President's Employment Agreement

Proposed Committee Action

Make a recommendation to the Board of Trustees on new President's Employment Agreement to be effective July 2020.

Background Information

On February 26, 2019 the Board of Trustees approved an amendment to the President's Employment Agreement ("Agreement") with a term ending July 7, 2020. In preparation for the next renewal term, the Governance Committee requested a draft of the proposed Agreement to be presented at its February 2020 meeting. The Committee discussed the proposed Agreement which reflected revisions to the current Agreement, and the Committee requested some additional specific changes to section 5.3.1. The revised Agreement was sent to the Committee for review and comment. The redlined version indicating proposed changes to the original Agreement, further changes requested by the Committee in its last meeting, and one further clarification to 5.3.1 is provided as a supporting document. A clean copy of the proposed new agreement is also provided. The material differences between the current agreement and new agreement are as follows:

- Clarifications were made throughout the Agreement to clarify which terms are applicable only when Dr. Avent is serving as president since there is an opportunity for him to serve in a faculty capacity during the remainder of the Presidential Appointment Term if his appointment is terminated without cause or he resigns from the position as president.
- 3.1- revises end date of Presidential Appointment Term to be July 6, 2021.
- 3.2- deletes the requirement for the Chair and President to discuss and agree upon the goals and objectives for the next fiscal year because the Governance Committee and full Board have been performing that function. Also added language to allow for the revision of the goals and objectives during the fiscal year.
- 3.3- deletes the use of a consultant to perform a 360-degree review of the President and his administration- such will be determined by the Board on an as-needed basis and provided in the Policy on Annual Review of the President. In light of proposed calendar changes as to timing of the annual review, took out the dates of "September 30" of each year to allow flexibility in the timing of the review.
- 4.1- revised to reflect President's current base salary.
- 5.2- deleted language related to relocation reimbursement as it is no longer necessary.
- 5.3 and 5.3.2- deleted language related to accreditation bonus, as it is no longer necessary.
- 5.3.1- revised Performance Compensation to state that if the President receives an evaluation of "Achieves" or higher, he will receive not less than 20% of base salary as performance compensation. However, if he receives an overall evaluation of "Exceeds" or higher, his performance compensation will be 20%-30% of his base salary. *

- 6.2- incorporated language from previous amendment which allows for compensation exceeding \$200,000 to be paid for out of the University's auxiliary funds.
- 7.2- added language which allows the Supplemental Retirement Benefit to be paid for out of the University's auxiliary funds, if permitted.
- 8.1- revised to reflect the purchase of the University's Presidential Home and deleted the language that is no longer necessary.
- 9.1- revised to reflect the current practice of providing a flat monthly automobile allowance versus the leasing of an automobile and reimbursement of insurance and other costs. Also provides that the University will reimburse the cost of renting a vehicle when the President rents a vehicle for traveling long distances on University business.
- 11.1- provides that the President will submit information for reimbursement to the University controller rather than the Board, to reflect current practice.
- 14.1- allows for the President to remain as a professor for the remainder of the Presidential Appointment Term if he resigns his position as president.
- 17.0 - updated addresses for Board and General Counsel.
- 28.2- included the General Cooperation Covenant as required by the Board of Governors.

*further clarified based on comments received after the revised Agreement was sent to the committee for review

Supporting Documentation:

1. Draft President's Employment Agreement - redlined changes
2. Draft President's Employment Agreement - clean

Prepared by: Gina Delulio, VP and General Counsel

PRESIDENT'S EMPLOYMENT AGREEMENT

This President's Employment Agreement (the "Agreement") is entered into by the **Florida Polytechnic University Board of Trustees** ("the Board" or "the Board of Trustees"), a public body corporate of the State of Florida, on behalf of Florida Polytechnic University ("University"), and **Dr. Randy K. Avent** ("President").

Background

WHEREAS, the Board, acting on behalf of Florida Polytechnic University (the "University"), has the authority to select and employ the President of the University; and

WHEREAS, the Board previously ~~has~~ selected Dr. Randy Avent to serve as President of the University, subject to confirmation of the Board of Governors; and

WHEREAS, the Board wishes to continue to employ Dr. Randy Avent as the University's President, and Dr. Randy Avent wishes to serve as President and be a University employee, subject to the terms and conditions of this Agreement; ~~and~~

~~WHEREAS, all prior acts of the Board and its Presidential Search Committee were confirmed by the Board;~~

NOW, THEREFORE, in consideration of mutual promises and other good and valuable consideration, the receipt and sufficiency of which is acknowledged by the parties, the parties agree to this Agreement as follows:

1.0 Powers and Duties of President While Serving as President

1.1 The President reports to the Board and is the Corporate Secretary of the Board and the Chief Executive Officer of the University, subject to the supervision of the Board, the laws of Florida, and the rules, regulations, and policies of the Board, the University and the Board of Governors. During the Presidential Appointment Term (as defined in section 3.1 below), the President ~~shall have~~has the powers and duties reserved to the position of president by the Florida Statutes and the University regulations and other actions of the Board (collectively "Duties"), as they presently exist or may hereafter be amended. The President and the Board acknowledge and agree that the Duties hereunder are and shall be consistent with those customary for the position of a university president, including, but not limited to educational leadership, faculty relations, budgeting, long-range planning, fundraising, public relations, student services, recruitment of personnel, appointment, promotion and dismissal of all faculty and staff members, as well as any such additional duties commensurate with such position as may be specified from time-to-time by the Board. The President ~~shall have~~has the full power and authority to direct the operation and management of the University, subject to the direction, control and instructions of the Board.

2.0 Best Efforts While Serving as President

- 2.1 During the Presidential Appointment Term, the President will diligently devote his full professional time, ability, and attention to the day-to-day operations of the University, including without limitation, all administrative, executive and academic functions.
- 2.2 During the Presidential Appointment Term, the President's expenditure of reasonable amounts of time for personal or outside business, as well as non-University related charitable and professional development activities, shall not be deemed a breach of this Agreement, provided such activities do not interfere with the services required to be rendered to the University under the provisions of this Agreement, Part III of Chapter 112 of the Florida Statutes: Code of Ethics for Public Officers and Employees, and applicable regulations or policies of the Board of Trustees or University.
- 2.3 The President shall not knowingly engage in any activity that may be competitive with or adverse to the best interests of the Board of Trustees or the University.
- 2.4 During the Presidential Appointment Term, the President shall seek approval from the Board prior to agreeing to serve on any boards of directors or engaging in outside employment, business or professional activities subject to the provisions of University regulation or policy. Any and all income or other compensation earned by the President in connection with approved non-University outside activities shall be paid to and retained by him, and such income or other compensation shall have no effect on the amount of salary, compensation, or benefits he is otherwise entitled to receive under this Agreement.
- 2.5 During the Presidential Appointment Term, the President shall perform the duties of ~~President~~ president for all existing and future campuses of the University, and for and at such other place or places as the Board deems appropriate for the interests, needs, business, or goals of the University.

3.0 Presidential Appointment Term; Evaluation; Renewal

- 3.1 Presidential Appointment Term. The appointment as President ("Presidential Appointment Term") ~~shall be for a term of five (5) years, commencing commenced~~ on July 7, 2014 and ~~ending ends~~ on ~~June 30, 2019~~ July 6, 2021. ~~This appointment and the Agreement are~~ renewable by mutual written consent of the parties. This appointment and this Agreement is subject to prior termination as provided for in this Agreement, and by the applicable laws of the State of Florida, the regulations and policies of the Board of Trustees, the University, and the Florida Board of Governors.

- 3.2 ~~Goals and Objectives While Serving as President. On or before October 1, 2014 for fiscal year 2014-2015, and on or b~~Before June 1 of each year, ~~thereafter,~~ the President ~~shall will~~ provide the Chair of the Board of Trustees (“Chair”) with a list of proposed goals and objectives for the ~~next upcoming~~ fiscal year. The proposed goals and objectives shall be related to, and in furtherance of, the University’s strategic plan goals, work plan and accountability report, and the Board of Governors’ strategic plan and performance funding model , and other priorities as established by the Board of Trustees or the Board of Governors. ~~The Chair and the President shall discuss and agree upon the goals and objectives for the next fiscal year.~~ The goals and objectives ~~shall then are~~ be presented to the Board for discussion and approval. ~~The Board and the President may agree to revise the goals and objectives as necessary during the fiscal year.~~
- 3.3 ~~Annual Evaluation While Serving as President. On or before April 1, 2015, and on or before April 1 each year thereafter w~~While the President is employed as ~~President president~~, the President shall initiate the evaluation process for the ~~prior~~ fiscal year ending June 30 of such year by preparing a self-appraisal of his performance for submission to the Chair and evaluation by the Board, its designee, or both, in accordance with ~~directives,~~ policies and procedures established by the Board as the Board may deem appropriate. The President ~~agrees to will~~ furnish any additional information requested by the Chair to aid the Board in its annual performance review of the President. ~~For the self-appraisal that will be delivered by the President on or before May 1, the Chair, in consultation with the President, will select a consultant who will perform a 360 degree review of the President and his administration’s performance. The consultant’s 360 degree review will be provided to the Board and the President and considered in its annual evaluation of the President for that year.~~ Pursuant to Board of Governors Regulations, the Chair ~~shall will~~ solicit input from the Chair of the Board of Governors during the evaluation process. The Board ~~shall will~~ complete the annual evaluation and make any compensation award under Section 5.3 ~~no later than September 30 of each year, commencing September 15, 2015.~~

4.0 Salary

- 4.1 Base Salary. As compensation for all services rendered by the President as ~~President president~~ pursuant to this Agreement, the University will pay the President according to the pay plan for Executive Service employees, an ~~initial~~ annual base salary of ~~Three Hundred Eighty five Thousand Dollars~~ ~~Four Hundred forty-one thousand seven hundred ninety-seven dollars~~ (\$385,000 ~~441,797~~) ~~as of July 7, 2020~~ (“Presidential Base Salary), of which a maximum of Two Hundred Thousand Dollars (\$200,000) can be paid for with state funds. This amount shall be paid in accordance with the

University's standard payroll practices, with appropriate deductions for taxes and benefits. ~~In addition to the Base Salary, the President shall receive a one-time payment of Thirty-eight Thousand Five hundred Dollars (\$38,500) to be paid within thirty (30) days of commencement of the Presidential Appointment Term.~~ The President shall be responsible for any income tax liability incurred as a result of this Agreement.

- 4.2 Increase to Presidential Base Salary During Annual Evaluation. Effective with the Board's evaluation of the President's performance for the July 1, ~~2014-2019~~ to June 30, ~~2015-2020~~ fiscal year and continuing each year thereafter while he serves as President~~president~~, the President's salary shall be reviewed annually for increase by the Board in conjunction with the Board's evaluation of job performance, as set forth in Section 3.3 of this Agreement. The President shall each year ~~following the first year~~ also be eligible for any salary increase generally applicable to University employees in his employment classification, but in no event shall the Base Salary increase be less than Three and One-Half Percent (3.5%) of the prior year's Base Salary.

5.0 Other Compensation While Serving as President

- 5.1 Insurance, Annual and Sick Leave. While serving as president ~~During~~ the Presidential Appointment Term, the President shall receive leave and other usual and customary benefits equal to those provided to Florida Polytechnic University Executive Service employees, except as provided in this Agreement.
- 5.2 ~~Intentionally Deleted. Relocation Reimbursement. Payable during the first two annual terms of the President's employment under this Agreement, the President shall be eligible to receive reimbursement of up to Thirty Thousand Dollars (\$30,000) for moving, relocation and travel expenses incurred by the President and his family in connection with travel to and from the Lakeland area, locating and securing appropriate housing, moving and storage of personal property, and other associated expenses for moving from his current home to the Lakeland area.~~
- 5.3 Effective with the Board's evaluation of the President's performance for the July 1, ~~2014-2019~~ – June 30, ~~2015-2020~~ fiscal year and continuing each year thereafter while he serves as President~~president~~, the President shall be eligible for performance compensation; ~~and he shall also be entitled to an accreditation bonus~~, as follows:
- 5.3.1 Performance Compensation. The President shall be eligible for performance compensation ~~of up to Twenty Percent (20%) as a percent~~ of his annual base salary then in effect. However, if the President receives an overall evaluation of "Achieved" or higher from

the Board in his annual evaluation, the amount shall be not less than Twenty Percent (20%); ~~if the President receives an overall evaluation of "Exceeded" or higher from the Board in his annual evaluation, the amount may be up to increased, not to exceed~~ Thirty Percent (30%) of the annual base salary. The award of performance compensation ~~is discretionary and~~ shall be awarded based on the Board's assessment, in its sole and absolute discretion, of the President's performance as President during the fiscal year under review. ~~The Board may award any amount of performance compensation from zero to the maximum identified above.~~ In making its determination, the Board shall consider the President's achievement of the annual goals and objectives set pursuant to Section 3.2, the evaluation results pursuant to Section 3.3, and/or other criteria set by the Board prior to the start of the evaluation period and provided to the President in writing. The President shall receive such award if he remains as President through the end of a fiscal year for which performance is determined even though the award is determined later. Any performance compensation awarded shall be paid to the President within 90 days of the date on which it is awarded.

- 5.3.2 ~~Intentionally Deleted. Accreditation Bonus. Within thirty (30) days of the University receiving final confirmation that the University has received its accreditation from the Southern Association of Colleges and Schools, the President shall be paid a bonus of Fifty Thousand Dollars (\$50,000).~~

6.0 Annual Appropriation and Source of Funding

- 6.1 The performance of the University of any of its obligations under this contract shall be subject to and contingent upon the availability of funds appropriated by the legislature for the current and future periods.
- 6.2 While the President is serving as president ~~During~~ the term of this Agreement and contingent upon the availability of funds, the Board shall not be responsible for, but authorizes this compensation arrangement and shall use its best efforts to cause the Florida Polytechnic University Foundation, Inc. ("Foundation") to contribute to the University the portions of all payments provided for in this Agreement that exceed the limits set forth in Florida Statutes Section 1012.975. The Board further authorizes the use of the University's auxiliary funds to pay for the President's compensation which exceeds the limits set forth in the statute.

7.0 Other Benefits

- 7.1 The President ~~shall be~~ eligible for all applicable State of Florida and University developed benefits and perquisite programs as authorized by the legislature or other authorized governing bodies. The Board further agrees that while serving as president, the President ~~shall be~~ entitled, at all times, to the state sponsored life insurance benefits applicable to Executive Service personnel.
- 7.2 Supplemental Retirement Benefit. During each year of the Presidential Appointment Term, and while serving as president, the President will receive and reserve on a quarterly basis, in addition to his base salary, fifteen percent (15%) of the President's annual base salary which shall be used to establish a supplemental retirement benefit in a form reasonably acceptable to the President, such as an annuity or other tax deferred product to supplement his retirement. The FPU Foundation will contribute the sum required to fund this retirement benefit or, if permitted, the sum will be paid, in whole or in part, with University auxiliary funds.
- 7.3 Business/Travel Expenses. During the Presidential Appointment Term and while serving as President, the University ~~shall will~~ cover the cost of the President's reasonable business expenses, including professional dues, meetings, business travel, and entertainment. In addition, when the President's spouse travels with him on University-related business while he is serving as President, the FPU Foundation shall cover the cost of her reasonable travel expenses for travel serving a bona fide business purpose. Funding for spouse travel is only authorized in conjunction with the President's travel outside of the University service area.

8.0 Housing

- 8.1 The University deems it to be in its best interest that the President, while serving as President, ~~is maintain a residence in the Lakeland area in which he is~~ required to reside as a condition of his employment, in the University's Presidential Home, and to the extent reasonable, to use his the residence in the performance of his duties hereunder including, but not limited to receptions and meetings benefiting the University. The University is responsible for providing ~~During the first year of the Presidential Appointment Term, pursuant to an arrangement agreed upon between the President and the Chair, the University will cooperate with the President to provide a suitable interim residence for the President, including utilities, maintenance, service fees, internet and television service~~ for the Presidential Home, ~~with a total cost to the University not to exceed Two Thousand Five Hundred Dollars (\$2,500) per month. During this first year, the President and the University agree to work cooperatively to arrange for a permanent residence for the President to be provided by the University and in which the President shall be required to reside as a condition of his~~

~~employment. The parties acknowledge that the arrangement provided herein during the first year may temporarily continue beyond the first term until the permanent residence is available.~~

9.0 Automobile

9.1 During the Presidential Appointment Term and while serving as ~~President~~president, the University or the FPU Foundation will provide a flat monthly automobile allowance in the amount of \$850. The allowance will cover all automobile related expenses including, but not limited to, gas, maintenance, and repairs. full-sized automobile acceptable to the President for the President's University business related and other use, with a new vehicle being provided not less than every three (3) years. The University will reimburse the President when he rents a vehicle for purposes of traveling long distance for University business.

10.0 Professional Dues, Meeting and Entertainment

10.1 During the Presidential Appointment Term and while serving as ~~President~~president, the Board will authorize and provide for the President's reasonable expenses related to his joining and participating in University-related social, professional or service organizations and activities. The Board may fulfill this obligation through the use of available FPU Foundation funds.

11.0 Expense Receipts and Documentation

11.1 The President agrees to maintain and furnish to the ~~Board~~Controller an accounting of reimbursable expenses and membership dues and fees provided for in this Agreement in reasonable detail and consistent with University policies, standards, and procedures and applicable State law on no less than a monthly basis, or as requested. Following the President's submission of an accounting, the University shall promptly reimburse the President for such expenses, membership dues and fees in accordance with University policies, standards and procedures and applicable State law.

12.0 Termination of the Contract for Cause

12.1 Notwithstanding anything in this Agreement to the contrary, the parties agree that, upon a vote of two thirds (2/3) of the Board of Trustees, the Board may terminate this Agreement at any time for "just cause" (as hereinafter defined).

12.2 "Just cause" shall be deemed to include, but shall not be limited to:

(i) a deliberate or material violation by the President of the Duties or his refusal or unwillingness to perform the Duties in good faith, during his full business time, or to the best of his abilities if, within thirty (30) days following the President's receipt of the written notice of what the Board considers to be the violation, the President fails to cure the same;

(ii) materially harmful neglect of essential responsibilities of the President's duties; (iii) material dishonesty or serious misconduct that adversely affects the University; (iv) the commission of any felony or of a misdemeanor involving moral turpitude; or (v) a material, significant, or repetitive breach of this Agreement.

12.3 In the event of termination for "just cause" by the Board, the President's employment with the University shall cease. The Board's obligations under this Agreement in such event shall be limited to: (a) the prorated payment of his salary through the date of termination; (b) the payment of any performance compensation or supplemental retirement benefit that is awarded and/or due, though unpaid as of the date of termination; (c) the payment of accrued and unused leave through the date of termination in accordance with University regulation; and (d) the payment of any unpaid reimbursable business/travel/relocation expenses incurred prior to the date of termination and documented by him in accordance with University procedures. The President shall not be entitled to any further employment, compensation or benefits from the University in any capacity except for benefits required to be continued by law.

13.0 Termination Without Cause

13.1 Notwithstanding anything in this Agreement to the contrary, the parties agree that upon a vote of two thirds (2/3) of the Board of Trustees, the Board may terminate the Agreement at any time prior to its term expiration without cause, provided that the President is given thirty (30) days prior written notice of this issue coming before the University's Board of Trustees. Upon receiving notice from the Board, the President may waive any portion or the entire notice period at his discretion and terminate earlier.

13.2 The President may terminate the Agreement at any time prior to its term expiration without cause, provided that the President gives ninety (90) days prior written notice to the Board of Trustees. Upon receiving notice from the President, the Chair may waive any portion or the entire notice period at his/her discretion and terminate earlier.

14.0 Professorial Appointment

- 14.1 If the President is terminated without cause or resigns from his position as president and chooses to join the teaching faculty of the University upon conclusion of his presidency, he will be eligible for sabbatical leave of one calendar year commencing immediately after his employment as president ends and prior to joining the University's faculty. Prior to beginning any sabbatical leave, he will have committed to fill a faculty position at the rank of "Full Professor" or other mutually agreeable faculty position. Upon conclusion of the sabbatical, if taken, President's teaching, research, and service responsibilities will be substantially equivalent to similarly situated faculty positions.
- 14.2 During this first year post-presidency, the President's initial 12 month base salary, whether on sabbatical leave or serving as Professor ("initial base salary as a Professor"), will be 90% of his final annual base salary as President, not to include any deferred compensation or performance incentive payment. During his second year post-presidency and for the balance of the Presidential Appointment Term, his 12 month base salary as a Professor will be 90% of his initial base salary as a Professor, and he will be eligible for any salary increments provided to regular, full-time faculty members. Usual faculty and administrative processes will determine such salary increments. While on sabbatical, if any, and while serving as a Professor, he shall receive leave and other usual and customary benefits equal to those provided to University Faculty members.

15.0 Termination due to Resignation, Death or Disability

- 15.1 Notwithstanding anything in this Agreement to the contrary, this Agreement shall terminate upon the President's resignation from employment at the University, death, or "permanent disability" (as hereinafter defined). Such termination shall be deemed to have occurred for "just cause" and the President's employment with the University shall cease, and he shall not be entitled to any further employment, compensation or benefits from the University in any capacity except for compensation as provided in Section 12.3 and for benefits required to be continued by law. For purposes of this Agreement, "permanent disability" shall be defined as the President's inability to perform the applicable job duties for a minimum of six (6) continuous months.
- 15.2 In the event of the President's death during the term of this Agreement, his spouse or, if none, his estate, shall receive all accrued benefits as of the date of his death to the extent permitted by law.

16.0 Non-binding Mediation

16.1 The Board and the President agree that if any dispute arises concerning this Agreement, they will first attempt in good faith to resolve the dispute to their mutual satisfaction. If they are unable to do so, the Board and the President agree that they will submit the dispute to non-binding mediation in Lakeland, Florida, in accordance with the Employment Arbitration Rules and Mediation Procedures of the American Arbitration Association then in effect. The Board and the President will use their best efforts, to the extent permitted under Florida law, to keep any disputes and any efforts to resolve disputes confidential, informing only their respective legal counsel and other persons determined in good faith to have a need to know. To the extent permitted under Florida law, they will use their best efforts to ensure that such persons do not further disclose any such information. The Board and the President agree that no mediator or arbitrator may have any material ongoing relationship with the University.

17.0 Notice

17.1 Unless and until changed by a party giving written notice to the other, the addresses below shall be the addresses to which all notices required or allowed by this Agreement shall be sent:

If to the Board:

Chairperson
Florida Polytechnic University Board of Trustees
Florida Polytechnic University
~~439 S. Florida Avenue~~
~~Suite 3004700 Research Way~~
Lakeland, Florida ~~33801-33805-8531~~

With a copy to:

General Counsel
Florida Polytechnic University

~~4700 Research Way~~
~~Lakeland, Florida 33805-8531~~ ~~439 S. Florida Avenue~~
~~Suite 300~~
~~Lakeland, Florida 33801~~

If to the President:

18.0 Entire Agreement: Modification

18.1 This Agreement constitutes the entire understanding of the parties and supersedes any and all prior or contemporaneous representations or Agreements, whether written or oral, between the parties. There are no other promises, understandings, obligations, inducements, or considerations between the parties or owed by either party to the other that are not set forth in this Agreement.

18.2 This Agreement cannot be changed or modified unless accomplished in writing and signed by the parties.

19.0 Severability

19.1 The terms of this Agreement are severable, meaning that if any term or provision is declared by a court of competent jurisdiction to be illegal, void, or unenforceable, the remainder of the provisions shall continue to be valid and enforceable to the extent possible.

20.0 Governing Law and Forum

20.1 This Agreement shall be interpreted and construed in accordance with the laws of the State of Florida, excluding choice of law rules.

20.2 Notwithstanding any other terms and conditions of this Agreement, either party may bring an action for the sole and limited purpose of enforcing the terms and conditions of this Agreement in any court of competent jurisdiction. Venue shall be in Polk County, Florida.

21.0 Understanding of the Agreement

21.1 Both parties represent that they have thoroughly read this Agreement, that they understand it to be a binding contract, that they understand each provision, term, and condition of this Agreement as well as its legal effect, and that they have signed the Agreement voluntarily and of their own free will with the intention to comply with its terms. Both parties have participated in the preparation of this Agreement. Therefore, the Agreement shall not be construed against or in favor of either party based upon which party was responsible for the drafting of the Agreement.

22.0 Public Disclosure of the Agreement

22.1 Both Parties agree and acknowledge that this Agreement is subject to the Florida public records laws and may, therefore, be subject to disclosure by and in the manner provided by law.

23.0 Waiver

23.1 No delay or failure to enforce any provision of this Agreement shall constitute a waiver or limitation of rights enforceable under this Agreement.

24.0 Assignment

24.1 This Agreement is not assignable, but shall be binding upon the heirs, administrators, personal representatives, successors, and assigns of both parties.

25.0 Execution and Counterparts

25.1 This Agreement may be executed in counterparts and by the parties on separate counterparts each of which, when so executed, shall constitute but one and the same instrument.

26.0 No Trust Fund

26.1 Nothing contained in this Agreement and no action taken pursuant to the provisions of this Agreement shall create or be construed to create a trust of any kind. To the extent that the President acquires a right to receive payments from the University, such rights shall be no greater than the right of any unsecured, general creditor of the University.

27.0 Taxes

27.1 The President understands that the services to be rendered by him under this Agreement will cause him to recognize taxable income, which is considered under the Internal Revenue Code of 1986, as amended, and applicable regulations thereunder as compensation income subject to the withholding of income tax (any social security or other employment taxes). The President hereby consents to the withholding of such taxes as are required by law. All sums payable to the President under this Agreement will be reduced by all federal, state and other withholdings and similar taxes and payments required by law.

28.0 Miscellaneous

28.1 The headings in this Agreement are for convenience only and shall not be used in construing or interpreting this Agreement. The terms "Board," "Board of Trustees" and "University," where applicable or appropriate, shall include or refer to any duly authorized board, committee, officer, or employee of said entity. Whenever the context requires, the masculine shall include the feminine and neuter, the singular shall include the plural, and conversely.

28.2 General Cooperation Covenant. Without limitation of the obligations specified in the Agreement and applicable University rules, regulations, policies and procedures, the President agrees to cooperate fully in any review or investigation involving University matters in which he may possess pertinent information. This obligations shall survive the expiration or earlier termination of this Agreement.

THEREFORE, Dr. Randy Avent, President, and Mr. Robert H. Gidel, Chair and authorized representative of the Florida Polytechnic University Board of Trustees, have executed this Agreement on the dates appearing below.

**Florida Polytechnic University Board
of Trustees**

By: Robert H. Gidel _____ Date _____
Chairperson

Dr. Randy K. Avent, President _____ Date _____

PRESIDENT'S EMPLOYMENT AGREEMENT

This President's Employment Agreement (the "Agreement") is entered into by the **Florida Polytechnic University Board of Trustees** ("the Board" or "the Board of Trustees"), a public body corporate of the State of Florida, on behalf of Florida Polytechnic University ("University"), and **Dr. Randy K. Avent** ("President").

Background

WHEREAS, the Board, acting on behalf of Florida Polytechnic University (the "University"), has the authority to select and employ the President of the University; and

WHEREAS, the Board previously selected Dr. Randy Avent to serve as President of the University, subject to confirmation of the Board of Governors; and

WHEREAS, the Board wishes to continue to employ Dr. Randy Avent as the University's President, and Dr. Randy Avent wishes to serve as President and be a University employee, subject to the terms and conditions of this Agreement;

NOW, THEREFORE, in consideration of mutual promises and other good and valuable consideration, the receipt and sufficiency of which is acknowledged by the parties, the parties agree to this Agreement as follows:

1.0 Powers and Duties of President While Serving as President

- 1.1 The President reports to the Board and is the Corporate Secretary of the Board and the Chief Executive Officer of the University, subject to the supervision of the Board, the laws of Florida, and the rules, regulations, and policies of the Board, the University and the Board of Governors. During the Presidential Appointment Term (as defined in section 3.1 below), the President has the powers and duties reserved to the position of president by the Florida Statutes and the University regulations and other actions of the Board (collectively "Duties"), as they presently exist or may hereafter be amended. The President and the Board acknowledge and agree that the Duties hereunder are and shall be consistent with those customary for the position of a university president, including, but not limited to educational leadership, faculty relations, budgeting, long-range planning, fundraising, public relations, student services, recruitment of personnel, appointment, promotion and dismissal of all faculty and staff members, as well as any such additional duties commensurate with such position as may be specified from time-to-time by the Board. The President has the full power and authority to direct the operation and management of the University, subject to the direction, control and instructions of the Board.

2.0 Best Efforts While Serving as President

- 2.1 During the Presidential Appointment Term, the President will diligently devote his full professional time, ability, and attention to the day-to-day operations of the University, including without limitation, all administrative, executive and academic functions.
- 2.2 During the Presidential Appointment Term, the President's expenditure of reasonable amounts of time for personal or outside business, as well as non-University related charitable and professional development activities, shall not be deemed a breach of this Agreement, provided such activities do not interfere with the services required to be rendered to the University under the provisions of this Agreement, Part III of Chapter 112 of the Florida Statutes: Code of Ethics for Public Officers and Employees, and applicable regulations or policies of the Board of Trustees or University.
- 2.3 The President shall not knowingly engage in any activity that may be competitive with or adverse to the best interests of the Board of Trustees or the University.
- 2.4 During the Presidential Appointment Term, the President shall seek approval from the Board prior to agreeing to serve on any boards of directors or engaging in outside employment, business or professional activities subject to the provisions of University regulation or policy. Any and all income or other compensation earned by the President in connection with approved non-University outside activities shall be paid to and retained by him, and such income or other compensation shall have no effect on the amount of salary, compensation, or benefits he is otherwise entitled to receive under this Agreement.
- 2.5 During the Presidential Appointment Term, the President shall perform the duties of president for all existing and future campuses of the University, and for and at such other place or places as the Board deems appropriate for the interests, needs, business, or goals of the University.

3.0 Presidential Appointment Term; Evaluation; Renewal

- 3.1 Presidential Appointment Term. The appointment as President ("Presidential Appointment Term") commenced on July 7, 2014 and ends on July 6, 2021. This appointment and the Agreement are renewable by mutual written consent of the parties. This appointment and this Agreement is subject to prior termination as provided for in this Agreement, and by the applicable laws of the State of Florida, the regulations and policies of the Board of Trustees, the University, and the Florida Board of Governors.

- 3.2 Goals and Objectives While Serving as President. Before June 1 of each year, the President will provide the Chair of the Board of Trustees (“Chair”) with a list of proposed goals and objectives for the upcoming fiscal year. The proposed goals and objectives shall be related to, and in furtherance of, the University’s strategic plan goals, work plan and accountability report, and the Board of Governors’ strategic plan and performance funding model , and other priorities as established by the Board of Trustees or the Board of Governors. The goals and objectives are be presented to the Board for discussion and approval. The Board and the President may agree to revise the goals and objectives as necessary during the fiscal year.
- 3.3 Annual Evaluation While Serving as President. While the President is employed as president, the President shall initiate the evaluation process for the prior fiscal year ending June 30 of such year by preparing a self-appraisal of his performance for submission to the Chair and evaluation by the Board, its designee, or both, in accordance with directives, policies and procedures established by the Board as the Board may deem appropriate. The President will furnish any additional information requested by the Chair to aid the Board in its annual performance review of the President. Pursuant to Board of Governors Regulations, the Chair will solicit input from the Chair of the Board of Governors during the evaluation process. The Board will complete the annual evaluation and make any compensation award under Section 5.3.

4.0 Salary

- 4.1 **Base Salary.** As compensation for all services rendered by the President as president pursuant to this Agreement, the University will pay the President according to the pay plan for Executive Service employees, an annual base salary of Four Hundred forty-one thousand seven hundred ninety-seven dollars (\$441,797) as of July 7, 2020 (“Presidential Base Salary), of which a maximum of Two Hundred Thousand Dollars (\$200,000) can be paid for with state funds. This amount shall be paid in accordance with the University’s standard payroll practices, with appropriate deductions for taxes and benefits. The President shall be responsible for any income tax liability incurred as a result of this Agreement.
- 4.2 **Increase to Presidential Base Salary During Annual Evaluation.** Effective with the Board's evaluation of the President's performance for the July 1, 2019 to June 30, 2020 fiscal year and continuing each year thereafter while he serves as president, the President’s salary shall be reviewed annually for increase by the Board in conjunction with the Board’s evaluation of job performance, as set forth in Section 3.3 of this Agreement. The President shall each year also be eligible for any salary increase generally applicable to University employees in his employment classification, but in no event

shall the Base Salary increase be less than Three and One-Half Percent (3.5%) of the prior year's Base Salary.

5.0 Other Compensation While Serving as President

5.1 Insurance, Annual and Sick Leave. While serving as president during the Presidential Appointment Term, the President shall receive leave and other usual and customary benefits equal to those provided to Florida Polytechnic University Executive Service employees, except as provided in this Agreement.

5.2 Intentionally Deleted.

5.3 Effective with the Board's evaluation of the President's performance for the July 1, 2019 – June 30, 2020 fiscal year and continuing each year thereafter while he serves as president, the President shall be eligible for performance compensation as follows:

5.3.1 Performance Compensation. The President shall be eligible for performance compensation as a percent of his annual base salary then in effect. However, if the President receives an overall evaluation of "Achieved" or higher from the Board in his annual evaluation, the amount shall be not less than Twenty Percent (20%); if the President receives an overall evaluation of "Exceeded" or higher from the Board in his annual evaluation, the amount may be increased, not to exceed Thirty Percent (30%) of the annual base salary. The award of performance compensation shall be awarded based on the Board's assessment, in its sole and absolute discretion, of the President's performance as President during the fiscal year under review. In making its determination, the Board shall consider the President's achievement of the annual goals and objectives set pursuant to Section 3.2, the evaluation results pursuant to Section 3.3, and/or other criteria set by the Board prior to the start of the evaluation period and provided to the President in writing. The President shall receive such award if he remains as President through the end of a fiscal year for which performance is determined even though the award is determined later. Any performance compensation awarded shall be paid to the President within 90 days of the date on which it is awarded.

5.3.2 Intentionally Deleted.

6.0 Annual Appropriation and Source of Funding

- 6.1 The performance of the University of any of its obligations under this contract shall be subject to and contingent upon the availability of funds appropriated by the legislature for the current and future periods.
- 6.2 While the President is serving as president during the term of this Agreement and contingent upon the availability of funds, the Board shall not be responsible for, but authorizes this compensation arrangement and shall use its best efforts to cause the Florida Polytechnic University Foundation, Inc. ("Foundation") to contribute to the University the portions of all payments provided for in this Agreement that exceed the limits set forth in Florida Statutes Section 1012.975. The Board further authorizes the use of the University's auxiliary funds to pay for the President's compensation which exceeds the limits set forth in the statute.

7.0 Other Benefits

- 7.1 The President is eligible for all applicable State of Florida and University developed benefits and perquisite programs as authorized by the legislature or other authorized governing bodies. The Board further agrees that while serving as president, the President is entitled, at all times, to the state sponsored life insurance benefits applicable to Executive Service personnel.
- 7.2 Supplemental Retirement Benefit. During each year of the Presidential Appointment Term and while serving as president, the President will receive and reserve on a quarterly basis, in addition to his base salary, fifteen percent (15%) of the President's annual base salary which shall be used to establish a supplemental retirement benefit in a form reasonably acceptable to the President, such as an annuity or other tax deferred product to supplement his retirement. The FPU Foundation will contribute the sum required to fund this retirement benefit or, if permitted, the sum will be paid, in whole or in part, with University auxiliary funds.
- 7.3 Business/Travel Expenses. During the Presidential Appointment Term and while serving as President, the University will cover the cost of the President's reasonable business expenses, including professional dues, meetings, business travel, and entertainment. In addition, when the President's spouse travels with him on University-related business while he is serving as President, the FPU Foundation shall cover the cost of her reasonable travel expenses for travel serving a bona fide business purpose. Funding for spouse travel is only authorized in conjunction with the President's travel outside of the University service area.

8.0 Housing

8.1 The University deems it to be in its best interest that the President, while serving as President, is required to reside as a condition of his employment in the University's Presidential Home, and to the extent reasonable, to use the residence in the performance of his duties hereunder including, but not limited to receptions and meetings benefiting the University. The University is responsible for providing utilities, maintenance, service fees, internet and television service for the Presidential Home.

9.0 Automobile

9.1 During the Presidential Appointment Term and while serving as president, the University or the FPU Foundation will provide a flat monthly automobile allowance in the amount of \$850. The allowance will cover all automobile related expenses including, but not limited to, gas, maintenance, and repairs. The University will reimburse the President when he rents a vehicle for purposes of traveling long distance for University business.

10.0 Professional Dues, Meeting and Entertainment

10.1 During the Presidential Appointment Term and while serving as president, the Board will authorize and provide for the President's reasonable expenses related to his joining and participating in University-related social, professional or service organizations and activities. The Board may fulfill this obligation through the use of available FPU Foundation funds.

11.0 Expense Receipts and Documentation

11.1 The President agrees to maintain and furnish to the Controller an accounting of reimbursable expenses and membership dues and fees provided for in this Agreement in reasonable detail and consistent with University policies, standards, and procedures and applicable State law on no less than a monthly basis, or as requested. Following the President's submission of an accounting, the University shall promptly reimburse the President for such expenses, membership dues and fees in accordance with University policies, standards and procedures and applicable State law.

12.0 Termination of the Contract for Cause

12.1 Notwithstanding anything in this Agreement to the contrary, the parties agree that, upon a vote of two thirds (2/3) of the Board of Trustees, the Board may terminate this Agreement at any time for "just cause" (as hereinafter defined).

- 12.2 “Just cause” shall be deemed to include, but shall not be limited to:
- (i) a deliberate or material violation by the President of the Duties or his refusal or unwillingness to perform the Duties in good faith, during his full business time, or to the best of his abilities if, within thirty (30) days following the President’s receipt of the written notice of what the Board considers to be the violation, the President fails to cure the same;
 - (ii) materially harmful neglect of essential responsibilities of the President’s duties; (iii) material dishonesty or serious misconduct that adversely affects the University; (iv) the commission of any felony or of a misdemeanor involving moral turpitude; or (v) a material, significant, or repetitive breach of this Agreement.
- 12.3 In the event of termination for “just cause” by the Board, the President’s employment with the University shall cease. The Board’s obligations under this Agreement in such event shall be limited to: (a) the prorated payment of his salary through the date of termination; (b) the payment of any performance compensation or supplemental retirement benefit that is awarded and/or due, though unpaid as of the date of termination; (c) the payment of accrued and unused leave through the date of termination in accordance with University regulation; and (d) the payment of any unpaid reimbursable business/travel/relocation expenses incurred prior to the date of termination and documented by him in accordance with University procedures. The President shall not be entitled to any further employment, compensation or benefits from the University in any capacity except for benefits required to be continued by law.

13.0 Termination Without Cause

- 13.1 Notwithstanding anything in this Agreement to the contrary, the parties agree that upon a vote of two thirds (2/3) of the Board of Trustees, the Board may terminate the Agreement at any time prior to its term expiration without cause, provided that the President is given thirty (30) days prior written notice of this issue coming before the University’s Board of Trustees. Upon receiving notice from the Board, the President may waive any portion or the entire notice period at his discretion and terminate earlier.
- 13.2 The President may terminate the Agreement at any time prior to its term expiration without cause, provided that the President gives ninety (90) days prior written notice to the Board of Trustees. Upon receiving notice from the President, the Chair may waive any portion or the entire notice period at his/her discretion and terminate earlier.

14.0 Professorial Appointment

- 14.1 If the President is terminated without cause or resigns from his position as president and chooses to join the teaching faculty of the University upon conclusion of his presidency, he will be eligible for sabbatical leave of one calendar year commencing immediately after his employment as president ends and prior to joining the University's faculty. Prior to beginning any sabbatical leave, he will have committed to fill a faculty position at the rank of "Full Professor" or other mutually agreeable faculty position. Upon conclusion of the sabbatical, if taken, President's teaching, research, and service responsibilities will be substantially equivalent to similarly situated faculty positions.
- 14.2 During this first year post-presidency, the President's initial 12 month base salary, whether on sabbatical leave or serving as Professor ("initial base salary as a Professor"), will be 90% of his final annual base salary as President, not to include any deferred compensation or performance incentive payment. During his second year post-presidency and for the balance of the Presidential Appointment Term, his 12 month base salary as a Professor will be 90% of his initial base salary as a Professor, and he will be eligible for any salary increments provided to regular, full-time faculty members. Usual faculty and administrative processes will determine such salary increments. While on sabbatical, if any, and while serving as a Professor, he shall receive leave and other usual and customary benefits equal to those provided to University Faculty members.

15.0 Termination due to Resignation, Death or Disability

- 15.1 Notwithstanding anything in this Agreement to the contrary, this Agreement shall terminate upon the President's resignation from employment at the University, death, or "permanent disability" (as hereinafter defined). Such termination shall be deemed to have occurred for "just cause" and the President's employment with the University shall cease, and he shall not be entitled to any further employment, compensation or benefits from the University in any capacity except for compensation as provided in Section 12.3 and for benefits required to be continued by law. For purposes of this Agreement, "permanent disability" shall be defined as the President's inability to perform the applicable job duties for a minimum of six (6) continuous months.
- 15.2 In the event of the President's death during the term of this Agreement, his spouse or, if none, his estate, shall receive all accrued benefits as of the date of his death to the extent permitted by law.

16.0 Non-binding Mediation

16.1 The Board and the President agree that if any dispute arises concerning this Agreement, they will first attempt in good faith to resolve the dispute to their mutual satisfaction. If they are unable to do so, the Board and the President agree that they will submit the dispute to non-binding mediation in Lakeland, Florida, in accordance with the Employment Arbitration Rules and Mediation Procedures of the American Arbitration Association then in effect. The Board and the President will use their best efforts, to the extent permitted under Florida law, to keep any disputes and any efforts to resolve disputes confidential, informing only their respective legal counsel and other persons determined in good faith to have a need to know. To the extent permitted under Florida law, they will use their best efforts to ensure that such persons do not further disclose any such information. The Board and the President agree that no mediator or arbitrator may have any material ongoing relationship with the University.

17.0 Notice

17.1 Unless and until changed by a party giving written notice to the other, the addresses below shall be the addresses to which all notices required or allowed by this Agreement shall be sent:

If to the Board:

Chairperson
Florida Polytechnic University Board of Trustees
Florida Polytechnic University
4700 Research Way
Lakeland, Florida 33805-8531

With a copy to:

General Counsel
Florida Polytechnic University

4700 Research Way
Lakeland, Florida 33805-8531

If to the President:

18.0 Entire Agreement: Modification

- 18.1 This Agreement constitutes the entire understanding of the parties and supersedes any and all prior or contemporaneous representations or Agreements, whether written or oral, between the parties. There are no other promises, understandings, obligations, inducements, or considerations between the parties or owed by either party to the other that are not set forth in this Agreement.
- 18.2 This Agreement cannot be changed or modified unless accomplished in writing and signed by the parties.

19.0 Severability

- 19.1 The terms of this Agreement are severable, meaning that if any term or provision is declared by a court of competent jurisdiction to be illegal, void, or unenforceable, the remainder of the provisions shall continue to be valid and enforceable to the extent possible.

20.0 Governing Law and Forum

- 20.1 This Agreement shall be interpreted and construed in accordance with the laws of the State of Florida, excluding choice of law rules.
- 20.2 Notwithstanding any other terms and conditions of this Agreement, either party may bring an action for the sole and limited purpose of enforcing the terms and conditions of this Agreement in any court of competent jurisdiction. Venue shall be in Polk County, Florida.

21.0 Understanding of the Agreement

- 21.1 Both parties represent that they have thoroughly read this Agreement, that they understand it to be a binding contract, that they understand each provision, term, and condition of this Agreement as well as its legal effect, and that they have signed the Agreement voluntarily and of their own free will with the intention to comply with its terms. Both parties have participated in the preparation of this Agreement. Therefore, the Agreement shall not be construed against or in favor of either party based upon which party was responsible for the drafting of the Agreement.

22.0 Public Disclosure of the Agreement

22.1 Both Parties agree and acknowledge that this Agreement is subject to the Florida public records laws and may, therefore, be subject to disclosure by and in the manner provided by law.

23.0 Waiver

23.1 No delay or failure to enforce any provision of this Agreement shall constitute a waiver or limitation of rights enforceable under this Agreement.

24.0 Assignment

24.1 This Agreement is not assignable, but shall be binding upon the heirs, administrators, personal representatives, successors, and assigns of both parties.

25.0 Execution and Counterparts

25.1 This Agreement may be executed in counterparts and by the parties on separate counterparts each of which, when so executed, shall constitute but one and the same instrument.

26.0 No Trust Fund

26.1 Nothing contained in this Agreement and no action taken pursuant to the provisions of this Agreement shall create or be construed to create a trust of any kind. To the extent that the President acquires a right to receive payments from the University, such rights shall be no greater than the right of any unsecured, general creditor of the University.

27.0 Taxes

27.1 The President understands that the services to be rendered by him under this Agreement will cause him to recognize taxable income, which is considered under the Internal Revenue Code of 1986, as amended, and applicable regulations thereunder as compensation income subject to the withholding of income tax (any social security or other employment taxes). The President hereby consents to the withholding of such taxes as are required by law. All sums payable to the President under this Agreement will be reduced by all federal, state and other withholdings and similar taxes and payments required by law.

28.0 Miscellaneous

28.1 The headings in this Agreement are for convenience only and shall not be used in construing or interpreting this Agreement. The terms “Board,” “Board of Trustees” and “University,” where applicable or appropriate, shall include or refer to any duly authorized board, committee, officer, or employee of said entity. Whenever the context requires, the masculine shall include the feminine and neuter, the singular shall include the plural, and conversely.

28.2 General Cooperation Covenant. Without limitation of the obligations specified in the Agreement and applicable University rules, regulations, policies and procedures, the President agrees to cooperate fully in any review or investigation involving University matters in which he may possess pertinent information. This obligations shall survive the expiration or earlier termination of this Agreement.

THEREFORE, Dr. Randy Avent, President, and _____, Chair and authorized representative of the Florida Polytechnic University Board of Trustees, have executed this Agreement on the dates appearing below.

Florida Polytechnic University Board of Trustees

By: _____ Date _____
Chairperson

President

_____ Date _____
Dr. Randy K. Avent

**Florida Polytechnic University
Governance Committee
Board of Trustees
May 20, 2020**

Subject: President's Goals for FYE 2021

Proposed Action

Review President's proposed goals for FYE 2021 to make a recommendation to the Board of Trustees.

Background Information

Pursuant to the Policy on Annual Review of the President, the Board of Trustees must set specific annual goals for the upcoming fiscal year.

The President submitted his Operational Goals FYE21 to Chair Wilson and Committee Chair Dur. The Governance Committee needs to discuss the goals with the President and approve the proposed goals so that they may be recommended to the Trustees for final approval and provided to the Chair of the Board of Governors, as required.

Supporting Documentation: Operational Goals FYE21

Prepared by: Gina Delulio, General Counsel



FLORIDA POLYTECHNIC
UNIVERSITY

Operational Goals FYE21

Randy K. Avent
20 May 2020

Context

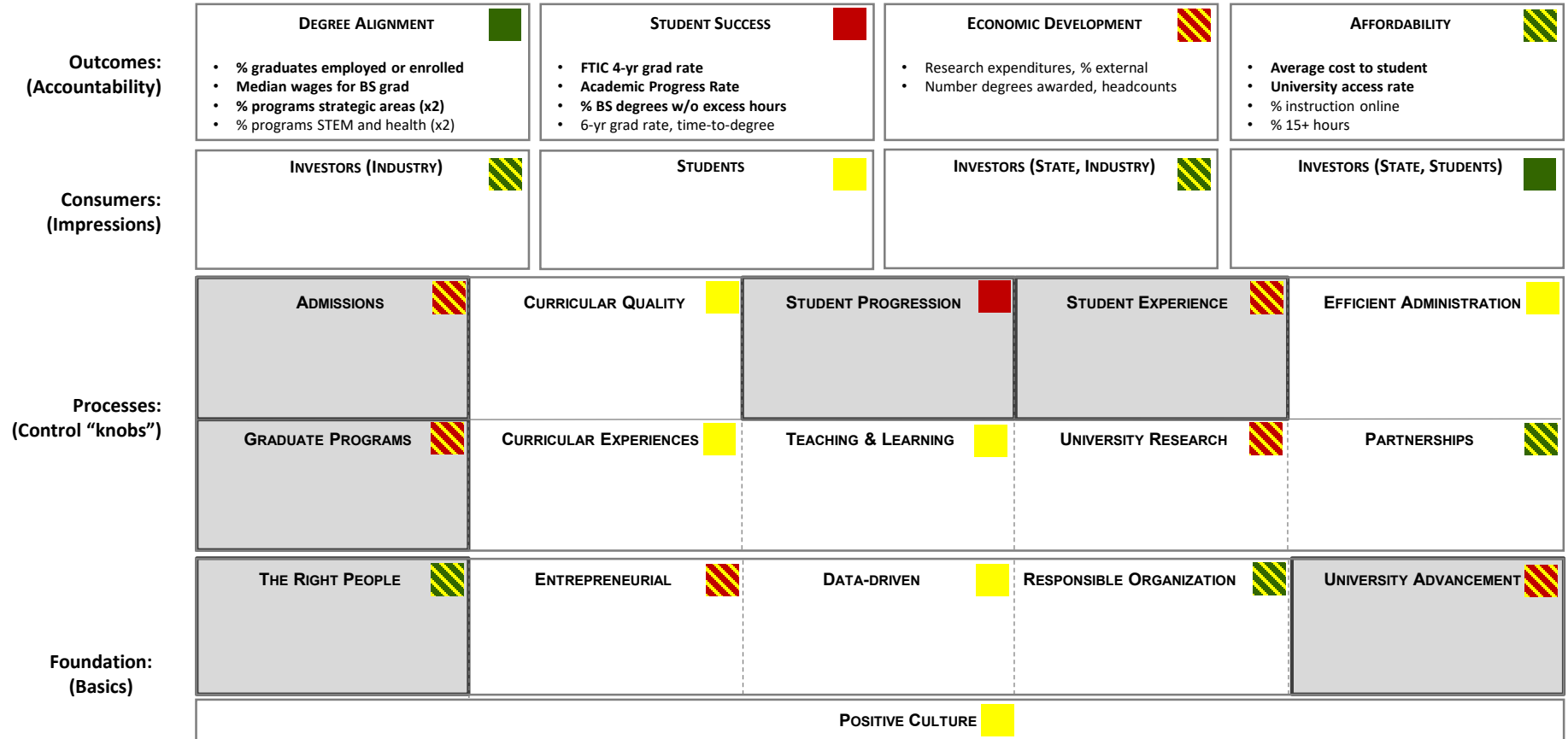
- **Six thrusts focused on University growth and reputation agreed to at December BOT meeting**
- **At least five remain relevant, but possibly changed, post-HB7087 and COVID**
- **Difficult to set metric goals and do operational planning in an uncertain environment**
- **Likely to make mid-course corrections as this academic year unfolds**

Outcome Metrics

	FY20	Peers	SUS Average	FY21
RANKING				
USNWR Regional				<25
USNWR Engineering				
DEGREE ALIGNMENT				
% Graduates Employed or Enrolled	67.5%		69%	73%
Median Wages for BS Graduates	\$ 54,800		\$ 38,620	\$ 45,000
% BS Programs in Strategic Emphasis	100.0%	79%	52%	100.0%
% Grad Programs Strategic Emphasis	100.0%	67%	60%	100%
STUDENT SUCCESS				
FTIC 4-year Graduate Rate	40%	37%	47%	38%
Academic Progress Rate	65%	82%	84%	77%
% HS students in top 10%	25%		22%	22%
% BS Degrees w/o Excess Hours	89%		79%	75%
6-Yr Graduation Rate		65%	68%	51%
Time-to-Degree	4		4.3	4.5
ECONOMIC DEVELOPMENT				
% BS with 2+ Workforce Experiences	73%		38%	75%
Research Expenditures (\$K)	\$ 1,300			\$ 750
Number BS Degrees Awarded	239	867		320
Number Grad Degrees Awarded	8	554		18
UG Headcount	1267	4161		1300
G Headcount	48	1482		59
AFFORDABILITY				
Average Cost to Student	\$ (5,790)	\$ 22,265	\$ 6,374	\$ 2,000
University Access Rate	30%	26%	39%	32%
% 15+ Hours	32%			32%
% Instruction Online	0%			0%

Grey text includes metrics in the Accountability Report but not PBF
 Red text are “aggressive values we likely will not meet

Balanced Scorecard



- Outcome metrics define institutional performance in PBF
- Process metrics are only used to analyze and focus efforts

Suggested Focus Areas FY20

- **Admissions**
 - **Student progression**
 - **Student experience**
 - **Graduate program**
 - **University Funding**
 - **Faculty Development**
-

Admissions Goals

	FY21	FY22
Number of New Students		
Number FTIC	320	359
Number Transfer	70	80
Number Special Programs	40	50
Number Graduate	30	40
Quality of Students		
Average SAT	1305	1310
Average ACT	28	29
Average GPA	4	4.2
Calculus Ready	85%	90%
Top 10% in HS class	22%	25%
Diversity of Students		
Percent Students In-state	96	95
Percent Students Male	82%	80%
Percent Students White	61%	59%
Branding Metrics		
% Acceptance Rate	51%	50%
% Yield	40%	40%
Completed Applications	1427	1300

- **Increase the student population, quality, and diversity (racial, gender and geographic)**

Potential Initiatives

Admissions

- **Continuous improvement**

- Grow transfer students through new policies
- Grow unrestricted funds to better leverage scholarships
- Create a new STEM summer academy as a pipeline
- Increase interactions with Florida high school calculus and physics teachers

- **New initiatives**

- Pivot all recruitment efforts for 24/7 remote accessible digital mobile apps to meet students where they “live”
- Diversify academic offerings around new popular programs and industries, new concentrations, certificate programs, combined BS/MS degrees, ...
- Strategically increase the number of student affinity groups like scatter band, esports, club soccer, table tennis, chess, water polo, ...

- **COVID related items**

- Create “The Digital Life” that interactively serves content in quick entertaining bites
- Consider a mobile admissions office

Student Progression Goals

	FY20	FY21
Progress Rate		
FTIC Persistence (Fall-to-Spring)	96%	
Retention (Fall-to-Fall)	69%	
Percent students meeting APR standards	65%	
DFW rates in Pre-Calculus & Calculus	36%	
4-year Graduation Rate		
2nd-to-3rd year cohort retention	83%	
3rd-to-4th year cohort retention	90%	
Percent 2nd-year cohort on track for 4-year graduation		
Percent 3rd-year cohort on track for 4-year graduation		
Percent 4th-year cohort on track for 4-year graduation		
6-year Graduation Rate		
Percent 5th-yr cohort on track for 6-year graduation		
Percent 6th-year cohort on track for 6-year graduation		

- **Help students succeed while at Florida Poly (APR, graduation rates, ...) and after (high-demand majors, hard & soft skills, internships, careers, ...)**

Potential Initiatives

Student Progression

- **Continuous improvement**

- Revise financial aid policy to align with APR standards
- Improve support services in gateway courses
- Improve advising services with early alerts for student disengagement
- Improve course availability, provide term-by-term roadmaps

- **New initiatives**

- Create a co-curricular council to address co-curricular learning
- Develop a leadership institute that teaches business and soft-skills
- Limit the number of course withdrawals
- Formalize an Academic Improvement Program
- Incentivize summer for those students falling behind

- **COVID**

- Grow digital resources for enhanced tutoring and academic advising at distance
- Increase efforts in identifying and addressing student disengagement and remote intrusive advising

Student Experience Goals

	FY20	FY21
Noel-Levitz Survey Responses		
Academic Advising Effectiveness	5.13	5.39
Campus Climate	5.44	5.71
Campus Life	4.6	4.83
Campus Services	5.16	5.42
Instructional Effectiveness	5.23	5.49
Recruitment & Financial Aid Effectiveness	5.26	5.52
Registration Effectiveness	4.98	5.23
Safety and Security	5.4	5.67
Student Centeredness or Student Focused	5.22	5.48

- **Create a student-facing experience that results in a high Net Promoter Score (NPS) while not being a “helicopter university”**

Potential Initiatives

Student Experience

- **Continuous improvement**
 - Grow and mature the senior capstone project to be more multi-disciplinary
 - Continue growing the external internship program
 - Develop key hiring pathways for Florida Poly graduates with a select group of employers
 - Continue removing obstacles for students to navigate admissions, registration, ...
- **New initiatives**
 - Provide avenues for students to share thoughts on a Florida Poly student experience
 - Provide incoming students with a student engagement coach
- **COVID**
 - Grow the number of internal research opportunities
 - Grow digital resources to enhance the student experience
 - Expand the virtual student union to organize services and connect students
 - Develop new approaches for remote capstone delivery
 - Ensure ADA resources are available to all students remotely

Graduate Program Goals

	FY20	FY21
Graduate Program		
Incoming graduate class size	30	32
Total number of graduate degees conferred	17	17
Percent extramural funded graduate students	9%	10%
Number courses with distance delivery	0	2
Number graduate degree programs	2	3

- **Grow and mature a graduate program that values research and professional education**

Potential Initiatives

Graduate Program

- **Continuous improvement**

- Expand targeted domestic recruiting efforts
- Target increased enrollment in each program
- Develop strong distribution of students across all degree program tracks
- Complete revisions of key program documents including thesis manual, ...
- Continue growing FIPR Institute, Advanced Mobility Institute and Health Systems Engineering Programs

- **New initiatives**

- Develop faculty-driven seminar series around graduate school topics to facilitate student culture, progression and work quality
- Leverage role of Director of Industry Engagement and Capstone Projects to connect students and faculty to relevant opportunities within our core academic programs
- Develop and market an Agile Manufacturing Center that leverages our current degrees

- **COVID**

- Position at least one track to deliver some or most of its courses via distance or using hybrid delivery models

University Funding Goals

	FY21	FY22
Recurring State Funding		
Base budget	\$ 36,414,403	\$ 37,500,000
Nonrecurring State Funding		
Performance Based Funding	\$ -	\$ 3,300,000
Universities of Distinction funding	\$ 330,000	\$ 330,000
Capital Funding (PECO) \$K	\$ -	\$ 13,000
Tuition & Fees collection	\$ 2,066,379	\$ 2,500,000
Auxiliary Funding		
Auxiliaries	\$ 399,696	\$ 400,000
Foundation Funding		
Unrestricted funds	\$ 914,508	\$ 745,216
Endowment funds	\$ 1,661,416	\$ 2,186,039

- **Secure support and funding to keep the University independent and growing with a strong reputation**

Potential Initiatives

University Funding

- **Continuous improvement**

- Continue briefing legislators through site, district and session visits on our state impact and Return On Investment
- Prepare for entry into Performance Based Funding and Universities of Distinction
- Advocate for Applied Research Center capital funding and restoration of our base budget

- **New initiatives**

- Develop a “thank you” campaign for key stakeholders and grow our support network
- Develop and share a growth plan that address student, faculty and facility growth to meet targeted USNWR rankings
- Address administrative overhead calculations
- Consider new ways to increase revenues through executive education, certifications, Professional Science Masters programs, international program, ...

- **COVID**

- Further develop and update resiliency plan that: 1) preserves liquidity; 2) protects and grows the academic enterprise; 3) increases revenues through campus growth; and 4) invests in university advancement and the foundation

Faculty Development

	FY20	FY21
Faculty Hires		
Number Assistant Professor hires	11	8
Number Associate Professor hires	1	2
Number Professor hires	0	0
Faculty Development		
Dollars expended on professional development funds	\$ 97,763	\$ 175,000
% faculty completing formal training for online delivery	0%	75%
Faculty Production		
Total number external grant proposals	33	45
Total Research Expenditures	\$ 751,000	\$ 1,000,000
Research Expenditures from External Sources	\$ 304,000	\$ 491,000
Number faculty awards	0	0
Economic impact	0	0

- Create faculty excellence around the tripartite mission of teaching, research and service

Potential Initiatives

Faculty Development

- **Continuous improvement**

- Strengthen professional development connection to peer-reviewed research
- Continue providing teaching & learning workshops & one-on-one consultations
- Grow academic infrastructure, tools and technology that support pedagogy
- Grow academic programs and faculty lines

- **New initiatives**

- Consider hiring a VP of Research
- Conduct workshops on proposal development and grant writing
- Consider offering internal grant opportunities as seed funds for larger externally funded grants

- **COVID**

- Strengthen faculty development for blended, online and multi-modal delivery
- Explore opportunities for targeted development and improvement in specific Departments
- Create new programs for faculty development and train 75% of the faculty for remote instruction



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Finance & Facilities Committee Meeting

Wednesday, May 20, 2020, 10:45-11:15 AM
Or upon conclusion of the Governance Committee meeting

Florida Polytechnic University
TELE-CONFERENCE MEETING

Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Frank Martin, Chair
Dr. Victoria Astley

Henry McCance, Vice Chair
Rear Admiral Philip Dur

Bob Stork
Gary Wendt

AGENDA

- | | |
|---|--|
| I. Call to Order | Frank Martin, Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Frank Martin, Chair |
| IV. Approval of the February 25, 2020 Minutes
<i>*Action Required*</i> | Frank Martin, Chair |
| V. Approval of Revision to FPU-4.001 Tuition and Related Fees Schedule
<i>*Action Required*</i> | Mark Mroczkowski
VP & CFO |
| VI. 2021-2022 Capital Improvement Plan, Carry Forward and Change Order Approval
<i>*Action Required*</i> | David Calhoun, AVP
Facilities & Safety Services |
| VII. 2021-2022 Operating Legislative Budget Request (LBR)
<i>*Action Required*</i> | Rick Maxey, AVP, Economic
Development & Board Liaison |
| VIII. 2020-2021 University Operating Budget
<i>*Action Required*</i> | Mark Mroczkowski
VP & CFO |
| IX. 2020-2021 Foundation Operating Budget
<i>*Action Required*</i> | Larry Locke, Director
Finance & Dev. Advancement |

- X. [Memorandum of Understanding between University and Foundation](#) Kathy Bowman, VP of Advancement and CEO
- XI. [Approval of Foundation Board Reappointments](#)
Action Required Kathy Bowman, VP of Advancement and CEO
- XII. Closing Remarks and Adjournment Frank Martin, Chair

Florida Polytechnic University
Board of Trustees

**Board of Trustees
Finance & Facilities Committee Meeting**

DRAFT MEETING MINUTES

**Tuesday, February 25, 2020
4:00 PM—5:00 PM**

**Florida Polytechnic University, Student Development Center
4700 Research Way, Lakeland, FL 33805**

I. Call to Order

Committee Chair Frank Martin called the Finance & Facilities Committee meeting to order at 4:00 p.m.

II. Roll Call

Winnie Hall called the roll: Committee Chair Frank Martin, Vice Chair Henry McCance, Trustee Victoria Astley, Trustee Philip Dur, and Trustee Gary Wendt were present (Quorum).

Committee members not present: Trustee Bob Stork

Board Chair Don Wilson was also present.

Staff present: Mr. Terry Parker, Mr. Mark Mroczkowski, Ms. Gina Delulio, Mrs. Kathy Bowman, Mr. Ben Beachy, Mrs. Treasa McLean, Mr. John Sprenkle, Mrs. Penney Farley, Ms. Iliana Ricelli, Mr. David Brunell, Mrs. Melanie Schmitz, Mrs. DeAnn Doll, Mr. Larry Locke, Mr. David Blanton, Mr. David Calhoun, Mrs. Kris Wharton, and Mrs. Winnie Hall were present.

III. Public Comment

There were no requests received for public comment.

IV. Approval of the Minutes

Vice-Chair Henry McCance made a motion to approve the Finance and Facilities Committee meeting minutes of December 10, 2019. Trustee Gary Wendt seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2018-2020 Finance and Facilities Committee Work Plan Review

Committee Chair Frank Martin asked if there were any suggested changes to the 2018-2020 Finance and

Facilities Committee Work Plan and none were offered.

VI. 2020-2021 Budget Development Process Discussion

Mr. Mark Mroczkowski presented information to the Committee detailing the University's budget development process and timeline.

Committee Chair Frank Martin asked the Committee if they felt the need for a pre-meeting prior to review the budget at the May meeting. The Committee declined to schedule an additional meeting to review the budget process prior to the May meeting.

Discussions and questions ensued but no vote and no action were taken.

VII. University Financial Review

Mr. Mroczkowski provided the Committee with the University's Half-Year Financial Review for the six-month period which ended December 31, 2019.

Discussions and questions ensued but no action was taken.

VIII. Resolution for Signature Authority on Depository Accounts

Due to a change in staff, the University removed Mr. Derek Horton, the former University Controller, and added Mrs. Penelope Farley, the new University Controller, as authorized signatories on bank documents. The President and the CFO signatories remain unchanged.

Vice Chair Henry McCance made a motion to recommend approval to the Board of Trustees of Resolution 2020-001 to update the authorized signatories for checks, payments and transfers of funds respecting the designated depository of deposit of funds for the University pursuant to this Resolution. Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

IX. Foundation Financial Review

Mr. Larry Locke provided the Committee with the University Foundation's Financial Review for the first and second quarters of FY19-20.

Mrs. Kathy Bowman provided the group with the 2019 Annual Fund Update on behalf of University Advancement.

Discussions and questions ensued but no action was taken.

X. Review Results of BOG Internal Control and Business Process Assessment

Mr. Mroczkowski presented the results of the Board of Governors (BOG) "Internal Management and Accounting Control and Business Process Assessment" for both the State University System of Florida collectively and Florida Polytechnic University individually.

Discussions and questions ensued but no action was taken.

XI. Applied Research Center (ARC) Update

Mr. David Calhoun provided the Committee with an update on the design, schedule, construction, and budget for the Applied Research Center.

Discussion and questions ensued but no action was taken.

XII. Approval of Contracts over \$500,000

The Committee received an update on the Skanska USA Building Inc. (Skanska) Guaranteed Maximum Price Phase II ("GMP 02") for the Applied Research Center construction contract.

Trustee Gary Wendt made a motion to recommend approval to the Board of Trustees of the Guaranteed Maximum Price Phase II ("GMP 02") in the amount of \$17.7M, for the Applied Research Center construction. Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

Discussion and questions ensued but no further action was taken.

XIII. Review of Contracts over \$200,000

Mr. Mroczkowski presented the committee with an update of all existing contracts in excess of \$200,000. No new contracts over \$200,000 were presented.

XIV. Closing Remarks and Adjournment

With no further business to discuss, the meeting adjourned at 5:33 p.m.

Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 20, 2020

Subject: Revised FPU-4.001 Tuition and Related Fees Schedule

Proposed Committee Action

Recommend approval of the revised FPU-4.001 Tuition and Related Fees Schedule to the Board of Trustees.

Background Information

This regulation **FPU-4.001 Tuition and Related Fees Schedule** is being revised primarily to update the information related to the excess hour fee to make it consistent with the revised Board of Governor's regulation 7.003 Fees, Fines and Penalties. The changes provide the excess hour fee to be charged to FTIC students entering in the 2019 summer term or thereafter when they exceed 120 percent of the credit hours required for the degree and indicate when a refund of the excess hour fees paid is warranted.

The notice of amendment for this regulation was posted on the University's website on April 20, 2020. No comments were received during the review and comment period.

Supporting Documentation:

- Draft FPU-4.001 Tuition and Related Fees Schedule
- BOG Regulation 7.003 Fees, Fines and Penalties [(21) in pertinent part]

Prepared by: Mark Mroczkowski, Vice President and CFO

Board of Governors Regulation 7.003 Fees, Fines and Penalties. (in pertinent part):

(21) Excess Hour Fee –This fee shall be budgeted in the Student and Other Fee Trust Fund.

- (a) State universities shall require a student to pay an excess hour surcharge for each credit hour in excess of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled. Each university must calculate an excess hour threshold for each student based on the number of credit hours required for the degree. For any student who changes degree programs, the excess hour threshold must be adjusted only if the number of credit hours required to complete the new degree program exceeds that of the original degree program.
- (b) All state university undergraduate students who entered a postsecondary undergraduate program at any Florida public institution of higher education as a first-time-in-college student in fall 2009 or thereafter and prior to fall 2011 shall pay an excess hour fee equal to 50 percent of the undergraduate tuition identified in Regulation 7.001(3) for each credit hour in excess of 120 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled.
- (c) All state university undergraduate students who entered a postsecondary undergraduate program at any Florida public institution of higher education as a first-time-in-college student in fall 2011 and prior to fall 2012 shall pay an excess hour fee equal to 100 percent of the undergraduate tuition identified in Regulation 7.001(3) for each credit hour in excess of 115 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled.
- (d) All state university undergraduate students who entered a postsecondary undergraduate program at any Florida public institution of higher education as a first-time-in-college student in fall 2012 through the 2019 spring term shall pay an excess hour fee equal to 100 percent of the undergraduate tuition identified in Regulation 7.001(3) for each credit hour in excess of 110 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled. For the 2019 summer term and thereafter, an excess hour surcharge equal to 100 percent of the tuition rate for each credit hour in excess of 120 percent shall be paid. Effective July 1, 2018 each university shall refund the excess hour surcharge assessed for up to 12 credit hours to any first-time-in-college student who completes a baccalaureate degree program within four years after their initial enrollment in a university.
- (e) Each university shall implement a process for notifying students of this fee upon a student's initial enrollment. A second notice must be provided to the student when the student has attempted the number of credit hours needed to complete the baccalaureate degree program in which the student is enrolled. The second notice must include a recommendation that each student who intends to earn credit hours at the university in excess of the credit hours required for the baccalaureate degree program in which the student is enrolled meet with the student's academic advisor. The excess hours' determination shall be based on the baccalaureate degree program in which the student is enrolled. If a student changes degree programs, the excess hours' threshold shall be adjusted to the new program's required hours. Pursuant to Regulation 7.002(1), the university shall establish regulation procedures for the implementation of this section.
- (f) All credit hours for courses taken at the university from which the student is seeking a baccalaureate degree shall be included when calculating the number of hours taken by a student, including:
 - 1. Failed courses.
 - 2. Courses dropped or withdrawn from after the university's advertised last day of the drop and add period, except as provided for in subparagraph (21)(f).

3. Repeated courses, except repeated courses for which the student has paid the full cost of instruction as provided in Regulation 7.001(11).
 4. All credit hours earned at another institution and accepted for transfer by the university and applied toward the student's baccalaureate degree program.
- (g) All credit hours earned under the following circumstances shall not be calculated as hours required to earn a baccalaureate degree:
1. College credits earned through an articulated accelerated mechanism.
 2. Credit hours earned through internship programs.
 3. Credit hours required for certification, recertification, or certificate programs.
 4. Credit hours in courses from which a student must withdraw due to reasons of medical or personal hardship.
 5. Credit hours taken by active-duty military personnel.
 6. Credit hours required to achieve a dual major taken while pursuing a baccalaureate degree.
 7. Remedial and English as a Second Language credit hours.
 8. Credit hours earned in military science courses that are part of the Reserve Officers' Training Corps program.

THE FLORIDA POLYTECHNIC UNIVERSITY BOARD OF TRUSTEES

FPU- 4.001 Tuition and Related Fees Schedule.

(1) Tuition is defined as the basic fee charged to a student for enrollment in credit courses provided by the Florida Polytechnic University and the out-of-state fee assessed to non-residents.

Tuition and associated fees consists of the following:

- (a) Tuition (basic fee);
- (b) Student Financial Aid Fee;
- (c) Capital Improvement Trust Fund Fee;
- (d) Health Fee;
- (e) Athletic Fee;
- (f) Activity and Service Fee;
- (g) Technology Fee.

In addition to the fees set forth above, a student who is not classified as a Florida resident, as defined by the Florida Board of Governors, will be charged the Out-of-State Fee and the Non-Resident Student Financial Aid Fee.

(2) Registration is defined as consisting of three components:

- (a) Formal selection of one or more credit courses approved and scheduled by the University; and
- (b) Payment of tuition and associated fees, partial or otherwise, or other appropriate arrangements for payment of tuition and associated fees (installment payment, deferment, or third-party billing), for the courses in which the student is enrolled as of the end of the drop/add period; and
- (c) Provision of background information, where appropriate.

(3) A student is liable for tuition and associated fees for all courses for which the student is registered at the end of the drop/add period. The fee payment deadline shall be as determined by the University.

(4) The following tuition and associated fees shall be levied and collected on a per credit hour basis, for each student regularly enrolled, unless provided otherwise by law, or Board of Governors or University regulation.

Fee	Undergraduate		Graduate	
	Resident	Non-Resident	Resident	Non-Resident
Tuition	105.07	105.07	385.00	385.00
Out-of-State Fee	-----	510.00	-----	608.00
Financial Aid Fee	5.25	5.25	19.25	19.25
Non-Resident Financial Aid Fee	-----	25.50	-----	30.40
Capital Improvement Trust Fund Fee	4.76	4.76	4.76	4.76
Transportation Access Fee	3.00	3.00	3.00	3.00
Activity and Service Fee	17.62	17.62	17.62	17.62
Athletic Fee	14.12	14.12	14.12	14.12

Health Fee	9.58	9.58	9.58	9.58
Technology Fee	5.25	5.25	19.25	19.25

(5) **Graduate Assistant.** During any semester in which a graduate nonresident student has been appointed as a Graduate Assistant for at least 0.25 FTE, the Out-of-State fee for the student shall be \$0.00 per credit hour.

(6) **Graduate Fellowship.** During any semester in which a graduate nonresident is receiving a full fellowship, the Out-of-State fee for the student shall be \$0.00 per credit hour.

(7) **Third Time Repeat.** Effective the Fall Semester 2009, each student enrolled in the same undergraduate course more than twice shall be assessed an additional sum to cover 100 percent of the full cost of instruction as established by the Board of Governors for each such course in addition to the tuition and associated fees set forth above.

(8) **Excess Hour Fee.**

(a) For students who enter a postsecondary undergraduate program for the first time in the 2009-2010 academic year and thereafter, the University shall require the student to pay an excess hour surcharge equal to 50 percent of the tuition rate for each credit hour in excess of 120 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled.

(b) For students who enter a postsecondary undergraduate program for the first time in the 2011-2012 academic year and thereafter, the University shall require the student to pay an excess hour surcharge equal to 100 percent of the tuition rate for each credit hour in excess of 115 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled.

(c) For students who enter a postsecondary undergraduate program at any Florida public institution of higher education ~~for the first time as a first-time-in-college student~~ in fall 2012 or ~~thereafter through the 2019 spring term~~ shall pay an excess hour fee equal to 100 percent of the undergraduate tuition identified in Florida Board of Governors Regulation 7.001(3) for each credit hour in excess of 110 percent of the number of credit hours required to complete the baccalaureate degree program in which the student is enrolled. For the 2019 summer term and thereafter, an excess hour surcharge equal to 100 percent of the tuition rate for each credit hour in excess of 120 percent shall be paid. Effective July 1, 2018 the university shall refund the excess hour surcharge assessed for up to 12 credit hours to any first-time-in-college student who completes a baccalaureate degree program within four years after their initial enrollment in a university.

(9) **Registration of Zero Hours.** Registration for zero hours provides for a student's examinations, co-ops, internships, graduations, use of facilities, etc., when deemed appropriate by the University. The student is assessed resident tuition and the associated fees (see (4) above) for one credit hour. The Zero Hour Fee shall be distributed in the same manner as tuition.

(10) **Audit Registration Fees.** Audit registration assures a course space for the student; however, the student is not awarded a grade for the course. The charge for the Audit Registration Fee is the same as the resident tuition and associated fees (see (4) above), as applicable, that would be charged to a resident student taking the course for a grade.

(11) **Optional Fees.**

Tuition Installment Service Charge	\$ 15.00
Late Registration fee	\$100.00
Late Payment fee	\$100.00
Off-Campus Fee	cost
Distance Learning Course Fee	cost
Materials and Supplies fee	cost

(12) Throughout the Florida Polytechnic University Regulations where the University is charging a fee or charging for a service based on cost, the University President / Designee has the authority to approve the amount of the charge.

Authority: Florida Board of Governors Regulations 1.001, 7.001, and 7.003 and the 2014 General Appropriations Act

History- New 7.14.14; revised

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 20, 2020**

Subject: 2021-2022 Capital Improvement Plan, Carry Forward and Change Order Approval

Proposed Committee Action

1. Recommend approval of the 2021-2022 Capital Improvement Plan (CIP) to the Board of Trustees.
2. Recommend approval to the Board of Trustees to grant Dr. Avent authority to sign a change order up to \$2.4 million to Skanska to continue construction of the Applied Research Center until additional funding is received from the State of Florida.
3. Recommend approval to the Board of Trustees to use Carry Forward to fund up to \$2.4 million of construction costs for the Applied Research Center pursuant to the change order described above.

Background Information

The 2021-2022 Capital Improvement Plan (“CIP”) requires Board of Trustees approval and submission to the Board of Governors by July 1, 2020. The CIP can be further amended and submitted to the Board of Governors on August 14, 2020.

The 2021-2022 Capital Improvement Plan request captures the funds committed to capital projects and proposed for future development. All capital improvements are defined in the Campus Master Plan and have been further reviewed by the Board of Governors. In accordance with Campus Master Plan, the Applied Research Center is the current priority, is justified by the Educational Plan Survey, and partially funded. 2021-2022 CIP for the Applied Research Center details funds expended to date and those funds required to complete construction.

Supporting Documentation: 2021-2022 Capital Improvement Plan

Prepared by: David Calhoun, AVP Facilities and Safety Services

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: Applied Research Center

Project Address: 4400 Research Way, Lakeland FL 33805-8531

PROJECT NARRATIVE

The University is at the forefront of an emerging trend among STEM institutions to supply the expertise and collaborative research opportunities that are vital to high-tech companies. Florida Polytechnic research will be less curiosity driven and will be more focused on solving real world problems. Based on the current enrollment projections and very modest projections for faculty and industry partnered research, the expectation is that we must begin developing new research capacity now. As of spring 2020, 100+ companies (industry partners) have signed on to partner with the University. The partners are expecting to work with our faculty and students on research problems that can help them grow Florida's economy. These partners and more to come, along with our faculty and students must have sufficient research space and access to technology that high-tech industries demand of their research partners. Space is also needed to meet the demand for hosting industry research groups as well as national and international meetings that bring money from around the world to Florida. This intellectual talent will be available to researchers in Florida, leading to an increased likelihood that solutions with commercial appeal will be generated. Our students will work side-by-side with industry researchers and university faculty as they seek to answer some of the pressing problems of society. Industries have made it clear that one of their biggest concerns with talent is that students graduate and are not prepared for the complexity of real-world problems, are not prepared to work as a part of a team and have little experience working with the latest technologies. Having the faculty to conduct the research is crucial to the University's mission and is a significant part of the foundation for creating Florida Polytechnic University.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value:	\$	47,141,724
Basis / source of valuation:	Funded new construction project cost.	
1st Year escrow deposit:	\$	471,417
Escrow funding source:	Operations and maintenance	
Comments:	<div style="border: 1px solid black; height: 40px;"></div>	

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost
NEW CONSTRUCTION					
Teaching Lab	7,000	<u>1.4</u>	9,800	<u>369</u>	3,616,200
Research Lab	32,000	<u>1.4</u>	44,800	<u>434</u>	19,443,200
Office	21,500	<u>1.4</u>	30,100	<u>343</u>	10,324,300
Campus Support Services	286	<u>1.4</u>	400	<u>323</u>	129,329
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
Total:	60,786		85,100		33,513,029

* Apply Unit Cost to total GSF based on Space Type

Remodeling Projects Only

REMODELING / RENOVATION

					NASF BEFORE	NASF AFTER
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
Total:	-		-		-	-
Total New Const. & Remodel / Renovation:	60,786		85,100		33,513,029	

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)	25,960,000	7,553,029					33,513,029
Add'l/Extraordinary Const. Costs (Shop)	1,855,000						1,855,000
Add'l Schedule Delays		600,000					600,000
Environmental Impacts/Mitigation		-					
Site Preparation	50,000						50,000
Landscape / Irrigation		25,000					25,000
Plaza / Walks		75,000					75,000
Roadway Improvements		-					
Parking : _____ spaces		1,000,000					1,000,000
Telecommunication	120,000						120,000
Electrical Service	175,000						175,000
Water Distribution	120,000						120,000
Sanitary Sewer System	125,000						125,000
Chilled Water System	175,000						175,000
Storm Water System	150,000						150,000
Energy Efficient Equipment		-					
Subtotal: Basic Const. Costs	28,730,000	9,253,029					37,983,029
Other Project Costs							
Land / existing facility acquisition	-						
Professional Fees	2,949,795						2,949,795
Fire Marshal Fees	29,850						29,850
Inspection Services	65,000	133,150					198,150
Insurance Consultant	23,200						23,200
Surveys & Tests	50,000						50,000
Permit / Impact / Environmental Fees	8,700						8,700
Artwork	29,000						29,000
Moveable Furnishings & Equipment		5,000,000					5,000,000
Project Contingency	387,605	482,395					870,000
Subtotal: Other Project Costs	3,543,150	5,615,545					9,158,695
Total Project Cost:	32,273,150	14,868,574					47,141,724

PROJECT FUNDING

Funding to Date			Total Project Cost (from above)	Remaining Funding Need
Source	Fiscal Year	Amount		
PECO/CRYFWD	2016-17	10,000,000		
PECO	2017-18	2,000,000		
CRYFWD	2018-19	17,873,150		
CRYFWD	2018-19	2,400,000		
		-		
		-		
Total:		<u>32,273,150</u>	<u>47,141,724</u>	<u>14,868,574</u>

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)			7,884,000	13,919,830	1,070,768		22,874,598
Environmental Impacts/Mitigation							
Site Preparation			25,000				25,000
Landscape / Irrigation					12,500		12,500
Plaza / Walks					37,500		37,500
Roadway Improvements							
Parking : _____ spaces			500,000				500,000
Telecommunication			60,000				60,000
Electrical Service			87,500				87,500
Water Distribution			80,000				80,000
Sanitary Sewer System			80,000				80,000
Chilled Water System			110,500				110,500
Storm Water System			75,000				75,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs			8,902,000	13,919,830	1,120,768		23,942,598
Other Project Costs							
Land / existing facility acquisition							
Professional Fees			1,848,785	362,000			2,210,785
Fire Marshall Fees			30,000				30,000
Inspection Services			80,000	40,000			120,000
Insurance Consultant			9,500				9,500
Surveys & Tests			5,000	15,000			20,000
Permit / Impact / Environmental Fees			4,350				4,350
Artwork					14,500		14,500
Moveable Furnishings & Equipment					1,500,000		1,500,000
Project Contingency					564,218		564,218
Subtotal: Other Project Costs			1,977,635	417,000	2,078,718		4,473,353
Total Project Cost:			10,879,635	14,336,830	3,199,486		28,415,951

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
		-		
Total:		<u>-</u>	<u>28,415,951</u>	<u>28,415,951</u>

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: Technology Exhibition Hall & Faculty/Staff Offices

Project Address: 4380 Polytechnic Circle, Lakeland FL 33805-8531

PROJECT NARRATIVE

Campus support service spaces are almost non-existent on the JDA Campus. Currently, University personnel are housed on the JDA Campus in the Innovation, Science & Technology Building, Technology Admissions Center, the Wellness Center, Student Housing 2 and the Student Development Center. Personnel are also being housed in the Lakeland Technology Building on the campus of Polk State College in Lakeland. The statute creating Florida Polytechnic University requires that Florida Polytechnic turn over space on the Polk State campus to the College once space becomes available on the campus of Florida Polytechnic University. Growth in enrollment at the Polk State College campus in Lakeland makes their need for the space currently being occupied by Florida Polytechnic critical to the ability of Polk State College to meet the academic demands of their students. As enrollment increases, the Technology Exhibition Hall will house main exhibition space, campus support services, meeting spaces and administrative offices. Space in the Wellness Center, which currently house some of these services, will be used to expand the food service operation to feed students, faculty & staff, and visitors as the enrollment grows. Current projections show that our current facilities will exceed capacity within three years. The Innovation, Science & Technology Building was designed and built to prioritize Classroom and Laboratory learning. Consequently, there is very limited meeting space, exhibition space, campus support and office spaces. STEM organizations and industry related companies have already approached the University about hosting scientific meetings and conferences. The construction of a Technology Exhibition Hall will free space in other campus facilities for such endeavors.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value:	\$	24,690,077
Basis / source of valuation:	Cost of construction	
1st Year escrow deposit:	\$	246,901
Escrow funding source:	Operating maintenance funds	
Comments:	<div style="border: 1px solid black; height: 40px;"></div>	

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost
NEW CONSTRUCTION					
Office	30,000	<u>1.5</u>	45,000	<u>343</u>	15,435,000
Audio/Exhib.	4,000	<u>1.5</u>	6,000	<u>381</u>	2,286,000
Campus Support Services	4,786	<u>1.5</u>	7,179	<u>312</u>	2,239,848
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
Total:	38,786		58,179		19,960,848

* Apply Unit Cost to total GSF based on Space Type

Remodeling Projects Only

REMODELING / RENOVATION

					NASF BEFORE	NASF AFTER
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
	-		-		-	-
Total:	-		-		-	-
Total New Const. & Remodel / Renovation:	38,786		58,179		19,960,848	

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)				4,708,100	11,603,318	3,649,430	19,960,848
Environmental Impacts/Mitigation							
Site Preparation				25,000			25,000
Landscape / Irrigation				12,500			12,500
Plaza / Walks				37,500			37,500
Roadway Improvements							
Parking : _____ spaces				500,000			500,000
Telecommunication				60,000			60,000
Electrical Service				87,500			87,500
Water Distribution				85,000			85,000
Sanitary Sewer System				87,500			87,500
Chilled Water System				110,500			110,500
Storm Water System				75,000			75,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs				5,788,600	11,603,318	3,649,430	21,041,348
Other Project Costs							
Land / existing facility acquisition							
Professional Fees				1,624,965	315,000		1,939,965
Fire Marshall Fees				26,000			26,000
Inspection Services				70,400	30,000		100,400
Insurance Consultant				9,500			9,500
Surveys & Tests				5,000	20,000		25,000
Permit / Impact / Environmental Fees				4,350			4,350
Artwork						14,500	14,500
Moveable Furnishings & Equipment						1,000,000	1,000,000
Project Contingency						529,014	529,014
Subtotal: Other Project Costs				1,740,215	365,000	1,543,514	3,648,729
Total Project Cost:				7,528,815	11,968,318	5,192,944	24,690,077

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
		-		
Total:		-	24,690,077	24,690,077

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: _____ Residence Hall 3

Project Address: 4536 Polytechnic Circle, Lakeland FL 33805-8531

PROJECT NARRATIVE

Dr. Ray Gasser, University of Idaho, reported in his 2008 study that "Researchers consistently have found that living on campus, and more specifically living in residence halls, positively impacts students in a variety of ways including higher GPAs, higher retention rates, and higher matriculation rates." Of the more than 3,000 applicants for the 500 slots in the 2014-15 inaugural class, approximately 66% of them preferred to live on campus. Enrollment is expected to grow in the 2021-2022 academic year to over 1399 students making the current, 219 beds in Housing 1 and 529 beds in Housing 2, numbers on campus woefully inadequate to meet demand. The inability to provide more housing will negatively impact retention rates at the university. Florida Polytechnic plans to build a third residence hall that has 350 beds and planned spaces for learning and living, This will directly support the university's mission to graduate students in sufficient numbers who are needed in high-tech industries in Florida. Those industries need well-educated students if they are to grow and provide well-paying jobs, thereby having a positive impact on the state's economic status. In addition, higher education rates at the Florida Polytechnic University will provide more students to work with high-tech companies to solve problems important to Florida's future.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value:	\$	34,716,518
Basis / source of valuation:	Cost of Construction	
1st Year escrow deposit:	\$	347,165
Escrow funding source:	Student Services - Housing	
Comments:		

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost
NEW CONSTRUCTION					
Other	90,000	<u>1.4</u>	126,000	<u>225</u>	28,350,000
Study	6,000	<u>1.4</u>	8,400	<u>225</u>	1,890,000
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
Total:	96,000		134,400		30,240,000

* Apply Unit Cost to total GSF based on Space Type

Remodeling Projects **Only**

REMODELING / RENOVATION

						NASF BEFORE	NASF AFTER
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
Total:	-		-		-	-	-
Total New Const. & Remodel / Renovation:	96,000		134,400		30,240,000		

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)				30,240,000			30,240,000
Environmental Impacts/Mitigation							
Site Preparation				25,000			25,000
Landscape / Irrigation				12,500			12,500
Plaza / Walks				20,000			20,000
Roadway Improvements							
Parking : 300 spaces				1,222,000			1,222,000
Telecommunication				60,000			60,000
Electrical Service				87,500			87,500
Water Distribution				80,000			80,000
Sanitary Sewer System				80,000			80,000
Chilled Water System				115,000			115,000
Storm Water System				75,000			75,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs				32,017,000			32,017,000
Other Project Costs							
Land / existing facility acquisition							
Professional Fees				1,572,500			1,572,500
Fire Marshall Fees				4,368			4,368
Inspection Services				40,000			40,000
Insurance Consultant				13,300			13,300
Surveys & Tests				15,000			15,000
Permit / Impact / Environmental Fees				4,350			4,350
Artwork							
Moveable Furnishings & Equipment				1,050,000			1,050,000
Project Contingency							
Subtotal: Other Project Costs				2,699,518			2,699,518
Total Project Cost:				34,716,518			34,716,518

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
		-		
Total:		<u>-</u>	<u>34,716,518</u>	<u>34,716,518</u>

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: _____ Residence Hall 4

Project Address: 4516 Polytechnic Circle, Lakeland FL 33805-8531

PROJECT NARRATIVE

Dr. Ray Gasser, University of Idaho, reported in his 2008 study that "Researchers consistently have found that living on campus, and more specifically living in residence halls, positively impacts students in a variety of ways including higher GPAs, higher retention rates, and higher matriculation rates." Of the more than 3,000 applicants for the 500 slots in the 2014-15 inaugural class, approximately 66% of them preferred to live on campus. Enrollment is expected to grow in the 2025-26 academic year to over 2,160 students making the current, 219 beds in Housing 1, 529 beds in Housing 2, and 350 beds in Housing 3, numbers on campus woefully inadequate to meet demand. The inability to provide more housing will negatively impact retention rates at the university. Florida Polytechnic plans to build a fourth residence hall that has 350 beds and planned spaces learning and living. This will directly support the university's mission to graduate students in sufficient numbers who are needed by high-tech industries in Florida. Those industries need well-educated students if they are to grow and provide well-paying jobs thereby having a positive impact on the state's economic status. In addition, higher retention rates at Florida Polytechnic University will provide more students to work with the high-tech companies to solve problems important to Florida's future.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value:	\$	34,716,518
Basis / source of valuation:	Cost of Construction	
1st Year escrow deposit:	\$	347,165
Escrow funding source:	Student Services - Housing	
Comments:		

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost
NEW CONSTRUCTION					
Other	90,000	<u>1.4</u>	126,000	<u>225</u>	28,350,000
Study	6,000	<u>1.4</u>	8,400	<u>225</u>	1,890,000
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
Total:	96,000		134,400		30,240,000

* Apply Unit Cost to total GSF based on Space Type

Remodeling Projects Only

REMODELING / RENOVATION

						NASF BEFORE	NASF AFTER
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
	-		-		-	-	-
Total:	-		-		-	-	-
Total New Const. & Remodel / Renovation:	96,000		134,400		30,240,000		

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)						30,240,000	30,240,000
Environmental Impacts/Mitigation							
Site Preparation						25,000	25,000
Landscape / Irrigation						12,500	12,500
Plaza / Walks						20,000	20,000
Roadway Improvements							
Parking : 300 spaces						1,222,000	1,222,000
Telecommunication						60,000	60,000
Electrical Service						87,500	87,500
Water Distribution						80,000	80,000
Sanitary Sewer System						80,000	80,000
Chilled Water System						115,000	115,000
Storm Water System						75,000	75,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs						32,017,000	32,017,000
Other Project Costs							
Land / existing facility acquisition							
Professional Fees						1,572,500	1,572,500
Fire Marshall Fees						4,368	4,368
Inspection Services						40,000	40,000
Insurance Consultant						13,300	13,300
Surveys & Tests						15,000	15,000
Permit / Impact / Environmental Fees						4,350	4,350
Artwork							
Moveable Furnishings & Equipment						1,050,000	1,050,000
Project Contingency							
Subtotal: Other Project Costs						2,699,518	2,699,518
Total Project Cost:						34,716,518	34,716,518

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
		-		
Total:		-	34,716,518	34,716,518

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: _____ Parking Structure 1

Project Address: 4320 Polytechnic Circle, Lakeland FL 33805-38531

PROJECT NARRATIVE

The Florida Polytechnic University, while within the City of Lakeland, is a remote campus and will require parking spaces for approximately 2,400 vehicles within the ten-year planning period. The need for a parking garage structure is paramount to preserving land for future development on the campus. Approximately 1,200 parking spaces would be provided as surface parking spaces, and the need for the additional 1,200 spaces would be met by the project in two phases of 600 each, with shared ramps. The program requires the university to also investigate adjacent alternate use spaces in order to maximize infrastructure investment. To support the development of the university transportal alternates have been studied. The need for parking structures is documented in a study prepared for the university by Tim Haas Associates, and will be included in the Master Plan Update.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value: \$ 11,099,800
 Basis / source of valuation: Cost of Construction
 1st Year escrow deposit: \$ 110,998
 Escrow funding source: Auxiliary Services
 Comments:

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost
NEW CONSTRUCTION					
Other	120,000	<u>1.3</u>	156,000	<u>60</u>	9,360,000
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
	-		-		-
Total:	120,000		156,000		9,360,000

* Apply Unit Cost to total GSF based on Space Type

Remodeling Projects **Only**

REMODELING / RENOVATION

					NASF BEFORE	NASF AFTER
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
					-	-
Total:					-	-
Total New Const. & Remodel / Renovation:	120,000		156,000		9,360,000	

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)			9,360,000				9,360,000
Environmental Impacts/Mitigation							
Site Preparation			26,000				26,000
Landscape / Irrigation			12,000				12,000
Plaza / Walks			25,000				25,000
Roadway Improvements			14,000				14,000
Parking : _____ spaces							
Telecommunication			12,000				12,000
Electrical Service			55,000				55,000
Water Distribution			20,000				20,000
Sanitary Sewer System							
Chilled Water System							
Storm Water System			85,000				85,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs			9,609,000				9,609,000
Other Project Costs							
Land / existing facility acquisition							
Professional Fees			780,000				780,000
Fire Marshall Fees			3,150				3,150
Inspection Services			33,400				33,400
Insurance Consultant			9,900				9,900
Surveys & Tests			21,200				21,200
Permit / Impact / Environmental Fees			4,650				4,650
Artwork							
Moveable Furnishings & Equipment				170,500			170,500
Project Contingency				468,000			468,000
Subtotal: Other Project Costs			852,300	638,500			1,490,800
Total Project Cost:			10,461,300				11,099,800

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
		-		
Total:		-	11,099,800	11,099,800

**State University System
5-Year Capital Improvement Plan (CIP)
FY 2021-22 through 2025-26**

Project Detail

University: Florida Polytechnic University Project Title: _____ Parking Structure 2

Project Address: 4340 Polytechnic Circle, Lakeland FL 33805-8531

PROJECT NARRATIVE

The Florida Polytechnic University, while within the City of Lakeland, is a remote campus and will require spaces for approximately 2,400 vehicles within the ten-year planning period. The need for a parking garage structure is paramount to preserving land for future development on the campus. Approximately 1,200 parking spaces would be provided surface parking spaces, and the need for the additional 1,200 spaces would be met by the project in two phases of 600 each, with shared ramps. The program requires the university to investigate adjacent alternate use spaces in order to maximize infrastructure investment. To support the development of the university transportation alternatives have been studied. The need for parking structures is documented in a study prepared for the university by Tim Haas Associates, and will be included in the Master Plan Update.

1% RESERVE ESCROW [per F.S. 1001.706 (12) c]

Building / project value:	\$	10,061,750	
Basis / source of valuation:		Cost of Construction	
1st Year escrow deposit:	\$	100,618	
Escrow funding source:		Auxiliary Services	
Comments:			

BUILDING SPACE DESCRIPTION

Space Type (per FICM)	Net Assignable Sq. Ft. (NASF)	Net-to-Gross Conversion Factor	Gross Sq. Ft. (GSF)	Unit Cost * (per GSF)	Building Cost		
NEW CONSTRUCTION							
Other	115,000	<u>1.3</u>	149,500	<u>60</u>	8,970,000		
	-		-		-		
	-		-		-		
	-		-		-		
	-		-		-		
	-		-		-		
	-		-		-		
	-		-		-		
Total:	115,000		149,500		8,970,000		
* Apply Unit Cost to total GSF based on Space Type							
						Remodeling Projects Only	
						NASF	NASF
						BEFORE	AFTER
						-	-
						-	-
						-	-
						-	-
						-	-
						-	-
						-	-
						-	-
						-	-
						-	-
Total:	-		-		-	-	-
Total New Const. & Remodel / Renovation:							
	115,000		149,500		8,970,000		

PROJECT COMPONENT COSTS & PROJECTIONS

	Costs Funded to Date	Projected Costs					Total
		Year 1	Year 2	Year 3	Year 4	Year 5	
Basic Construction Costs							
Building Cost (from above)				8,970,000			8,970,000
Environmental Impacts/Mitigation							
Site Preparation				24,000			24,000
Landscape / Irrigation				11,000			11,000
Plaza / Walks				20,000			20,000
Roadway Improvements				10,000			10,000
Parking : _____ spaces							
Telecommunication				8,000			8,000
Electrical Service				40,000			40,000
Water Distribution				5,000			5,000
Sanitary Sewer System							
Chilled Water System							
Storm Water System				65,000			65,000
Energy Efficient Equipment							
Subtotal: Basic Const. Costs				9,153,000			9,153,000
Other Project Costs							
Land / existing facility acquisition							
Professional Fees				410,000			410,000
Fire Marshall Fees				2,900			2,900
Inspection Services				33,400			33,400
Insurance Consultant				9,000			9,000
Surveys & Tests				10,000			10,000
Permit / Impact / Environmental Fees				4,650			4,650
Artwork							
Moveable Furnishings & Equipment					80,000		80,000
Project Contingency					358,800		358,800
Subtotal: Other Project Costs				469,950	438,800		908,750
Total Project Cost:				9,622,950			10,061,750

PROJECT FUNDING

Source	Funding to Date		Total Project Cost (from above)	Remaining Funding Need
	Fiscal Year	Amount		
		-		
		-		
		-		
		-		
		-		
Total:		-	10,061,750	10,061,750

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 20, 2020**

Subject: 2021-2022 Operating Legislative Budget Request

Proposed Committee Action

Recommend approval of the 2021-2022 Operating Legislative Budget Request (LBR).

Background Information

Issue: \$3 Million Increase in Operating Funds

In just its sixth year of enrolling students Florida Polytechnic University has become an important component of the health of Florida’s economy. Top technology and engineering companies along with some of the best and brightest students choose the University when seeking employees or seeking a top tier institution from which to obtain their degrees. Though much progress has been made there are five major areas that we must continue to address as we seek even greater success for our state. It is important that we continue focusing on (1) admissions, (2) student progression, (3) student user experience, (4) graduate programs, and (5) faculty development. These areas of focus are reflected in the University’s strategic and operational plans, created with input from local and statewide stakeholders.

Florida Polytechnic University has embarked on an ambitious plan to accomplish its mission and has set 3, 5, and 10-year milestones listed in the following table. Accomplishing these milestones is dependent on our success in addressing the five areas of focus previously stated.

Key Future Milestones in Florida Polytechnic University’s Growth			
	3-year Plan	5-year Plan	10-year Plan
¹ National Ranking	Top 25	15	10
Student Enrollment	1700	2000	2800
Academic Progress Rate	80%	85%	90%
4-year Graduation Rate	41%	43%	55%
Doctoral Program	None	None	Begin talks
Need to develop a campus growth plan that addresses all elements of growth to meet milestones			

¹US News & World Report (USNWR) Engineering Colleges without Doctoral Programs

The requested \$3 million in funding is needed to successfully address these critical areas of focus and meet the milestones in the 3-year, 5-year and 10-year plans. The University will succeed using a combination of personnel, infrastructure, process improvement, equipment, and a focused first year program that leads to higher retention and graduation rates.

The University’s focus on quality is exemplified by the rise in the academic profile of incoming students with respect to test scores, high school GPA and commitment to pursuing technology and engineering

careers. The quality of Florida Poly's programs is also reflected in the \$60,000 average starting annual salaries earned by our graduates.

The University's industry partners hire our students as employees and interns because those companies recognize that the students are among the best prepared in the nation. Students at Florida Poly receive an outstanding education in the theory of their chosen fields and must demonstrate their ability to apply those theories to real world problems.

In addition, Florida Poly faculty and staff are recognized as thought leaders in the fields of Autonomous Vehicle Research, Advanced Manufacturing, Health Systems Engineering, Data Science and Entrepreneurship. They are engaged in collaborative opportunities with industry partners who are at the cutting edge of technology and engineering.

Florida Poly faculty have been asked to lead an international group of scientists to develop groundbreaking research on key issues in vehicle autonomy and have established a collaboration with the Jacksonville Transportation Authority. They have also won National Science Foundation (NSF) grants in Health Systems Engineering and for the development of a large-scale simulation facility for connected and autonomous vehicles.

A collaboration agreement was also signed with Tallinn University of Technology in Estonia which joined forces with Florida Poly to advance the research and application of autonomous vehicle technology in Florida and Europe.

The University's president, Dr. Randy K. Avent, was invited to testify at a Senate hearing on autonomous vehicles hosted by the Committee on Commerce, Science and Transportation entitled "Driving Automotive Innovation and Federal Policies". Joining him on the Senate panel were three other CEOs from leading international companies in autonomous vehicle research and development.

Our faculty delivered the keynote speech at the 8th Institute of Electrical and Electronics Engineers Annual Ubiquitous Computing, Electronics and Mobile Communication Conference. A Florida Polytechnic University professor was one of two first ever in Florida to be selected for the prominent and competitive Executive Leadership in Academic Technology, Engineering, and Science program.

Florida Polytechnic University's entrepreneurship program was recognized internationally with its selection as a finalist by the Global Consortium of Entrepreneurship Centers along with Harvard University, Penn State University and Florida State University.

These are but a few examples that explain why technology and engineering firms are seeking to relocate to Florida to be geographically near the Florida Polytechnic University campus and why students who are among the best and brightest in their high schools choose Florida Poly.

This is just the beginning. Florida Poly was created to catalyze economic development in the state and therefore we cannot rest on what we have achieved to this point.

The \$3 million being requested is necessary to continue the advance of Florida's 100% STEM university to the top level of excellence for the benefit all Floridians. We have demonstrated that investing in Florida Polytechnic University is a worthwhile investment in Florida's future.

Supporting Documentation: None

Prepared by: Rick Maxey, AVP, Economic Development and Board Liaison

**Florida Polytechnic University
Board of Trustees
Finance and Facilities Committee
May 20, 2020**

Subject: 2020-2021 University Operating Budget

Proposed Committee Action

Recommend approval of the University Operating Budget for the 2020-2021 fiscal year to the Board of Trustees.

Background Information

The Board of Governors requires that the University's operating budget be approved by the Board of Trustees and provided to the Board of Governors who will be reviewing and approving each budget during its September 9, 2020 Board meeting. The President and the CFO in accordance with their fiduciary responsibility to the University must certify that the budget is true and materially correct to the best of their knowledge. The President and the CFO must further certify that the budget has been reviewed and approved by the Board of Trustees at its meeting held on May 20, 2020, and that funds will only be expended in accordance with the approved budget as well as all applicable statutes, Board of Governors regulations, and University regulations.

Supporting Documentation:

- Proposed Operating Budget
- FY 19-20 versus FY 20-21 Operating Budget
- FY 20-21 Operating Budget Summary

Prepared by: Mark Mroczkowski, Vice President and CFO

Florida Polytechnic University
2020-21 Proposed Budget
For BOT Approval

	Educational & General	Contracts & Grants	Auxiliaries	Local Funds	Total
<u>Receipts/Revenues</u>					
General Revenue	35,978,000				35,978,000
Lottery	436,403				436,403
Student Tuition	2,066,379				2,066,379
Phosphate Research	3,018,832				3,018,832
Other US Grants		724,000			724,000
Sales of Goods/Services			5,002,756		5,002,756
Fees				878,776	878,776
Concessions			8,000		8,000
Investment Income				1,250,000	1,250,000
Sub-Total	41,499,614	724,000	5,010,756	2,128,776	49,363,146
Transfers in	200,421			10,250,000	10,450,421
Total Receipts/Revenues	41,700,035	724,000	5,010,756	12,378,776	59,813,567
<u>Operating Expenditures</u>					
Salaries & Benefits	26,583,932		774,425	157,033	27,515,390
Other Personal Services	2,747,483		99,133	138,908	2,985,524
Expenses	9,299,788	700,000	3,737,503	734,709	14,472,000
Risk Management					-
Financial Aid	50,000			10,250,000	10,300,000
Phosphate Research	3,018,832				3,018,832
Total Operating Expenditures	41,700,035	700,000	4,611,061	11,280,650	58,291,746
<u>Non-Operating Expenditures</u>					
Fixed Capital Outlay					TBD
Carry Forward (from Prior Period)					TBD
Total Non-Operating Expenditures					-
Grand-Total Expenditures					58,291,746

Florida Polytechnic University
For BOT Approval

	Operating Budget	
	BOT APPROVED	PROPOSED
	2019-20	2020-21
<u>Receipts/Revenues</u>		
<u>Education & General</u>		
General Revenue	37,347,306	35,978,000
Lottery	363,360	436,403
Student Tuition	2,054,602	2,066,379
Phosphate Research	2,945,111	3,018,832
<u>Contracts & Grants</u>		
Other US Grants	472,500	724,000
<u>Auxiliaries</u>		
Sales of Goods/Services	5,019,143	5,002,756
Concessions	35,000	8,000
<u>Local Funds</u>		
Fees	952,803	878,776
Investment Income	1,550,000	1,250,000
<u>Transfers</u>		
FIPR to General Revenue	200,421	200,421
Financial Aid	10,000,000	10,000,000
Other Unrestricted	250,000	250,000
<u>Total Receipts/Revenues</u>	61,190,246	59,813,567
<u>Operating Expenditures</u>		
<u>Education & General</u>		
Salaries & Benefits	29,488,731	26,583,932
Other Personal Services	1,772,565	2,747,483
Expenses	8,654,393	9,299,788
Financial Aid	50,000	50,000
Phosphate Research	2,945,111	3,018,832
<u>Contracts & Grants</u>		
Expenses	472,500	700,000
<u>Auxiliaries</u>		
Salaries & Benefits	998,752	774,425
Other Personal Services	40,800	99,133
Expenses	3,953,945	3,737,503
<u>Local Funds</u>		
Salaries & Benefits	211,119	157,033
Other Personal Services	100,000	138,908
Expenses	702,330	734,709
<u>Transfers</u>		
Financial Aid	10,000,000	10,000,000
Other Unrestricted	250,000	250,000
<u>Total Operating Expenditures</u>	59,640,246	58,291,746
<u>Non-Operating Expenditures</u>		
Fixed Capital Outlay	22,500,141	TBD
Carry Forward (from Prior Period)	8,010,778	TBD
<u>Total Non-Operating Expenditures</u>	30,510,919	-
GRAND-TOTAL	90,151,165	58,291,746

FLORIDA POLYTECHNIC UNIVERSITY
FY 20-21 Operating Budget ALL SOURCES Operating Budget Request

Budget Council Final Approval

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
	BOARD OF TRUSTEE							
1001	BOARD OF TRUSTEES	29,876	-	-	29,876	29,876	-	0.00%
	TOTAL OF BOARD OF TRUSTEES	29,876	-	-	29,876	29,876	-	0.00%
	THE OFFICE OF THE PRESIDENT							
1002	Office of the President	1,264,760	895,998	299,242	128,352	1,323,592	58,832	4.65%
1086	Audit & Compliance	166,106	168,255	-	5,150	173,405	7,299	4.39%
1050	Ombudsman	4,752	-	-	-	-	(4,752)	(100.00%)
1056	Advanced Mobility Res	500,000	-	-	-	-	(500,000)	(100.00%)
1085	Title IX	164,670	112,308	3,500	33,615	149,423	(15,247)	(9.26%)
1035	University Relations	1,735,336	783,582	-	868,507	1,652,089	(83,247)	(4.80%)
1037	Government Affairs	192,183	114,101	50,000	25,000	189,101	(3,082)	(1.60%)
	TOTAL OFFICE OF THE PRESIDENT	4,027,806.68	2,074,244	352,742	1,060,624	3,487,610	(540,197)	(13.41%)
	ACADEMIC AFFAIRS DIVISION							
	OFFICE OF THE EXEC. VICE PRESIDENT & PROVOST							
1003	Office of the Provost Academic Affairs	4,889,365	1,219,606	1,701,408	659,130	3,580,144	(1,309,221)	(26.78%)
2000	Faculty Recruitment	2,854,651	2,747,342	-	-	2,747,342	(107,309)	(3.76%)
1011	Registrar	564,375	424,754	32,573	112,550	569,877	5,501	0.97%
1004	College of Engineering	2,803,447	3,025,264	-	116,500	3,141,764	338,318	12.07%
1005	College of Innovation & Technology	2,782,297	2,765,677	-	138,500	2,904,177	121,880	4.38%
1006	General Education	2,209,415	2,130,577	59,400	131,500	2,321,477	112,062	5.07%
	Sub-Total The Office of the Exec. Vice President & Provost	16,103,550	12,313,220	1,793,381	1,158,180	15,264,781	(838,769)	(5.21%)

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
	ACADEMIC SERVICES - VICE PROVOST							
1009	Assessment & Instruction	731,009	588,239	24,000	134,912	747,151	16,143	2.21%
1021	Entrepreneurship	285,453	86,694	10,000	11,300	107,994	(177,459)	(62.17%)
	Sub-Total Academic Affairs	1,016,462	674,933	34,000	146,212	855,145	(161,317)	(15.87%)
	ACADEMIC SERVICES - VICE PROVOST							
1012	Academic Support Services	707,715	528,217	50,000	131,659	709,876	2,161	0.31%
1089	Library	310,317	98,283	-	214,019	312,302	1,985	0.64%
1090	Disabilities	26,000	66,516	-	26,000	92,516	66,516	255.83%
1091	Career	75,697	78,215	-	13,050	91,265	15,568	20.57%
1017	International Students	168,301	64,877	36,180	52,514	153,571	(14,730)	(8.75%)
1018	Student Development	523,721	318,266	27,360	111,344	456,970	(66,752)	(12.75%)
	Sub-Total Academic Services	1,811,751	1,154,373	113,540	548,586	1,816,499	4,748	0.26%
	ENROLLMENT & STUDENT DEVELOPMENT							
1014	Enrollment Services	1,047,882	-	-	-	-	(1,047,882)	(100.00%)
1015	Admissions	1,054,727	923,278	160,000	1,274,265	2,357,543	1,302,816	123.52%
1016	Financial Aid	464,358	323,621	10,400	149,094	483,115	18,757	4.04%
	Sub-Total of Enrollment & Student Development	2,566,966	1,246,898	170,400	1,423,359	2,840,657	273,691	10.66%
	RESEARCH							
1022	Grants & Contracts	201,344	186,378	-	26,041	212,419	11,075	5.50%
1049	Health Informatics	534,656	178,690	96,011	12,996	287,697	(246,959)	(46.19%)
1061	Research Program	0	-	-	-	-	-	0.00%
1084	Applied Economic Analysis (FPLI)	75,000	74,000	1,000	-	75,000	0	0.00%
	Sub-Total Research	810,999	439,068	97,011	39,037	575,116	(235,884)	(29.09%)
	TOTAL DIVISION OF ACADEMIC AFFAIRS	22,309,728	15,828,492	2,208,332	3,315,374	21,352,198	(957,530)	(4.29%)

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
	ADVANCEMENT DIVISION							
1034	Advancement	1,268,486	1,051,643	39,300	141,203	1,232,146	(36,340)	(2.86%)
	TOTAL ADVANCEMENT DIVISION	1,268,486.01	1,051,643	39,300	141,203	1,232,146	(36,340)	(2.86%)
	FINANCE & ADMINISTRATION							
1058	Office of the CFO	383,932	387,747	-	14,926	402,673	18,741	4.88%
1057	Central Administration	132,000	-	-	19,424	19,424	(112,576)	(85.28%)
1059	Risk Management	88,000	-	-	125,000	125,000	37,000	42.05%
1027	Special Projects / ERP	1,097,477	386,492	7,020	703,489	1,097,001	(476)	(0.04%)
1024	Facilities & Safety Services	2,869,198	796,459	-	2,056,408	2,852,867	(16,331)	(0.57%)
1019	Environmental Health & Safety	193,326	118,358	-	59,891	178,249	(15,077)	(7.80%)
1026	Public Safety & Police	1,044,212	896,102	39,204	87,967	1,023,273	(20,938)	(2.01%)
1032	Human Resources	746,632	672,307	-	84,363	756,670	10,037	1.34%
1028	Procurement	359,332	264,525	-	28,728	293,253	(66,079)	(18.39%)
	Sub-total Finance & Administration	6,914,109	3,521,990	46,224	3,180,196	6,748,410	(165,699)	(2.40%)
	Finance & Accounting							
1029	University Bursar Office	85,667	193,541	-	63,500	257,041	171,374	200.05%
1023	Finance & Administration	562,508	-	-	-	-	(562,508)	(100.00%)
1030	Budget	242,675	248,075	-	500	248,575	5,900	2.43%
1031	Finance & Accounting	572,394	851,168	-	49,913	901,081	328,687	57.42%
	Sub-Total Finance & Accounting	1,463,245	1,292,784	-	113,913	1,406,697	(56,548)	(3.86%)
	TECHNOLOGY SERVICES							
1043	Information Security	494,421	451,911	18,900	772,734	1,243,545	749,124	151.52%
1045	Administrative Computing	864,505	746,609	-	145,077	891,686	27,181	3.14%
1044	User Services	856,497	644,253	81,985	102,388	828,626	(27,871)	(3.25%)
1041	Technology Services	428,192	361,081	-	313,921	675,002	246,810	57.64%
	Technology Services	2,643,615	2,203,854	100,885	1,334,120	3,638,859	995,244	37.65%
	TOTAL FINANCE & ADMINISTRATION DIVISION	11,020,968	7,018,628	147,109	4,628,229	11,793,966	772,998	7.01%

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
	GENERAL COUNSEL DIVISION							
1033	General Counsel	808,824	610,925	-	174,482	785,407	(23,417)	(2.90%)
	TOTAL GENERAL COUNSEL DIVISION	808,824	610,925	-	174,482	785,407	(23,417)	(2.90%)
	TOTAL E&G	39,465,689	26,583,932	2,747,483	9,349,788	38,681,203	(784,486)	-1.99%
1020	FIPR	2,945,111	1,245,881	94,000	1,678,951	3,018,832	73,721	2.50%
	STUDENT FEES							
1041	Technology Fee	88,893	-	-	90,165	90,165	1,272	1.43%
1018	Orientation	60,000	-	-	13,000	13,000	(47,000)	(78.33%)
1012	Health Services	144,751	96,933	-	134,422	231,355	86,604	59.83%
1018	Student Government	266,245	-	-	247,237	247,237	(19,008)	(7.14%)
1018	Athletics	275,144	60,100	138,908	54,070	253,078	(22,066)	(8.02%)
1016	Financial Aid Fee	95,901	-	-	99,007	99,007	3,106	3.24%
1017	International Fees	4,000	-	-	5,000	5,000	1,000	25.00%
1011	Late Fees	1,983	-	-	1,983	1,983	-	0.00%
1015	Application Fee	0	-	-	20,000	20,000	20,000	0.00%
1011	Transcript Fee	4,570	-	-	3,000	3,000	(1,570)	(34.35%)
1024	Capital Improvement Fee	0	-	-	66,825	66,825	66,825	0.00%
	Sub-Total Student Fees	941,487	157,033	138,908	734,709	1,030,649	89,163	9.47%
	AUXILIARIES							
1025	Bookstore	10,830	-	-	-	-	(10,830)	(100.00%)
1025	Campus Mail	26,500	-	-	26,900	26,900	400	1.51%
1025	Copy Center	167,887	31,738	10,000	93,325	135,063	(32,824)	(19.55%)
1025	Campus Ding	3,146,383	125,328	25,380	2,818,878	2,969,586	(176,797)	(5.62%)
1025	Parking & Transportation	446,828	80,220	38,753	46,200	165,173	(281,656)	(63.03%)
1025	Parking Lot Remediation	-	-	-	-	-	-	0.00%
1025	Transportation	-	-	-	42,000	42,000	42,000	0.00%
1025	Poly Card	28,090	-	-	11,000	11,000	(17,090)	(60.84%)
1025	Poly Bucks	-	-	-	-	-	-	0.00%
1025	Housing	119,521	-	-	160,000	160,000	40,479	33.87%
1025	Events	-	-	-	13,000	13,000	13,000	0.00%

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
1025	Concessions	25,794	-	-	8,000	8,000	(17,794)	(68.99%)
1025	Rebates	12,720	-	-	13,000	13,000	280	2.20%
	Sub-Total Business Services	3,984,553	237,285	74,133	3,232,303	3,543,721	(440,832)	(11.06%)
1023	Financial Auxiliary	638,285	416,308	-	155,200	571,507	(66,777)	(10.46%)
1012	Academic Support	4,000	-	-	4,000	4,000	-	0.00%
1094	Residential Life	-	59,982	25,000	63,000	147,982	147,982	0.00%
1093	CE-International Program	-	-	-	15,500	15,500	15,500	0.00%
1093	CE-Conferences and Workshops	-	-	-	28,000	28,000	28,000	0.00%
	CE-Consultation	-	-	-	-	-	-	0.00%
	CE-Technical Assistance	-	-	-	-	-	-	0.00%
1006	India Workshop	-	-	-	3,000	3,000	3,000	0.00%
1026	Safety & Police	93,466	60,849	-	-	60,849	(32,617)	(34.90%)
1018	SGA Auxiliary	4,000	-	-	-	-	(4,000)	(100.00%)
1029	Late Fees(Payment)	7,300	-	-	8,000	8,000	700	9.59%
1020	FIPR	261,893	-	-	228,500	228,500	(33,393)	(12.75%)
	TOTAL AUXILIARIES	4,993,497	774,425	99,133	3,737,503	4,611,060	(382,437)	(7.66%)
	OTHER UNRESTRICTED FUNDS	250,000			250,000	250,000	-	
	CONTRACTS & GRANTS	472,500			700,000	700,000	227,500	48.15%
	FINANCIAL AID	10,000,000			10,000,000	10,000,000	-	
	PECO/Capital Budget	22,500,000			TBD	-	(22,500,000)	
	TOTAL BUDGETED EXPENSE ALL SOURCES							
	Education & General (E&G)	39,465,689	26,583,932	2,747,483	9,349,788	38,681,203	(784,486)	(1.99%)
1020	FIPR	2,945,111	1,245,881	94,000	1,678,951	3,018,832	73,721	2.50%
	Student Fees	941,487	157,033	138,908	734,709	1,030,649	22,338	2.37%
	Auxiliaries	4,993,497	774,425	99,133	3,737,503	4,611,060	(428,937)	(8.59%)
	Carry Forward	10,010,778	-	-	-	-	(4,600,946)	(45.96%)
	Other Unrestricted	250,000	-	-	250,000	250,000	-	0.00%
	Contracts & Grants	472,500	-	-	700,000	700,000	227,500	48.15%
	Financial Aid	10,000,000	-	-	10,000,000	10,000,000	-	0.00%
	PECO/Capital Project	22,500,000	-	-	TBD	-	(22,500,000)	0.00%
	TOTAL BUD EXP ALL SOURCES	91,579,061	28,761,270	3,079,523	26,450,951	58,291,744	(27,990,810)	

COST CENTER HIERARCHY		FY 19-20 Operating Budget	FY 20-21 Operating Budget					
CODE	COST CENTER HIERARCHY	Total Operating Budget	Salary & Benefit Incl the Incr Benefit	OPS	EXPENSE	Total Operating Budget	FY 20-21 Operating Budget vs FY 2019-20 Operating Budget	Increase %
REVENUES/ALLOCATIONS								
	Appropriation - Operating Funds	36,797,306				35,928,000		
	Lottery Funds	363,360				436,403		
	Need-Based Financial Aid	50,000				50,000		
	Tuition & Fees Trust Fund	2,054,602				2,066,379		
	FIPR Shared Services	200,421				200,421		
Sub-Total State Allocation & Student		39,465,689				38,681,203		
	FIPR	2,945,111				3,018,832		
	Student Fees	952,803				878,776		
	Auxilliaris	5,054,143				5,010,756		
	Carry Forward	10,010,778				TBD		
	Other Unrestricted	250,000				250,000		
	Contracts & Grants	472,500				724,000		
	Investment Income	1,550,000				1,250,000		
	Financial Aid	10,000,000				10,000,000		
	PECO/Capital Budget	22,500,141				TBD		
TOTAL BUDGETED REVENUES		93,201,165				59,813,567		

**Florida Polytechnic University
Board of Trustees
Finance and Facilities Committee
May 20, 2020**

Subject: 2020-2021 Foundation Operating Budget

Proposed Committee Action

Recommend approval of the Foundation Operating Budget for the 2020-2021 fiscal year to the Board of Trustees.

Background Information

As part of its oversight responsibilities, the Board of Trustees, is required to provide a secondary approval of the Foundation's annual budget after it is formally adopted and approved by the Foundation's Board of Directors.

Supporting Documentation: FY21 Foundation Budget as approved by the Foundation's Board of Directors at their May 1, 2020 meeting

Prepared by: Larry Locke, Director, Finance and Development, Advancement

FY2021 FOUNDATION BUDGET

Approved by Foundation Board of Directors: May 1, 2020

	FY 17-18	FY 18-19	FY 19-20 - March 2020	% Change (FY18-Present)
Unrestricted Cash In Bank - FPUF (Wells Fargo):	\$ 528,774.68	\$ 552,619.50	\$ 736,307.19	39.25%
Unrestricted Cash In Bank - FPUF (TIAA Cref):	\$ 1,527,942.78	\$ 757,104.30	\$ 539,408.40	-64.70%
Total Unrestricted Cash:	\$ 2,056,717.46	\$ 1,309,723.80	\$ 1,275,715.59	-37.97%
Endowment Cash Balance	\$ 853,187.48	\$ 1,419,851.10	\$ 1,617,615.64	89.60%
Temporary Restricted Cash Balance:	\$ 3,081,814.00	\$ 3,261,714.00	\$ 3,471,206.26	12.64%

Proposed Foundation Budget FY21

Revenue

Needed Donations to Operation Fund		\$	603,500.00
	Withdraw from scholarship funds	\$	85,295.37
Interest on Investments	4% endowment spending allotment	\$	64,704.63
Total Revenue		\$	753,500.00

Expenses

Operational Expenses

<u>Ledger Account</u>	<u>Spend Category</u>		
77200 - Oper. Exp. Contractual Services	Auditing Services	\$	34,500.00
77200 - Oper. Exp. Contractual Services	Advocates	\$	180,000.00
77200 - Oper. Exp. Contractual Services	Entertainment Services	\$	40,000.00
77200 - Oper. Exp. Contractual Services	Custodial Fees	\$	1,000.00
77200 - Oper. Exp. Contractual Services	Gen. Liability Insurance	\$	3,000.00
77200 - Oper. Exp. Contractual Services	Meeting/Program Expenses	\$	60,000.00
78900: Other Non-Operating Expense	Travel	\$	35,000.00
Total Operational Expenses:		\$	353,500.00

Scholarship/Salary Expense

76800 - Scholarships and Fellowships		\$	250,000.00
76800 - Scholarships and Fellowships	President Salary	\$	150,000.00
	Student scholarships	\$	400,000.00

Total Scholarship/Pres. Salary Expenses:

Total Development Payroll Expenses:

\$ 753,500.00

Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 20, 2020

Subject: Memorandum of Understanding between the University and the Foundation

Proposed Committee Action

Informational only – no action required.

Background Information

Board of Governors regulation, Board of Trustees regulation, and Florida Statutes provide that the university boards of trustees may certify direct support organizations (DSO) to use university property, facilities and services. The University and its DSO, Florida Polytechnic University Foundation, Inc., have agreed to a high-level understanding of the relationship between the entities that outlines the nature and scope of the services each provides to the other. Furthermore, the document memorializes the relationship in a way that documents the rationale for circumstances when University personnel and resources are used not to benefit the University directly, but the Foundation.

Supporting Documentation: Memorandum of Understanding between the University and the Florida Polytechnic University Foundation, Inc.

Prepared by: David J. Brunell, Assistant General Counsel

Florida Polytechnic University Foundation, Inc. and Florida Polytechnic University Memorandum of Understanding

May 8, 2020

Preamble

This Memorandum of Understanding (MOU) is created between Florida Polytechnic University Foundation, Inc. (Foundation), a 501(c)(3) not-for-profit direct-support organization of Florida Polytechnic University, and the Florida Polytechnic University Board of Trustees (University), a public body corporate.

The Foundation was organized and incorporated in October 2012, exclusively to receive, hold, invest, and administer property and to make expenditures to or for the benefit the University by encouraging alumni and friends to provide private funds and other resources for the University's benefit, to manage those assets, to provide volunteer leadership in support of the University's objectives and to perform all business matters to accomplish these purposes, and to exercise rights in intellectual property for the benefit of the University.

The Foundation is dedicated to assisting the University's academic mission and other priorities of the University through financial support. The University is dedicated to supporting the Foundation in its day-to-day operations through services used by the University in support of the Foundation.

Terms

I. University Services

- A. The University agrees that it will permit reasonable use of University equipment and personnel as needed to coordinate the activities of Foundation with its educational operations. Further, University officers and employees may reasonably assist from time to time in development programs as may be needed or helpful in coordinating those Foundation activities with the operations of the University. More specifically, University will provide the following services to the Foundation:
 - 1. Academic Affairs
 - i. Access to appropriate personnel to schedule meetings with donors and potential donors as needed
 - ii. Operational and administrative support at Foundation-sponsored events
 - 2. Division of the President
 - i. University Audit and Compliance
 - a. Internal audit services and support for required and requested audits
 - ii. University Relations
 - a. Social media services, support, and advice
 - b. Press release services, support and advice
 - c. Content creation for social, print and other media

3. Finance and Administration

i. Finance and Accounting services

- a. Accounts payable processing for all disbursements drawn on University's bank (currently Wells Fargo) until the Foundation migrates to another financial institution
- b. General accounting as needed

ii. Technology support

- a. Where Foundation aligns hardware or software with University systems, service will be "full service" comparable to any University department; otherwise, services will be rendered as may be accommodated.
- b. Provide reporting assistance with non-Foundation systems when data is required by the Foundation to report on donor contributions, endowed funds, gifts, and investments unless and until the Foundation migrates from the University-supported software

iii. Procurement support

- a. Provide comparable services for Foundation-procured goods and services including cost savings and initial contract review and feedback
- b. If supplier will not agree to Procurement-led terms, Procurement will issue a recommendation which Foundation will consider and may elect to proceed. In *this* circumstance, Procurement will note in requisition "Procurement is processing for purposes of payment only" if requisition is processed through University's ERP system, currently Workday.

iv. Enterprise Systems

- a. Provide assistance in the use or operation of University's enterprise resource system (currently Workday), with its Donor-Customer Relationship Management System (e.g. Salesforce and/or Blackbaud), and its Donation-Giving System (e.g. Q-Giv) until the Foundation migrates to software not supported by the University
- b. Provide reporting assistance (reports, dashboards) used by the Foundation to view/extract data to track donor contributions, endowed funds, gifts, and investments until the Foundation migrates to software not supported by the University

4. General Counsel

- i. Legal support regarding contract review, gift development, governance, and otherwise as needed

- B. The University will provide services upon request of the Foundation or may volunteer to do so; generally, services provided to Foundation will be on par with services rendered to other University departments. However, the University or its personnel may opt not to provide services where a conflict may be created between the Foundation and the University or in their duties to the University whether fiduciary or otherwise (e.g. Chief Audit Executive, General Counsel). The University will not charge Foundation for services under this MOU except as it would internally charge its departments for the same or similar services or unless as otherwise agreed by the parties in writing.

II. The Foundation Services

- A. The Foundation agrees that it will provide the University:
 - 1. Partial funding for salary and benefits to (some) University employees, fundraising, and lobbying services
 - 2. Information to Institutional Research and Effectiveness about alumni from Foundation's surveys
 - 3. Fundraising initiatives to support scholarships and student support, facilities, research, programs and unrestricted funding to support University initiatives including entertainment expenses and travel not covered by the University
- B. For any obligations under this MOU in which Foundation agrees to provide fundraising support, such obligation will be construed only to make best efforts to raise funds and is not a commitment to any particular amount. Foundation, in consultation with the University President or the President's designee, will determine fundraising priorities to the extent Foundation cannot meet requests of individual University departments.

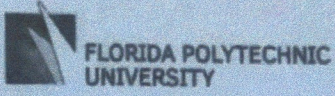
III. Licenses

- A. Each party allows the other party a non-exclusive, royalty-free, fully paid-up license to use the other party's name, logotypes, or trademarks for non-commercial purposes. Foundation's use of anything governed by this clause for purposes of soliciting gifts will be deemed non-commercial so long as the Foundation remains a direct-support organization of the University.
- B. If the Foundation is ever decertified as a direct-support organization of the University, the license granted in this MOU will terminate.
- C. The University allows the Foundation the use of its space as governed by university regulation without the requirement of a facility use agreement; Foundation may be required to fill out any documents similar to a department or other affiliated entity.

IV. Miscellaneous

- A. This MOU and any amendments to it are governed by Florida law and any University or Board of Governors regulations.
- B. This MOU supersedes any prior written or oral agreements and is effective immediately upon execution by the parties. The MOU will remain in effect from year-to-year unless modified in writing by mutual agreement of parties.
- C. In the event of conflict between the parties, representatives of the parties will meet to discuss the conflict prior to any termination of this MOU. The MOU will automatically terminate if at any time the Foundation is decertified as a direct-support organization of the University.
- D. The Foundation recognizes that this MOU is a public record.

Signatures follow on next page.



For the University:

Handwritten signature of Randy Avent in black ink.

Randy Avent, President

For the Foundation:

Handwritten signature of Kathleen Bowman in black ink.

Kathy Bowman, CEO

Approved as to form and legality:

Handwritten signature of Regina DeIulio in black ink.

Regina DeIulio
University Attorney

Approved as to form and legality:

Handwritten signature of David J. Brunell in black ink.

May 8, 2020

David J. Brunell
Foundation Attorney

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 20, 2020**

Subject: Approval of Re-election of Foundation Board Directors

Proposed Committee Action

In accordance with Florida Polytechnic University Foundation Bylaws, request approval from the Board of Trustees of the following nominees to a two-year term to the Florida Polytechnic University Foundation, Inc. Board of Directors:

- Loretta Sanders
- Vic Story

Background Information

The re-election of these nominees whose terms expired in March 2020 was unanimously approved by the Foundation Nomination Committee and Foundation Board of Directors during meetings held on May 1, 2020. This matter now comes before the Board of Trustees for confirmation.

Supporting Documentation:

- Loretta Sanders, Biography
- Vic Story, Biography

Prepared by: Kathy Bowman, VP of Advancement and CEO, Florida Polytechnic University Foundation



FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION

Loretta Sanders Bio

Loretta Sanders is a community volunteer and philanthropist serving various boards supporting education and human service organizations in Winter Haven and Polk County, Florida. All Saints' Academy, the Polk County Medical Association Alliance, We Care of Polk County, and United Way are all beneficiaries of her time, talent, and treasure.



Loretta earned her bachelors degree in nursing and served in the operating room, emergency room, and surgical oncology research unit. Her interest in law and medicine led her back to the University of Detroit where she earned her JD from the University of Detroit Mercy School of Law. Loretta leveraged her background in healthcare and law at the Detroit Medical Center working on legal affairs and risk management. She even found time to serve as an adjunct professor in the medical legal ethics course at the Detroit College of Business.

Loretta is a passionate supporter of Florida Poly students in addition to her leadership and collaboration with the Women in STEM initiatives. She served as an inaugural member of the Florida Polytechnic University Foundation Board of Directors since 2013 serving as Foundation Chair for many years. Loretta is a faithful supporter of the University.



FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION

Victor B. Story Bio

The Story Companies are comprised of various Florida land management entities. Since 1945, the family owned and operated corporations include land holdings including management, marketing and harvesting over 7,000 acres of quality Florida citrus, peaches and blueberris in Central and South Florida.

For over 70 years, the Storys have been providing Florida growers superior service with outstanding returns.

Vic currently serves as President and Chairman of the Board of the Story Companies. He oversees each of the Story holdings along with family members. He previously served as past President of Florida Citrus Mutual, President of Polk County Farm Bureau, and Vice Chairman of the Florida Citrus Commission.

Vic is the recipient of multiple awards including the 2012 Florida Grower Citrus Achievement Award, the 2015 Sunbelt Ag Expo Florida Farmer of the Year, and was inducted into the Florida Citrus Hall of Fame in 2016.

Vic has dependably served as an inaugural member of the Florida Polytechnic University Foundation Board of Directors since 2013 and is a faithful supporter of the University.





FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Meeting

Wednesday, May 20, 2020, 11:15-11:45 AM
Or upon conclusion of the Finance & Facilities Committee meeting

Florida Polytechnic University
TELE-CONFERENCE MEETING

Dial In Number: 415-655-0001 | Access Code: 618 932 538#

Don Wilson, Chair
Dr. Victoria Astley
Connor Coddington
Dr. Louis Saco

Cliff Otto, Vice Chair
Rear Admiral Philip Dur
Frank Martin
Bob Stork

Mark Bostick
Dr. W. Earl Sasser
Henry McCance
Gary C. Wendt

AGENDA

- | | |
|---|---------------------------|
| I. Call to Order | Don Wilson, Chair |
| II. Roll Call | Michele Rush |
| III. Public Comment | Don Wilson, Chair |
| IV. Chairman's Remarks | Don Wilson, Chair |
| V. President's Remarks | Randy K. Avent, President |
| VI. Consent Agenda
<i>*Action Required*</i> | Don Wilson, Chair |
| A. Academic & Student Affairs Committee | |
| 1. Approve Cyber Security Engineering degree | |
| 2. Approve Collective Bargaining Agreement Revised Article 12: Salaries | |
| 3. MOU "Memorandum of Understanding re: COVID-19 Health Emergency" | |
| 4. Approve revised Regulation FPU-3.006 Student Code of Conduct | |
| B. Audit & Compliance Committee | |
| 1. Approve University Financial Audit – (FYE 6/30/19) | |
| 2. Approve Foundation Form 990 (FYE 6/30/19) | |
| 3. Approve UAC Quality Assurance Review (QAR) – Self | |

Assessment (Report No. FPU 2020-07)

- C. Finance & Facilities Committee
 - 1. Approve revised FPU-4.001 Tuition and Related Fees Schedule
 - 2. Approve the 2021-2022 Capital Improvement Plan (CIP)
 - 3. Approve granting Dr. Avent authority to sign a change order up to \$2.4 million to Skanska to continue construction of the Applied Research Center until additional funding is received from the State of Florida
 - 4. Approve amendment to the 2019-2020 Carry Forward Budget to use Carry Forward to fund up to \$2.4 million of construction costs for the Applied Research Center pursuant to the change order described above in #3
 - 5. Approve 2021-2022 Operating Legislative Budget Request (LBR)
 - 6. Approve 2020-2021 Foundation Operating Budget
 - 7. Approve Foundation Board Reappointments
- D. Governance Committee
 - 1. Approve President's Proposed Goals FYE 2021
- E. Board of Trustees
 - 1. Approve the February 26, 2020 Board of Trustees Meeting Minutes

VII. Committee Reports

- A. Executive Committee Report (April 13, 2020) Don Wilson, Chair
- B. Academic & Student Affairs Committee Don Wilson, Chair
- C. [Audit & Compliance Committee](#)
Action Required Gary Wendt, Committee Chair
 - 1. Approve Charter Review and Committee Evaluation
- D. [Finance & Facilities Committee](#)
Action Required Frank T. Martin, Committee Chair
 - 1. Approve 2020-2021 University Operating Budget
- E. [Governance Committee](#)
Action Required Rear Admiral Philip Dur, Committee Chair
 - 1. Approve the Renewal of President's Employment 2020-21
 - 2. Approve President's Employment Agreement

- VIII. [Officer Elections](#)
Action Required Don Wilson, Chair

- IX. [Board of Trustees Meeting Schedule](#)
Action Required Don Wilson, Chair

X. Board of Governors' Meetings

Don Wilson, Chair

- June 23-25, 2020 (*UCF, Orlando*)
- September 16-17, 2020 (*University of West Florida, Pensacola*)
- October 6-7, 2020 Facilities Committee and Budget and Finance Committee Workshops (*USF, Tampa*)
- November 4-5, 2020 (*University of North Florida, Jacksonville*)
- January 20-21, 2021 (*NCF, Sarasota*)
- March 24-25, 2021 (*FAMU, Tallahassee*)
- June 22-24, 2021 (*USF, Tampa*)
- September 1-2, 2021 (*FAU, Boca Raton*)
- October 7, 2021 Facilities Committee; Budget & Finance Committee (*FGCU, Ft. Myers*)
- November 3-4, 2021 (*FIU, Miami*)

XI. Closing Remarks and Adjournment

Don Wilson, Chair

Florida Polytechnic University
Board of Trustees Meeting
May 20, 2020

Subject: Academic & Student Affairs Committee: Consent Agenda Items

Proposed Action

Approve the following items:

1. Approve Cyber Security Engineering degree
2. Approve Collective Bargaining Agreement Revised Article 12: Salaries
3. MOU "Memorandum of Understanding re: COVID-19 Health Emergency"
4. Approve revised Regulation FPU-3.006 Student Code of Conduct

Background Information

N/A

Supporting Documentation: Please see supporting documentation under "Academic & Student Affairs Committee"

**Florida Polytechnic University
Board of Trustees Meeting
May 20, 2020**

Subject: Audit & Compliance Committee: Consent Agenda Items

Proposed Action

Approve the following items:

1. Approve University Financial Audit – (FYE 6/30/19)
2. Approve Foundation Form 990 (FYE 6/30/19)
3. Approve UAC Quality Assurance Review (QAR) – Self Assessment (Report No. FPU 2020-07)

Background Information

N/A

Supporting Documentation: Please see supporting documentation under "Audit & Compliance Committee"

Florida Polytechnic University
Board of Trustees Meeting
May 20, 2020

Subject: Finance & Facilities Consent Agenda Items

Proposed Action

Approve the following items:

1. Approve revised FPU-4.001 Tuition and Related Fees Schedule
2. Approve the 2021-2022 Capital Improvement Plan (CIP)
3. Approve granting Dr. Avent authority to sign a change order up to \$2.4 million to Skanska to continue construction of the Applied Research Center until additional funding is received from the State of Florida
4. Approve amendment to the 2019-2020 Carry Forward Budget to use Carry Forward to fund up to \$2.4 million of construction costs for the Applied Research Center pursuant to the change order described above in #3
5. Approve 2021-2022 Operating Legislative Budget Request (LBR)
6. Approve 2020-2021 Foundation Operating Budget
7. Approve Foundation Board Reappointments

Background Information

N/A

Supporting Documentation: Please see supporting documentation under "Finance & Facilities Committee"

Florida Polytechnic University
Board of Trustees
May 20, 2020

Subject: Approve President's Goals for FYE 2021

Proposed Action

Approve President's proposed goals for FYE 2021.

Background Information

N/A

Supporting Documentation: Please see supporting documentation under "Governance Committee"

Florida Polytechnic University
Board of Trustees

Board of Trustees Meeting

DRAFT MEETING MINUTES

Tuesday, February 25, 2020, 1:00-1:15 PM

**Florida Polytechnic University, Student Development Center
4700 Research Way, Lakeland, FL 33805**

I. Call to Order

Chair Don Wilson called the Board of Trustees meeting to order at 1:00 p.m.

II. Roll Call

Kris Wharton called the roll: Chair Don Wilson, Vice Chair Cliff Otto, Trustee Mark Bostick, Trustee Ryan Perez, Trustee Henry McCance, Trustee Victoria Astley, Trustee Frank Martin, Trustee Adrienne Perry, Trustee Earl Sasser, Trustee Lou Saco, and Trustee Gary Wendt were present (Quorum).

Trustees not present: Trustee Bob Stork, Trustee Philip Dur

Staff present: President Randy Avent, Provost Terry Parker, Mr. Mark Mroczkowski, Ms. Gina Delulio, Ms. Kathy Bowman, Mr. Rick Maxey, Mrs. Kris Wharton, Ms. Michele Rush, Mrs. Kim Abels, and Mr. David Blanton were present.

III. Public Comment

There were no requests received for public comment.

IV. Statement by the Florida Polytechnic University Board of Trustees opposing consolidation with the University of Florida

Chair Wilson read the formal statement opposing House Bill 7087 into the record (see Appendix A). Trustee Frank Martin suggested three minor changes in wording which trustees agreed to.

A motion was made by Trustee Gary Wendt to adopt the Statement by the Florida Polytechnic University Board of Trustees opposing House Bill 7087. Trustee Cliff Otto seconded the motion; a vote was taken, and the motion passed unanimously.

V. Closing Remarks and Recess

With no further business to conduct, Chair Wilson recessed the meeting until after the conclusion of the Workshop on Wednesday, February 26.



**Florida Polytechnic University
Board of Trustees**

**Statement by the Florida Polytechnic University
Board of Trustees opposing House Bill 7087**

The Florida Polytechnic University Trustees stand in opposition to HB 7087 and hereby urge those considering the pending legislation to merge Florida Poly with the University of Florida to carefully examine the facts and circumstances relied upon by those proposing this legislation.

The most frequently cited number in this discussion is the purported cost of a degree awarded at Florida Poly. It is critical to recognize that the cost being cited is based on Florida Poly's first graduating class in the 2017-2018 year. Everyone in business knows that the "cost" of the first production run at a new factory is a highly inflated number that includes capital and start-up costs. The same is true for a new university. In fact, the legislation that created Florida Poly recognized this fact, and allowed the new university to use operating funds for capital improvements for a period of ten years. The cost of the first degrees awarded by Florida Poly is by no means indicative of the costs incurred once the university matures and moves beyond being a start-up.

It is also important to consider that Florida Poly only awards STEM degrees, and these degrees are significantly more expensive at all state universities. Of course, when looking at "average" degree costs, all other state universities award primarily non-STEM degrees requiring far less expense, dramatically reducing the "average" degree cost.

Critical to this discussion is the fact that Florida Poly is vibrant, growing, and sought after by incoming students. In this year alone, student applications increased by more than 70% over the prior year. Students and their parents recognize the life-changing value of a degree from this institution, and high-quality students who want a career in a high-tech STEM field are hoping to be admitted to Florida Poly. Florida will be abandoning an outstanding opportunity for these students and our state if the proposed legislation is enacted.

From its inception, Florida Poly has planned for a flat administrative structure made possible by limiting degrees to common or similar disciplines. This single administrative silo will reduce administrative and overhead costs as the institution grows and matures. Given time and growth, there is no reason to assert that the per-degree costs for similar degree programs will be any greater at Florida Poly than at the other state universities.

When considering "costs," it is also necessary to look at "value" to determine the worth of an institution to the State of Florida. The Florida Chamber estimates that there are 55,000 unfilled STEM

jobs in this state, and various reports have expressed concern that the shortage of skilled workers in Florida threatens our economic growth. Florida Poly was created with the specific intent to address this issue and to produce the uniquely trained graduates who can fill this critical skills-gap.

Florida Poly is a vital driver of Florida’s economic future. Even in its infancy, Florida Poly is estimated to produce \$161 million in gross domestic product for our state and to sustain 2,350 jobs that annually generate \$97.6 million in wages and business income. Looking at what has taken place around polytechnic universities in other states, it is clear these institutions are a prime breeding ground for high-tech industries and business. That dynamic has already begun in the area surrounding Florida Poly, and for Florida a new wave of high-value, high-tech economic growth is now underway. The proposed merger can only diminish this important economic development.

Finally, we believe that the abandonment of the dream represented by Florida Poly simply disregards the thousands of people—students, faculty, staff, alumni, officials, participants in direct support organizations and other supporters—who have made significant investments and have given of their time, efforts and resources in support of Florida Poly.

Florida Poly represents a clear and bright beacon in Florida’s future guiding us to a place where the economy is stronger, our citizens have greater opportunities, our students are getting a world-class education for the jobs of the future, and Florida is simply a better place to live.

The Board of Trustees of Florida Polytechnic University respectfully contends that there is no possible on-going benefit from the elimination of this University, and that such action will deny this state of one of its most important institutions benefitting education and the economy in Florida’s future.

Signed: _____
Donald H. Wilson, Board Chairman

Clifford K. Otto, Board Vice Chairman

Dr. Adrienne Perry

Bob Stork

Frank T. Martin

Gary C. Wendt

Henry McCance

Dr. Louis Saco

Mark Bostick

Ryan Perez

Dr. Victoria Astley

Rear Admiral Philip Dur

Dr. W. Earl Sasser

Florida Polytechnic University
Board of Trustees

Board of Trustees Meeting

DRAFT MEETING MINUTES

Wednesday, February 26, 2020
9:30 AM - 11:30 AM

Florida Polytechnic University, Student Development Center
4700 Research Way, Lakeland, FL 33805

I. Call to Order

Chair Don Wilson reconvened the Board of Trustees meeting at 9:30 a.m.

II. Roll Call

Kris Wharton called the roll: Chair Don Wilson, Vice Chair Cliff Otto, Trustee Mark Bostick, Trustee Ryan Perez, Trustee Henry McCance, Trustee Victoria Astley, Trustee Adrienne Perry, Trustee Earl Sasser, Trustee Philip Dur, Trustee Lou Saco, and Trustee Gary Wendt were present (Quorum).

Trustees not present: Trustee Frank Martin, Trustee Bob Stork

Staff present: President Randy Avent, Provost Terry Parker, Mr. Mark Mroczkowski, Ms. Gina Delulio, Ms. Kathy Bowman, Mr. Rick Maxey, Mrs. Kris Wharton, Mr. David Calhoun, Ms. Michele Rush, Mrs. Kim Abels, and Mr. David Blanton were present.

III. Public Comment

There were two requests received for public comment. Dr. Kathryn Miller and Dr. Tom Dvorske both spoke to the Statement by the Florida Polytechnic University Board of Trustees opposing consolidation with the University of Florida.

IV. Chairman's Remarks

Due to time constraints of one trustee who needed to leave the meeting early, Chair Don Wilson moved the consent agenda and committee reports ahead of the presentations. Also, President Randy Avent did not provide any President's remarks as he remains in Tallahassee.

V. Consent Agenda

Chair Wilson read the list of items to be approved on the consent agenda:

A. Academic & Student Affairs Committee

1. Approve Regulation FPU-2.001 Admission to the University and Appeal Process – General

- B. Governance Committee
 - 1. Approve Regulation FPU-1.01 Service of Process
- C. Audit & Compliance Committee
 - 1. Approve the Foundation Financial Audit FYE 6/30/19
 - 2. Approve the Crowe Internal Management and Accounting Control and Business Process Assessment (November 2019)
- D. Finance & Facilities Committee
 - 1. Approve Resolution for Signature Authority on Depository Accounts
- E. Board of Trustees
 - 1. Approve the December 11, 2019 Board of Trustees Meeting Minutes

As each of the items comes before the Board with unanimous approval from the respective Committees, there is no need for a second. **Trustee Gary Wendt made a motion to approve the Consent Agenda as presented. A vote was taken, and the motion passed unanimously.**

VI. Committee Reports

A. Academic and Student Affairs Committee

Trustee Adrienne Perry stated the Academic and Student Affairs Committee learned that the incoming number and quality of student applications remains strong with the current focus on matriculation. The University will add a summer cohort this year which will be conducted 100% online. The Committee also approved Regulation FPU-2.001 Admission to the University and Appeal Process – General which was just ratified as part of the full Board's consent agenda.

B. Governance Committee

Trustee Philip Dur related changes to the Governance Committee's Work Plan. The Committee moved the evaluation discussion and recommendation on the President's 2019-20 evaluation outcome and compensation from the May meeting to the December meeting. This will result in the evaluation process taking place after completion of the fiscal year being evaluated and will also allow for the collection of relevant data in its final form. At the May meeting, the Committee will use a report from the President on accomplishments to make a recommendation on renewal of President's employment agreement for July 2020-July 2021 only (transition year).

The Committee also discussed the process for making nominations to the Board for the offices of Chair and Vice Chair in preparation for the election that will take place at the May meeting. They instructed the General Counsel to email all trustees eligible to serve as officers in order to allow them to express their interest and willingness to be considered in the nomination process. Ms. Gina Delulio will report the responses at the next Governance Committee meeting.

In preparation for making decisions related to renewing the President's current Employment Agreement, the Committee reviewed proposed changes to the President's employment agreement. One of the changes was related to the performance compensation (bonus). The Committee will make a recommendation on the Agreement and on renewal of the Agreement at the May meeting.

Finally, Mr. David Brunell, Assistant General Counsel presented an overview of Regulation FPU-1.01

Service of Process which was just approved by the full Board in the consent agenda.

Trustee Wendt asked if all trustees will be apprised in any changes the Governance Committee makes in the President's compensation package and why. Trustee Dur answered in the affirmative.

C. Finance & Facilities Committee

Trustee Henry McCance reviewed the presentations the committee received on the budget development process, the University's half-year financial review for quarter ended December 31, 2019, and the University Foundation's second-quarter financial review and 2019 annual fund update. The Committee accepted and approved Resolution 2020-001 to update the authorized signatories for checks, payments and transfers of funds.

The Committee recommended the Board approve the Skanska USA Building Inc. (Skanska), Guaranteed Maximum Price Phase II ("GMP 02"), in the amount of \$17.7M, for the Applied Research Center construction contract. Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

D. Strategic Planning Committee

Trustee Mark Bostick stated the Committee made one change to its Work Plan, moving consideration of the University's 2020 Accountability Report from February to April. This allows adequate time for all the data to be gathered. The Committee voted to make an April Executive Committee meeting a standing meeting to specifically address consideration of the annual Accountability Report.

Mr. David Calhoun presented the process for updating the ten-year Campus Master Plan which is required by law to be undertaken at least every five years. Florida Poly's update is due in 2021 and must include all facilities desired to be constructed during the ten-year life of the plan. The process also requires that six agencies and the host local community be provided with an opportunity to review and comment on the plan. After the Campus Master Plan is adopted, the University must negotiate with the host local community to identify and pay for impacts to infrastructure such as roads and utilities.

E. Audit & Compliance Committee

Trustee Gary Wendt reviewed the updates the Committee heard, including Audit & Compliance activities, external and internal audits, foundation operating and scholarship funds, and the House Select Committee on Research Integrity. Additionally, the Foundation Financial Audit for FYE 6/30/19 and the Crowe Internal Control and Business Process Assessment Report were approved in the Board's consent agenda.

VII. University Relations: Marketing & Communications Update

Maggie Mariucci, AVP University Relations, introduced two members of her team who gave in-depth presentations on the University's internal and external communications and marketing efforts. Trustee Dur asked Lydia Guzman, Director of Communications, to include a chart that shows media coverage by region. Laura Neff-Henderson also received a compliment from Trustee Adrienne Perry on the updates to the University website.

VIII. University Police: Active Assailant Protocol

University Police Chief, Rick Holland, presented information on the University's active assailant training for both his officers and University employees. He also shared the University Police department expects to achieve their Florida Law Enforcement Accreditation by June 2020.

IX. Faculty Presentation

Dr. Reinaldo Sanchez-Arias, Assistant Professor, Data Science and Business Analytics, shared his current work which includes teaching data science undergraduate and graduate courses, and performing research in the areas of dimensionality reduction, text mining and data visualization.

IX. Student Introduction

Vamsi Hanumanthu, Computer Science major, shared a presentation on his journey through Florida Polytechnic University. Vamsi anticipates graduating in May of this year and anticipates going back to MIT to officially begin his career.

X. Board of Trustees Meeting Calendar

Chair Wilson reviewed the Board of Trustees meeting calendar. The next meeting is the Board of Trustees retreat, May 18-19, 2020.

XI. Board of Governors Meetings

Chair Wilson reviewed the Board of Governors meeting calendar and encouraged trustees to attend these meetings when possible. The next meeting is March 24-25, 2020 at USF in Tampa.

XIV. Closing Remarks and Adjournment

With no further business to conduct, the meeting adjourned at 11:38 a.m.

**Florida Polytechnic University
Board of Trustees
May 20, 2020**

Subject: Approve Audit and Compliance Charters

Proposed Committee Action

Approve (1) the Audit and Compliance Committee (AACC) Charter, (2) the Internal Audit Charter, and (3) the Compliance and Ethics Charter.

Background Information

The Audit & Compliance Committee Charter requires that the AACC (1) review the Committee's charter annually and update as necessary and (2) ensure that any changes to the charter are discussed with the Board and reapproved. The AACC should evaluate whether the Committee's performance, with respect to the responsibilities outlined in the Audit Committee Charter, are being performed satisfactory and whether any changes to the charter are necessary.

The Audit Charter and the Compliance and Ethics Charter requires that these charters are to be reviewed and approved at least every three (3) years for consistency with applicable Florida Board of Governors and University regulations, professional standards, and industry best practices. The AACC should evaluate whether any changes to the charters are necessary.

Supporting Documentation: Please see supporting documentation under "Audit & Compliance Committee"

Prepared by: David A. Blanton, CAE/CCO

**Florida Polytechnic University
Board of Trustees
May 20, 2020**

Subject: Approve 2020-2021 University Operating Budget

Proposed Committee Action

Approve the University Operating Budget for the 2020-2021 fiscal year.

Background Information

The Board of Governors requires that the University's fixed capital outlay, operating and carryforward budget information be approved by the Board of Trustees and provided to the Board of Governors who will be reviewing and approving each budget during its September 9, 2020 Board meeting. The President and the CFO in accordance with their fiduciary responsibility to the University must certify that the budgets are true and materially correct to the best of their knowledge. The President and the CFO must further certify that these budgets have been reviewed and approved by the board of trustees at its meeting held on May 20, 2020 and that funds will only be expended in accordance with the approved budget as well as all applicable statutes, Board of Governors regulations, and University regulations.

Supporting Documentation: Please see supporting documentation under "Finance & Facilities Committee"

Prepared by: Mark Mroczkowski, Vice President and CFO

Florida Polytechnic University
Board of Trustees
May 20, 2020

Subject: Approve Renewal of President's Employment for 2020-21

Proposed Action

Approve the Renewal of the President's Employment for 2020-21.

Background Information

The President's Employment Agreement is set to expire on July 7, 2020. The Board needs to decide whether to renew the President's employment for an additional year so that the appropriate information can be provided to the Board of Governors for its approval prior to the expiration of the agreement.

Pursuant to the President's employment agreement and the Board of Trustees Policy, the President is evaluated on an annual basis. The timeline for the annual review of the President has been revised so that the review takes place after the end of the fiscal year at a time when the relevant data is available, so the annual review for the 2019-20 fiscal year will take place in the fall, as well as the related decisions on the President's compensation.

The President has prepared an interim report on progress made on the Operational Plan for 2019-20 to inform the Board's decision on renewing the President's employment. The report was provided to the Board at the last meeting and the updated report has been provided to the Chair and Governance Committee Chair and is included in the supporting documentation.

Supporting Documentation: Please see supporting documentation under "Governance Committee"

Prepared by: Gina DeLulio, VP and General Counsel

**Florida Polytechnic University
Board of Trustees
May 20, 2020**

Subject: Approve President's Employment Agreement

Proposed Committee Action

Approve the new President's Employment Agreement to be effective July 2020.

Background Information

On February 26, 2019 the Board of Trustees approved an amendment to the President's Employment Agreement ("Agreement") with a term ending July 7, 2020. In preparation for the next renewal term, the Governance Committee requested a draft of the proposed Agreement to be presented at its February 2020 meeting. The Committee discussed the proposed Agreement which reflected revisions to the current Agreement, and the Committee requested some additional specific changes to section 5.3.1. The revised Agreement was sent to the Committee for review and comment. The redlined version indicating proposed changes to the original Agreement, further changes requested by the Committee in its last meeting, and one further clarification to 5.3.1 is provided as a supporting document. A clean copy of the proposed new agreement is also provided. The material differences between the current agreement and new agreement are as follows:

- Clarifications were made throughout the Agreement to clarify which terms are applicable only when Dr. Avent is serving as president since there is an opportunity for him to serve in a faculty capacity during the remainder of the Presidential Appointment Term if his appointment is terminated without cause or he resigns from the position as president.
- 3.1- revises end date of Presidential Appointment Term to be July 6, 2021.
- 3.2- deletes the requirement for the Chair and President to discuss and agree upon the goals and objectives for the next fiscal year because the Governance Committee and full Board have been performing that function. Also added language to allow for the revision of the goals and objectives during the fiscal year.
- 3.3- deletes the use of a consultant to perform a 360-degree review of the President and his administration- such will be determined by the Board on an as-needed basis and provided in the Policy on Annual Review of the President. In light of proposed calendar changes as to timing of the annual review, took out the dates of "September 30" of each year to allow flexibility in the timing of the review.
- 4.1- revised to reflect President's current base salary.
- 5.2- deleted language related to relocation reimbursement as it is no longer necessary.
- 5.3 and 5.3.2- deleted language related to accreditation bonus, as it is no longer necessary.
- 5.3.1- revised Performance Compensation to state that if the President receives an evaluation of "Achieves" or higher, he will receive not less than 20% of base salary as performance compensation. However, if he receives an overall evaluation of "Exceeds" or higher, his performance compensation will be 20%-30% of his base salary. *

- 6.2- incorporated language from previous amendment which allows for compensation exceeding \$200,000 to be paid for out of the University's auxiliary funds.
- 7.2- added language which allows the Supplemental Retirement Benefit to be paid for out of the University's auxiliary funds, if permitted.
- 8.1- revised to reflect the purchase of the University's Presidential Home and deleted the language that is no longer necessary.
- 9.1- revised to reflect the current practice of providing a flat monthly automobile allowance versus the leasing of an automobile and reimbursement of insurance and other costs. Also provides that the University will reimburse the cost of renting a vehicle when the President rents a vehicle for traveling long distances on University business.
- 11.1- provides that the President will submit information for reimbursement to the University controller rather than the Board, to reflect current practice.
- 14.1- allows for the President to remain as a professor for the remainder of the Presidential Appointment Term if he resigns his position as president.
- 17.0 - updated addresses for Board and General Counsel.
- 28.2- included the General Cooperation Covenant as required by the Board of Governors.

*further clarified based on comments received after the revised Agreement was sent to the committee for review

Supporting Documentation: Please see supporting documentation under "Governance Committee"

Prepared by: Gina Delulio, VP and General Counsel

**Florida Polytechnic University
Board of Trustees
May 20, 2020**

Subject: Election for BOT Chair and Vice-Chair

Proposed Committee Action

1. Election of the Board of Trustees Chair for the term of August 1, 2020 through July 31, 2022.
2. Election of the Board of Trustees Vice-Chair for the term of August 1, 2020 through July 31, 2022.

Background Information

Pursuant to Section 4.2 of the Forth Amended and Restated Bylaws of the Florida Polytechnic University Board of Trustees adopted September 11, 2019. "The Board shall elect the Chair and Vice-Chair from the appointed members of the Board at its last regular meeting prior to August 1 upon recommendation of the Governance Committee; the Chair and Vice-Chair shall each serve for a two-year term to begin on August 1."

Supporting Documentation: N/A

Prepared by: Gina Delulio, VP and General Counsel

**Florida Polytechnic University
Board of Trustees Meeting
May 20, 2020**

Subject: Board of Trustees Meeting Calendar 2020-2021

Proposed Action

Discuss options for proposed changes to Board of Trustees meeting calendar. Approve new meeting dates for 2020-2021.

Background Information

The primary motivation for changing the Board of Trustees meeting dates started with a need to move the December meeting date back into November. There are several reasons for this desired change:

- Our December meeting always conflicts with Thanksgiving and the SACSCOC annual conference (which will be important for Randy and Terry to attend these coming few years for reaccreditation purposes)
- It's also difficult for employees to submit their Board documents before Thanksgiving for a December meeting
- Presidential Ambassadors are in finals week, so we have no extra help running the meetings
- We are asking trustees to review materials over Thanksgiving holiday

- OPTION ONE: In the accompanying proposal, we would move the December 8-9 meeting to November 17-18.

Additionally, the Board of Governors requires that all SUS institutions submit a Board-approved Accountability Plan by May 1. This year, we convened the Executive Committee in April to approve this document. In the accompanying proposal, there are two additional options for consideration:

- OPTION TWO: In addition to moving the December meeting, we would also move the May meeting to the end of April so the full Board can consider the University Accountability Plan and approve it.

- OPTION THREE: In addition to moving the December meeting, we would also move the May meeting to the first Monday in May which follows the University's commencement ceremonies and allows for more trustees to attend commencement. This would require that the Executive Committee still convene in April to approve the University Accountability Plan.

Supporting Documentation: Proposed BOT 2020-2021 meeting dates

Prepared by: Kris Wharton, Director, Office of the President & Board Operations

Proposal to Change Board of Trustees Meeting Calendar

Current Dates	OPTION ONE	OPTION TWO	OPTION THREE
Sept 8-9, 2020	Sept 8-9, 2020 <i>(same)</i>	Sept 8-9, 2020 <i>(same)</i>	Sept 8-9, 2020 <i>(same)</i>
Dec 8-9, 2020	Nov 17-18, 2020 <i>(changed)</i>	Nov 17-18, 2020 <i>(changed)</i>	Nov 17-18, 2020 <i>(changed)</i>
Feb 25-26	Feb 16-17, 2021 <i>(changed)</i>	Feb 16-17, 2021 <i>(changed)</i>	Feb 16-17, 2021 <i>(changed)</i>
n/a	Late April 2021 Executive Committee Mtg to approve Account. Report	April 29-30, 2021 <i>(changed)</i>	Late April 2021 Executive Committee Mtg
May 19-20	May 18-19, 2021 <i>(same)</i>	Executive Committee Mtg <i>(as needed)</i>	May 3, 2021 <i>(changed to Monday after Commencement)</i>

OPTION ONE:

Current Date	PROPOSED Date	In between meeting gap	New meeting focus	BOG Mtg Dates
Sept 8-9	Sept 8-9, 2020 <i>(same)</i>	4 months <i>(16 weeks)</i>	<i>(Faculty Social)</i>	Sept 16-17
Dec 8-9	Nov 17-18, 2020 <i>(changed)</i>	2.5 months <i>(10 weeks)</i>	Fall Assessments and Performance Evaluations <i>(Industry Social)</i>	Nov 4-5
Feb 25-26	Feb 16-17, 2021 <i>(changed)</i>	3 months <i>(13 weeks)</i>	FY n+1 Draft Operations Plan <i>(Student Social)</i>	Jan 20-21
n/a	Late April 2021 Executive Committee Mtg	n/a	Approve Accountability Plan <i>May 1 Accountability Report Deadline for BOG</i>	Mar 24-25
May 19-20	May 18-19, 2021 <i>(same)</i>	3 months <i>(12 weeks)</i>	FY n+1 Final Operations Plan, Budget approved, President's contract <i>(Foundation Board Social)</i>	June 23-25

OPTION TWO (primary difference is moving May meeting to late April in order to meet BOG Workplan deadline; extends time between April – September meetings):

Current Date	PROPOSED Date	In between meeting gap	New meeting focus	BOG Mtg Dates
Sept 8-9	Sept 8-9, 2020 <i>(same)</i>	4 months <i>(16 weeks)</i>	<i>(Faculty Social)</i>	Sept 16-17

Dec 8-9	Nov 17-18, 2020 <i>(changed)</i>	2.5 months <i>(10 weeks)</i>	Fall Assessments and Performance Evaluations <i>(Industry Social)</i>	Nov 4-5
Feb 25-26	Feb 16-17, 2021 <i>(changed)</i>	3 months <i>(13 weeks)</i>	FY n+1 Draft Operations Plan <i>(Student Social)</i>	Jan 20-21
May 19-20	April 27-28, 2021 <i>(changed)</i>	4.5 months <i>(19 weeks)</i>	Approve Accountability Plan, FY n+1 Final Operations Plan, Budget approved, President's contract <i>(Foundation Board Social)</i>	June 23-25
n/a	Executive Committee Mtg	n/a	Exec Comm if needed between April-Sept meeting.	Mar 24-25

OPTION THREE (primary difference is moving May meeting to coincide with Commencement):

Current Date	PROPOSED Date	In between meeting gap	New meeting focus	BOG Mtg Dates
Sept 8-9	Sept 8-9, 2020 <i>(same)</i>	4.5 months <i>(18 weeks)</i>	<i>(Faculty Social)</i>	Sept 16-17
Dec 8-9	Nov 17-18, 2020 <i>(changed)</i>	2.5 months <i>(10 weeks)</i>	Fall Assessments and Performance Evaluations <i>(Industry Social)</i>	Nov 4-5
Feb 25-26	Feb 16-17, 2021 <i>(changed)</i>	3 months <i>(13 weeks)</i>	FY n+1 Draft Operations Plan <i>(Student Social)</i>	Jan 20-21
n/a	Late April 2021 Executive Committee Mtg	n/a	Approve Accountability Plan <i>May 1 Accountability Report Deadline for BOG</i>	Mar 24-25
May 19-20	May 3, 2021 <i>(changed to Monday after Commencement)</i>	3 months <i>(11 weeks)</i>	FY n+1 Final Operations Plan, Budget approved, President's contract <i>(Foundation Board Social)</i>	June 23-25

Florida Polytechnic University
Board of Trustees

2020-2021
Board of Governors
MEETING CALENDAR

2020

- June 23-25, 2020 (*UCF, Orlando*)
- September 16-17, 2020 (*University of West Florida, Pensacola*)
- October 6-7, 2020 Facilities Committee and Budget and Finance Committee Workshops (*USF, Tampa*)
- November 4-5, 2020 (*University of North Florida, Jacksonville*)

2021

- January 20-21, 2021 (*NCF, Sarasota*)
- March 24-25, 2021 (*FAMU, Tallahassee*)
- June 22-24, 2021 (*USF, Tampa*)
- September 1-2, 2021 (*FAU, Boca Raton*)
- October 7, 2021 Facilities Committee; Budget & Finance Committee (*FGCU, Ft. Myers*)
- November 3-4, 2021 (*FIU, Miami*)