

**FLORIDA**  

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**POLYTECHNIC**  
UNIVERSITY

**BOARD OF TRUSTEES**  
**MEETING**

Wednesday, June 3, 2015  
2:30 p.m. Eastern Standard Time  
Or Upon Adjournment of the Retreat

The Terrace Hotel  
Ballroom B  
329 East Main Street  
Lakeland, Florida 33801

**Conference Line: 1-888-670-3525 & Participant Code: 5879779062#**

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Chair Mark Bostick  
Dr. Christina Drake  
Scott Hammack  
Dr. Robert P. Scaringe

Vice Chair Frank T. Martin  
Dr. Sandra Featherman  
Veronica Perez Herrera  
Bob Stork

Bill Brown  
Dr. Richard Hallion  
Thomas D. O'Malley  
Don Wilson

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**AGENDA**

- |       |   |                     |
|-------|---|---------------------|
| I.    | Call to Order   | Mark Bostick, Chair |
| II.   | Roll Call   | Jackye Maxey        |
| III.  | Public Comment  | Mark Bostick, Chair |
| IV.   | <a href="#">Approval of Annual Review of the President Policy</a> | Gina DeIulio        |
| V.    | <a href="#">Budget Workshop</a>                                   | Bertha Alexander    |
| VI.   | <a href="#">Approval of FY 2015-16 Continuation Budget</a>        | Bertha Alexander    |
| VII.  | <a href="#">Approval of FY 2016-17 Legislative Budget Request</a> | Rick Maxey          |
| VIII. | <a href="#">Approval of Minor Construction Projects</a>           | Mark Mroczkowski    |

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|-------|--|---------------------|
| IX.   | <a href="#"><u>Approval of Five-Year Capital Improvement Plan (CIP) And Legislative Budget Request</u></a> | Mark Mroczkowski    |
| X.    | <a href="#"><u>Approval of FPU-1.0061P Intellectual Property Policy</u></a>                                | Gina DeIulio        |
| XI.   | <a href="#"><u>Approval of FPU-7.0026P Undergraduate Scholarship Policy</u></a>                            | Eric Callueng       |
| XII.  | Closing Remarks  | Mark Bostick, Chair |
| XIII. | Adjournment  | Mark Bostick, Chair |

Florida Polytechnic University  
Board of Trustees  
June 3, 2015

**Subject: Annual Review of the President**

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**Proposed Board Action**

Adopt **Florida Polytechnic University Board of Trustees Policy on Annual Review of the President** and approve Amendment #1 to President's Employment Agreement

**Background Information**

Board of Governors (BOG) regulation **1.001 University Board of Trustees Powers and Duties section (5)** provides in pertinent part:

- (e) Each board of trustees **shall develop guidelines** for the annual evaluation of the president.
- (f) Each board of trustees **shall conduct an annual evaluation** of the president. The chair of the board of trustees **shall request input from the Chair of the Board of Governors**, who may involve the Chancellor, during the annual evaluation process pertaining to responsiveness to the Board of Governors' strategic goals and priorities, and compliance with systemwide regulations.

The proposed Board Policy on Annual Review of the President was drafted to include the processes required by the BOG and to reflect, for the most part, the evaluation process that was agreed to in the President's Employment Agreement. The pertinent subsections of the President's Employment Agreement are provided in the supporting documentation.

In preparation for the President's 2014-15 annual review, University staff spoke with two consultants to seek recommendations for individuals or firms qualified to conduct the 360° review of the President's performance. Both consultants recommended that the first 360° review be conducted no sooner than the latter part of the President's third year of employment. Therefore, the proposed policy provides language that the 360° review will be conducted during the comprehensive review process which will occur every third year. If the proposed policy is adopted, an amendment to the President's Employment Agreement will be required to reflect the revised process. The proposed Amendment #1 to the President's Employment Agreement is provided in the supporting documentation.

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**Supporting Documentation:**

Florida Polytechnic University Board of Trustees Policy on Annual Review of the President

Pertinent Language from President's Employment Agreement Regarding Evaluation and Compensation  
Amendment #1 to President's Employment Agreement

**Prepared by:** Gina DeIulio, VP & General Counsel

# **Florida Polytechnic University**

## **Board of Trustees**

### **Policy on Annual Review of the President**

This policy supplements Florida Board of Governors (“BOG”) regulations and provides guidelines for conducting the annual review and assessment of the President’s performance, goals, and compensation by the Board of Trustees (“Board”). This policy outlines the purposes and details the process by which the President’s performance, goals and compensation shall be reviewed by the Board on an annual basis. In addition, a comprehensive review of the President’s performance and compensation shall normally occur at three-year intervals with the first comprehensive review being conducted toward the latter part of the President’s third year of employment with the University.

#### **Principles**

The Board believes six principles should guide and inform the review of the President’s performance:

1. The review should derive from explicit values of the University and from the University’s strategic plan, work plan and accountability report and the BOG’s Strategic Plan.
2. The review process should set specific annual goals for the President.
3. Reviewing the President’s performance is a non-delegable responsibility of the Board. While other viewpoints may be considered by the Board, specifically those of faculty, the Board must take direct responsibility for the review.
4. The review process should be a reciprocal process that includes a self-evaluation from the President.
5. The review should focus on how well the President advances the major institutional objectives of the University.
6. A formal review should be conducted annually, immediately following the academic year. A comprehensive review should occur at three-year intervals. Informal evaluations should occur frequently, in the form of informal conversations between the President and the Board Chair.

#### **Annual Review**

##### **Purpose**

The purpose of the annual review process is to enable the President to strengthen his or her performance, to enable the President and the Board to set mutually agreeable goals, and to inform the Board's decisions on compensation adjustments and other terms of the President's employment.

## **Responsibility**

The Board is responsible for assessing the President's performance, goals and compensation. The Board's Governance Committee, as its members shall mutually decide and within the parameters of this policy, is delegated the responsibility for organizing and conducting the annual review process with the President and making recommendations related to the outcome of the annual review, the annual goals and the President's compensation to the full Board.

## **Process**

1. In April of each year, the President shall initiate the annual review process by preparing a self-evaluation that addresses higher level activities for the just concluded fiscal year. The President will submit his or her self-evaluation to the Board Chair and the Governance Committee by May 1 of each year. The self-evaluation format will remain the same year to year unless revised by the Committee in consultation with the President in the intervening period.
2. On or before June 1 of each fiscal year, the President will submit his or her proposed goals for the upcoming fiscal year to the Board Chair and the Governance Committee.
3. Once the President has submitted the self-evaluation and proposed goals to the Board Chair, the Board Chair shall provide copies of the same to the chair of the BOG and request the chair of the BOG's participation in the annual evaluation; the chair of the BOG may involve the chancellor in the review process. Such participation will include a review of the President's responsiveness to the BOG's strategic goals and priorities and compliance with system-wide regulations.
4. The Governance Committee shall review the self-evaluation and proposed goals and may request any additional information from the President to assist the Board in its review.
5. The Governance Committee will discuss the goals for the upcoming year with the President and present the proposed goals to the full Board for discussion and approval.
6. Prior to the Board meeting at which the President's review, goals, and compensation will be acted upon, the Chair shall send to the President and all members of the Board the self-evaluation and proposed goals, any supplemental information the Governance Committee may have requested of the President and any supplemental information the Governance Committee has developed.
7. The Board shall complete the annual review and make any compensation award contemplated under the President's Employment Agreement no later than September 30 of each year, commencing September 2015.

## **Outcomes**

After the Board's deliberation and action, minutes shall be published to document the review of the President's performance, goals and any adjustments to the President's compensation.

## **Comprehensive Review**

### **Purpose**

The purpose of the comprehensive review is to strengthen the leadership of the President and Board by assessing the quality of their relationship and the President's performance through an independently conducted process which will normally include a 360° review. The process seeks to gather, on a wide range of management and governance matters, the informed perceptions of leaders of major stakeholder groups, as well as those of the President and trustees.

### **Responsibility**

It is the Board's responsibility to comprehensively assess the quality of the relationship of the President and the Board of Trustees; and the President's performance and compensation, normally at three-year intervals. The Governance Committee, as its members shall mutually decide and within the parameters of this policy, is delegated the responsibility for organizing and conducting the comprehensive review process with the President, with the assistance of an independent consultant. The selected consultant shall not be connected, directly or indirectly, with the institution by present or past affiliation. The Board Chair and the President shall be consulted regarding the selection of the consultant. Procedural details shall be decided upon by the Governance Committee, with the consultant's advice and counsel, and within the parameters of this policy.

### **Process**

All activities in this comprehensive review process shall be completed within four months after the selection of the consultant. The activities shall include personal interviews with appropriate individuals, internal and external to the institution, as agreed upon by the Committee and consultant. They also shall agree on the general nature of the questions to ask. A staff member shall be assigned to work directly with the consultant and the Committee.

The customary annual review shall be modified to be consistent with the advice of the consultant and Committee. Prepared in advance of the review process, the President's self-evaluation for years in which a comprehensive review is conducted shall provide a comprehensive picture of the institution's academic, financial, and other indicators of progress during the President's tenure. It should highlight particular achievements, as well as persistent institutional issues.

The Committee shall also decide how best to communicate with the University community and Lakeland and Polk County area before, during, and after this process. The Committee is delegated the authority to agree to (1) the consultant's compensation and an appropriate schedule of payments and reimbursements, (2) the general written and/or oral format for the consultant's report (for later submission to the Committee, President, and Board), and (3) the arrangement by which the consultant will be available to discuss the report with the President and the full Board.

## **Outcomes**

The consultant will provide a comprehensive written report detailing the institution's progress and major achievements during the President's tenure, and the Board will consider the consultant's report in the Board's annual review of the President for that year. The consultant's report shall include substantive recommendations for both the President and the Board designed to strengthen the University's leadership, management and governance.

*Note: Portions of this policy were selected from the following publication: R. T. Ingram and W. A. Weary, Presidential & Board Assessment in Higher Education Purposes, Policies & Strategies Appendix B Illustrative Board Policy and Procedures: Annual Presidential Performance Reviews (Washington, D.C.: Association of Governing Boards of Universities and College Publications, 2000), 57-58.*

Adopted by the Florida Polytechnic University Board of Trustees on \_\_\_\_\_



## Pertinent Language from President's Employment Agreement Regarding Evaluation and Compensation

- 3.2 On or before October 1, 2014 for fiscal year 2014-2015, and on or before June 1 of each year thereafter, the President shall provide the Chair of the Board of Trustees ("Chair") with a list of proposed goals and objectives for the next 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 BOG's strategic plan and performance funding model, and other priorities as established by the Board of Trustees or the BOG. 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 be presented to the Board for discussion and approval.
- 3.3 On or before April 1, 2015, and on or before April 1 each year thereafter while the President is employed as President, the President shall initiate the evaluation process for the 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 policies and procedures established by the Board as the Board may deem appropriate. The President agrees to 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 BOG Regulations, the Chair shall solicit input from the Chair of the BOG during the evaluation process. The Board shall 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.
- 4.2 Increase to Presidential Base Salary During Annual Evaluation. Effective with the Board's evaluation of the President's performance for the July 1, 2014 to June 30, 2015 fiscal year and continuing each year thereafter which 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 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.
- 5.3 Effective with the Board's evaluation of the President's performance for the July 1, 2014-June 30, 2015 fiscal year and continuing each year thereafter while he serves a 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 up to Twenty Percent (20%) of his annual base salary then in effect. 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.

**AMENDMENT #1 TO THE PRESIDENT’S EMPLOYMENT AGREEMENT**

**THIS AMENDMENT # 1 to the President’s Employment Agreement** (“Amendment”) is made and entered into on this \_\_\_ day of June 2015 by and between The Florida Polytechnic University Board of Trustees (the “University”), and Randy K. Avent (the “President”).

**WHEREAS**, the University and the President entered into the President’s Employment Agreement on July 7, 2014 (“Agreement”); and

**WHEREAS**, it is the desire of the parties to amend the subsections related to the evaluation process.

**NOW, THEREFORE**, in consideration of the mutual promises of their parties hereto, the University and the President hereby amend the Agreement as follows:

1. Subsections 3.2 and 3.3 of the Agreement are hereby amended to incorporate an evaluation process that is consistent with the Florida Polytechnic University Board of Trustees Policy on Annual Review of the President, which is attached as Exhibit A. If there is any conflict between the language in the Agreement and the language in the attached policy, the language in the attached policy will control.
  
2. All other terms and conditions of the Agreement shall remain unchanged and in effect throughout the duration of this Amendment.

**IN WITNESS WHEREOF**, the parties hereto have executed this Amendment.

**The Florida Polytechnic University  
Board of Trustees**

By: \_\_\_\_\_  
Mark Bostick  
Chairman, Board of Trustees

\_\_\_\_\_  
Date

**President**

\_\_\_\_\_  
Randy K. Avent

\_\_\_\_\_  
Date

**Florida Polytechnic University  
Board of Trustees  
June 4, 2015**

**Subject: Budget Workshop**

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**Proposed Board Action**

No Action Required – Information Only

**Background Information**

The Budget Workshop will be conducted by Bertha Alexander. She will cover the following topics:

- An overview of the Legislative Budget Request
  - FY 2015-16 Summary Budget (Operating Budget and Capital Budgets)
  - Review of Funding Sources (Operating Budget and Capital Budgets)
  - Review of Tuition and Related Fees
  - Overview of 2015-16 Budget by Department
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**Supporting Documentation:**

Budget Workshop Presentation  
Overview of 2015-16 Budget by Department  
Department Budgets

**Prepared by:** Bertha P. Alexander, AVP – Finance & Planning

**FLORIDA**

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**POLYTECHNIC**  
**UNIVERSITY**

**Board of Trustees**  
**Budget Workshop**

**Presenter: Bertha P. Alexander**  
**June 3, 2015**

# **BUDGET WORKSHOP**

## **Agenda**

- **Overview of Legislative Budget Request**
- **FY 2015-16 Budget Summary Operating Budget**
- **FY 2015-16 Budget Summary Capital Budget**
- **Review of Funding Sources Operating Budget**
- **Review of Funding Sources Capital Budget**
- **Review of Tuition & Related Fees**

# **BUDGET WORKSHOP**

## **Legislative Budget Request**

- **The Legislative Budget Request (LBR) is the process used by universities to request additional operating and fixed capital funding.**
- **The Board of Governors requests funding for issues that are common to all universities (new space, cost to continue issues, etc.).**
- **Universities submit an LBR for issues that are unique to them.**
- **LBRs are reviewed by the Chancellor and approved for inclusion in the overall LBR for the State University System (SUS) that is submitted to the Legislature.**

# **BUDGET WORKSHOP**

## **Legislative Budget Request**

- **Allocation decisions are made by the Legislature and published in the General Appropriations Act. The Legislature convenes in March and concludes 60 days later.**
- **The Appropriations Act and intent documents are considered the approved operating budget for operational and fixed capital outlay expenditures for each state agency.**
- **The Governor has 15 consecutive days after receiving the budget to exercise his veto power.**
- **After all budgetary decisions are made, the BOG communicates those decisions through the Allocations Summary and Workpapers document.**



# **BUDGET WORKSHOP**

## **2015-16 Operating Budget**

- **Regulation 9.007 State University Operating Budgets:**

(1) Each university president shall prepare an operating budget for approval by the university board of trustees, in accordance with instructions, guidelines, and standard formats provided by the Board of Governors.

(2) Each university board of trustees shall adopt an operating budget for the general operation of the university as prescribed by the regulations of the Board of Governors. The university board of trustees-ratified operating budget is presented to the Board of Governors for approval. Each university president shall implement the operating budget of the university as prescribed by regulations of the Board of Governors, policies of the university board of trustees, provisions of the General Appropriations Act, and data reflected within the State University System Allocation Summary and Workpapers publication.

# BUDGET WORKSHOP

## FY 2015-16 Operating Budget

- **FY 2015-16 Operating Budget Expenditures totals \$46.6M, an increase of 16.5% over the prior year's budget.**

<b>Funding Source</b>	<b>FY 2014-15</b>	<b>2015-16 Proposed</b>	<b>Change \$</b>	<b>Change %</b>	<b>% of Total Budget</b>
Education & General (E&G)					
General Revenue	30,205,141	30,205,141	0	0.0%	64.9%
Lottery	456,560	456,560	0	0.0%	1.0%
Tuition	1,282,449	1,282,449	0	0.0%	2.8%
<b>Sub-total E&amp;G</b>	<b>31,944,150</b>	<b>31,944,150</b>	<b>0</b>	<b>0.0%</b>	<b>68.6%</b>
Phosphate Research Trust Fund	2,700,000	2,700,000	0	0.0%	5.8%
<b>Total E&amp;G</b>	<b>34,644,150</b>	<b>34,644,150</b>	<b>0</b>	<b>0.0%</b>	<b>74.4%</b>
Contracts & Grants	400,000	855,183	455,183	113.8%	1.8%
Auxiliary Enterprises	2,761,191	3,130,919	369,728	13.4%	6.7%
Activity & Service Fee	262,447	572,650	310,203	118.2%	1.2%
Student Financial Aid	1,583,685	6,422,287	4,838,602	305.5%	13.8%
Concessions	25,000	2,500	(22,500)	(90.0%)	0.0%
Intercollegiate Athletics	207,903	458,900	250,997	120.7%	1.0%
Technology Fee	83,685	471,000	387,315	462.8%	1.0%
<b>Total Preliminary Operating Budget</b>	<b>39,968,061</b>	<b>46,557,589</b>	<b>6,589,528</b>	<b>16.5%</b>	<b>100.0%</b>

Note: Budget includes reserves.

# BUDGET WORKSHOP

## FY 2015-16 Capital Budget

Project	Amount
Multipurpose field, basketball & volleyball	1,100,000
Surface parking and lighting	1,700,000
CHW Production	650,000
Surface parking and lighting	1,300,000
Recreation/lap swim pool	1,000,000
Gymnasium, life & learning center	2,000,000
Engineering Shop	1,000,000
Total	8,750,000

# BUDGET WORKSHOP

## Funding Sources

- **Funding Sources for the Operating Budget**
  - Educational and General
  - Contracts & Grants
  - Auxiliary Enterprises
  - Local Funds
- **Funding Sources for the Capital Budget**
  - Public Education Capital Outlay (PECO)
  - Carry Forward

# **BUDGET WORKSHOP**

## **Funding Sources**

### **Operating Budget**

- **Educational & General is comprised of:**
  - State Appropriations
    - General Revenue
    - Educational Enhancement Trust Fund (Lottery)
  - Student Fee Trust Fund
  - Florida Industrial and Phosphate Research Institute.
- **Educational & General Supports:**
  - Instruction
  - Research
  - Public Service
  - Library
  - Student Services
  - University Support
  - Physical Plant

# **BUDGET WORKSHOP**

## **Funding Sources**

### **Operating Budget**

- **State appropriations consist of:**
  - General Revenue - Sales, Corporate Income and Beverage Taxes.
  - Educational Enhancement Trust Fund (Lottery) - Minimum of 38% of ticket sales.
- **Student Fee Trust Fund consists of:**
  - Tuition
  - Out-of-state fees
  - Application fees
  - Late Registration Fees
  - Repeat Surcharge Fees
- **Florida Industrial and Phosphate Research Institute**

# **BUDGET WORKSHOP**

## **Funding Sources**

### **Operating Budget**

- **Contracts & Grants**

- Funding from state and local governmental agencies and private organizations, indirect cost reimbursements, and interest income.
- Supports research, public service and training.

- **Auxiliary Enterprises**

- Self-supporting operations such as Parking and Transportation, Food Services, Bookstore, Campus Mail, Copy Center, Poly Card, Student Health Services, Material & Supply Fees, etc.

- **Local Funds is comprised of:**

- Student Activity & Service Fees
- Student Financial Aid
- Intercollegiate Athletic
- Technology Fees
- Concessions

# BUDGET WORKSHOP

## Funding Sources

### Operating Budget

- **Student Activities Fees**

- Activity & Service fees paid by students on a per student credit hour basis
- Supports student clubs, organization and Student Government.
- Increase in fee must be recommended by a committee comprised of ½ students and ½ faculty and staff.
- Increase cannot be more than 5% per year.

- **Student Financial Aid**

- Funding derived from:
  - Financial Aid Fee
    - Established at 5% of tuition
    - 75% must be used for need-based aid
    - Up to 15% can be used for administrative costs associated with administration of financial aid programs.
  - Bright Futures
  - Florida Student Assistant Grant (FSAG)
  - First Generation
  - Institutional Aid



# **BUDGET WORKSHOP**

## **Funding Sources**

### **Operating Budget**

- **Intercollegiate Athletics**

- Funding derived from the per student credit athletic fee
- Used to continue developing intramural programs and events
- Increase in fee must be recommended by a committee comprised of ½ students and ½ faculty and staff.

- **Technology Fees**

- Funding derived from the per student credit hour fee technology fee.
- Established at 5% of tuition.
- Used to enhance instructional technology resources for students and faculty.
- Increase in fee must be recommended by a committee comprised of ½ students and ½ faculty and staff.

- **Concessions**

- Funding derived from sales commissions from the beverage and snack vending machines.
- Supports the purchase of food and refreshment at university-wide events and Board of Trustees meetings.

# **BUDGET WORKSHOP**

## **Funding Sources**

### **Operating Budget**

- **Capital Improvement Trust Fund Fee**
  - A student per credit hour fee used to fund non-academic student life projects that benefits the student community such as student centers.
  - Established by the Legislature at \$4.76 per student credit hour
  - Increase to fee must be recommended by a committee of which 1/2 must be students and ½ faculty/staff
  - Increase in fee limited to \$2 per credit over the prior year and cannot exceed 10% of base tuition.
  - Increase in fee must be approved by Board of Governors.
  
- **Transportation Access Fee**
  - used to support the university's transportation infrastructure and to increase student access to transportation services.

# **BUDGET WORKSHOP**

## **Funding Sources**

### **Capital Projects**

- **Public Capital Outlay Funds**

- The State University System currently relies on state Public Education Capital Outlay dollars - or "PECO" - as the primary source of both university construction and building maintenance.
- PECO funds cannot be used to construct student life facilities, such as student unions, recreational fields, and fitness centers.

- **Carry Forward**

- Any unexpended E&G appropriation carried forward to the fund balance in a new fiscal year shall be utilized in support of E&G operating activities only except where expressly allowed by law.
- For the 2011-2012 through 2022-2023 fiscal years, a university board of trustees may expend reserve or carry forward balances from prior year operational and programmatic appropriations for legislatively approved fixed capital outlay projects authorized for the establishment of a new campus.

# **BUDGET WORKSHOP**

## **Tuition & Related Fees**

- **Tuition**

- The basic fee assessed to students for enrollment in credit courses at Florida Polytechnic University.
- The Florida Legislature sets the tuition rate for undergraduate resident.
- The Board of Trustees has the authority to set:
  - tuition rates for graduate and professional programs
  - out-of-state fee for undergraduates and graduates

- **Non-resident Tuition**

- The basic fee and out of-state fee assessed to non-resident students for enrollment in credit courses at Florida Polytechnic University.

# BUDGET WORKSHOP

## Tuition & Related Fees

Type of 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 Fee	3.00	3.00	3.00	3.00
Activity & 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	9.25

# BUDGET WORKSHOP

## Cost of Attendance

Estimated Cost of Attendance for Students **Not Living** with Parent or Relative - Fall and Spring Semesters

	Undergraduate	
	Florida Resident	Out-of-State
Full Time Tuition and Fees	\$ 4,940.00	\$ 21,005.00
Room and Board	11,800.00	11,800.00
Books and Supplies	1,200.00	1,200.00
Transportation and Other Expenses	4,000.00	4,000.00
<b>Total</b>	<b>\$ 21,940.00</b>	<b>\$ 38,005.00</b>

Estimated Cost of Attendance for Students **Living** with Parent or Relative - Fall and Spring Semesters

	Undergraduate	
	Florida Resident	Out-of-State
Full Time Tuition and Fees	\$ 4,940.00	\$ 21,005.00
Room and Board	3,900.00	3,900.00
Books and Supplies	1,200.00	1,200.00
Transportation and Other Expenses	4,000.00	4,000.00
<b>Total</b>	<b>\$ 14,040.00</b>	<b>\$ 30,105.00</b>

\*Based on 30 student credit hours.

**Florida Polytechnic University**  
**Overview of the FY 2015-16 Continuation Operating Budget**

**Background**

The 2015-16 continuation operating budget for Florida Polytechnic University, including the Florida Industrial and Phosphate Research Institute (FIPR), totals approximately \$46.6M. This is a \$6.6M or 16.5% increase over the current year budget. The increase is attributed to projected growth in student enrollment and other services.

**Funding Sources**

Educational and General (E&G) – The Educational and General Budget funds general instruction, research, public service, student services, university support and plant, operations and maintenance. The 2015-16 continuation operating budget for E&G is at the same level as 2014-15. Total appropriations of \$32M consist of \$30M in general revenue, \$457k in lottery funds, and \$1.3M in tuition authority (this is net of \$1M in waiver authority). The E&G budget includes \$29.0M budgeted for operating expenditures, \$1.6M for the Legislatively-mandated 5% reserves, and approximately \$1.3M budgeted for other reserves.

Contracts and Grants (C&G) - The Contracts and Grants budget contains activities in support of research and training. The 2015-16 continuation budget is \$500k. Please note that Contracts & Grants funds are typically expended over multiple years.

Auxiliaries - Auxiliaries are self-supporting operations on each university campus. The university anticipates generating approximately \$2.4M from sales and services associated with food services, the bookstore, parking fees and decals and ID cards. In addition \$313k is expected to be generated from student health fees and \$750k from services offered by the Florida Industrial and Phosphate Institute. Projected expenditures are budgeted at \$3.1M, an increase of 13.4% over the prior year. The increase is due to an increase in enrollment and services.

Student Activities – The Activity and Service Fee (A&S) is the primary funding source for student activities such as student government and student organizations. The budget includes projected revenues and expenditures of approximately \$573k. Per Florida Statutes, the expenditure of A&S revenues must be approved by a committee consisting of one-half student and one-half staff.

Financial Aid –The Financial Aid budget represents the financial aid amounts for which the university is fiscally responsible. Examples include: student financial aid fee, bright futures, federal grants, college work study, and scholarships. The continuation operating budget includes projected revenues and expenditures of \$6.4M. The revenue sources for this budget include \$1M from State grants such as Bright Futures and the Florida Student Assistance Grant (FSAG), \$5M from Foundation and \$250k in student financial aid fees.

Concessions –The Concessions budget includes resources generated from various vending machines located on the university campuses. We anticipate collecting approximately \$3k in revenue. We have included in the budget \$2.5k of expenditures to support university activities that cannot be funded from other sources.

Athletics –Projected revenues of \$470k are derived from the student athletic fee. The budgeted expenditures of \$459k include expenditures associated with salaries and benefits for the fitness coordinator and expenditures for continuing the development of programs and events.

Technology fee –The Technology Fee revenues are used to enhance instructional technology resources for students and faculty. The budget includes projected revenues of \$628k and expenses of \$471K. Per Florida Statutes, the expenditure of Technology Fee revenues must be approved by a committee consisting of one-half student and one-half staff.

Phosphate Research Trust Fund - This trust fund was established in 1978 to finance research concerning the impacts of phosphate mining and processing on the environment, health, and safety of Florida's citizens. The trust fund receives its \$2.7M income from a portion of the severance tax paid to the state for each ton of phosphate that is mined. The budget includes projected expenditures of \$2.7M which is at the same level as 2014-15.

### **Analysis of the Budget by Departments**

The University implemented a formalized budget process in that we returned control of individual budgets over to each department, and then we went through a re-budgeting process that tied departmental budgets to our strategic plan. We identified excess funds and re-budgeted to maintain strategic reserves for capital improvements and infrastructure investment. We developed a methodical budget planning process for FY16 and have established a Budget Council that reviews and approves all budgets. We held training sessions on budget authority and budget construction.

In preparation of the 2015-16 continuation operating budget, each department was asked to prepare a budget based on needs and submit it to Finance & Planning. The budgets were consolidated and submitted to the Executive Budget Council for review. Each Director/Department Head was scheduled to present his/her budget to the Council for approval. Attached is a summary of the budget by department and provided below are explanations of variances.

**Board of Trustees \$36k** – The preliminary operating budget includes \$36k for the board office. The funding consists of \$25k in E&G funding and \$11k in other unrestricted funds. Using unrestricted funds will allow the department the flexibility to purchase items for the board meetings which cannot be paid from E&G funds.

**Campus Safety & Security (University Police) \$721k** – Increase is associated with the implementation of an automatic campus lockdown system and the full costs for salaries & benefits for police officers hired in 2014-15.

**Academic Affairs \$19.3M** - (College of Engineering, College of Innovation & Technology, General Education program, EVP/Provost, Enrollment Services and Admission, Institutional Research and Effectiveness, Libraries, Program and curriculum Development, Registrar, Financial Aid, Student Affairs) - The increase in the budget for Academic Affairs reflects the costs associated with hiring faculty and adjuncts to deliver instruction to the increased student population, funds for project based research and continued development of program and services.

**Communications & Marketing \$2.0M** - This budget reflects a slight increase of \$20k increase over the prior year budget. The increase is attributed to consulting services.

**Construction and Facilities \$3.4M** - This budget reflects a \$1.4M increase over the prior year budget. The increase is due to the purchase of maintenance contracts.

**University-wide \$774k** – Includes budget associated with the P&I payments for equipment purchased through the State of Florida Consolidated Equipment Financing Program.

**Shared Services \$1.5M** - Under the shared service agreement with UF, the university pays a 7.5% assessment on operating expenses and a .25% assessment on capital expenses. The \$1.5M for shared services is based on an estimated expenditure base of \$20.0M.

**SACS \$246k** - The budget includes \$264k to cover the costs associated with the application and candidacy fees for accreditation as well as travel for staff to meet with SACS and attend workshops.

**President's Office \$1M** – The budget includes salary dollars for the President and support staff; funding for travel, memberships, dues ombudsperson and other expenses.



**Office of the General Counsel \$1M** - The budget reflects a \$352k increase over the prior year budget. The increase is attributed to outside legal services and converting an OPS position to a full-time position.

**University-Advancement \$548k** - This budget includes an increase associated with the purchase and implementation of an ERP system for developing customer relations with potential donors.

**External Relations \$254k** – Increase in budget is due to one-half salary for a support position with experience in external relations. The position is shared with Government Relations.

**Industry Partnerships \$200k** – The budget remains at the same level as 2014-15

**Government Relations \$230k** - Increase in budget is due to one-half salary for a support position with experience in external relations. The position is shared with External Relations.

**Human Resources \$226k** - This budget includes a 29% increase over the prior year budget and is associated with centralizing recruitment expenses and salaries and benefits associated with one position in order to bring some of the HR functions in-house.

**ERP Implementation \$1.5M** – We anticipate implementing an ERP system in FY 2015-16. We re-negotiated a new rate of 7.5% for the shared service agreement. The savings from the agreement will be used to fund the ERP system and costs for additional staff in order to bring services from UF in-house.

**Finance & Planning \$835k** - This area consists of the bursar's office, accounting and finance, budgets, purchasing and the CFO Office. The budget reflects an increase over the prior year due to salaries and benefits for the new CFO position.

**Information Technology \$3.8M** - The budget reflects an increase of approximately \$694k over the prior year. The increase is due to higher projected spending for data processing services, computer software purchases, maintenance contracts, annualized salaries and benefits.

**EVP/COO \$90k** - The budget reflects salary and benefits for an administrative assistant and a one-time leave payout expense for the COO.

**EHS – Risk Management Insurance \$159k** - The budget reflects salary and benefits for the director of EHS and funding for insurances.

**Internal Audit Function \$40k** - The university will contract out internal auditing services.

### **Non-E&G Budgets**

We anticipate generating approximately \$3.2M in sales and services, over \$2.2 M in student fees, \$3k in vending sales and \$500k in contracts and grants. Separate annual budgets have been prepared for these revenue sources. Provided below is a summary of the non-E&G annual budgets:

**Parking \$269k** - The University will generate revenues from the sale of parking permits and decals, citation fees, and a \$3 per student credit transportation fee. We anticipate collecting over \$269k in parking revenue. The preliminary budget includes 50% of the salary and benefits for the Auxiliary Manager, funds to hire temporary employees and contractual services expenses of \$112k.

**Bookstore \$39k** - We anticipate receiving \$39k in commissions.

**Food Service \$2.1 M** - Revenues from the Sodexo agreement are expected to total \$2.1M. Expenditures against the

funds include salaries and benefits for the Director and Administrative Assistant positions in the Campus Business Services department, \$1.4M on contractual services, \$58k in utilities, and \$140k for major projects and equipment replacement. The budget includes a \$356k reserve.

**ID card \$15k** - Projected revenues for ID cards is \$15K. Projected expenditures are \$11k and includes a percentage of the salary for the Auxiliary Manager, funds for printing software licenses, equipment and supplies.

**Health Fees \$312k** – Projected revenues from the \$9.58 per student credit hour health fee is \$312k. The budget includes expenditures associated with contracted services for the medical clinic.

**Student Activities \$575k** – Projected revenues from the \$17.62 per student credit hour activity & service fee will be used for student government and other student organizations and activities.

**Financial Aid Fee \$6.4M** – Projected revenues of \$250k from the student financial aid fee will be used for need-based financial aid. The fee varies by student level and for in-state and out- of-state students. Also included in this budget are \$1M projected revenue from Bright Futures and the Florida Student Assistance Grant (FSAG) and \$5M from Foundation funds.

**Concessions \$3k** - Revenues from the sale of beverages and canteen is projected to be \$3k per year. This is the most flexible revenue for the university. The funds will be used to support the Board of Trustees Office and other university initiatives that cannot be paid from E&G resources.

**Intercollegiate Athletics \$461k** - Projected revenues from the \$14.12 per student credit hour fee will be used to continue developing programs and events at the University.

**Technology Fee \$628k** - Projected revenues from the student per credit hour fee (\$5.16 for undergraduates and \$19.25 for graduates) will be used to enhance technology resources for faculty and students. The increase in revenues and expenditures is associated with projected growth in enrollment.

**Contracts and Grants \$500k** - Projected revenues from contracts and grants will be used in support of research, public service and training. This amount does not include grants for the Florida Industrial Phosphate Institute. FIPR may receive a grant for over \$1M however at this time, there are several uncertainties.

**Campus Business Services** - This department will be fully funded from Auxiliary Services funds (parking, food service, bookstore, ID cards). The increase in the budget is associated with the anticipated growth in student enrollment.

**Construction Projects**

Estimated construction cost for fiscal year 2015- 16 is expected to total \$7.6M. The projects and costs are as follows:

Project	Amount
Multipurpose field, basketball & volleyball	995,000
Surface parking and lighting	1,700,000
CHW Production	650,000
Surface parking and lighting	1,300,000
Recreation/lap swim pool	985,000
Gymnasium, life & learning center	2,000,000
<b>Total</b>	<b>7,630,000</b>

## Summary

The Florida Legislature has not approved a budget for the State of Florida. As a result, the University has not received notice of its allocations for 2015-16. The University has gone through its internal budgeting process, however, we were notified by the Board o Governor's staff that the 2015-16 budget should be presented to the Board of Trustees for approval as a continuation budget. This means that the 2015-16 E&G allocations must remain at the FY 2014-15 level. We are permitted to reflect allocations for the non-E&G sources in the budget based on the projected spending levels for 2015-16.

The Construction budget is shown only for information purposes and is not considered operating funds. The overall preliminary operating budget for the university, including FIPR, totals \$46.6M. Please note that this is a preliminary budget only. We will work to refine this budget prior to the official submission to the Board of Governors in August 2015.

FLORIDA POLYTECHNIC UNIVERSITY  
 FY 2015-16 RECOMMENDED BUDGET BY FUNDING SOURCE

DEPARTMENT/UNITS	E&G					Other Funding Sources					
	2014-15 Adjusted Budget (A)	Total Projected 2014 -15 Actual Expenditures (B)	2015-16 Recommended E&G Budget (C)	Increase Over Prior Year Budget (D)		Tech Fees	Athletic, Health and Activity & Service Fees	Other Funds	Concession	Other Unrestricted	Total 2015-16 Operating Budget
				\$	%						
BOARD OF TRUSTEES	24,297	6,034	25,267	970	4.0%			2,500	8,583	36,350	
CAMPUS SAFETY & SECURITY	591,083	595,914	699,308	108,225	18.3%				21,600	720,908	
<b>COLLEGES &amp; EVP/PROVOST</b>										-	
COLLEGE OF ENGINEERING	1,129,275	1,277,775	2,006,000	876,725	77.6%					2,006,000	
COLLEGE OF INNOVATION & TECHNOLOGY	932,376	809,264	1,927,300	994,924	106.7%					1,927,300	
GENERAL EDUCATION	1,307,609	528,972	2,681,000	1,373,391	105.0%					2,681,000	
EVP/PROVOST	1,706,750	984,838	1,376,600	(330,150)	(19.3%)					1,376,600	
<b>TOTAL COLLEGES &amp; EVP/PROVOST</b>	<b>5,076,010</b>	<b>3,600,849</b>	<b>7,990,900</b>	<b>2,914,890</b>	<b>57.4%</b>					<b>7,990,900</b>	
ENROLLMENT SERVICES & ADMISSIONS	1,279,503	1,229,426	1,259,203	(20,300)	(1.6%)					1,259,203	
INSTITUTIONAL RESEARCH & EFFECTIVENESS	190,945	192,944	361,278	170,333	89.2%					361,278	
LIBRARIES	429,600	426,569	472,000	42,400	9.9%					472,000	
PROGRAM & CURRICULUM DEVELOPMENT	195,361	166,966	134,090	(61,271)	(31.4%)					134,090	
REGISTRAR	149,809	143,891	169,923	20,114	13.4%					169,923	
FINANCIAL AID	181,480	181,904	187,650	6,170	3.4%					187,650	
FINANCIAL AID - STATE APPROPRIATIONS	50,000	50,000	50,000	0	0.0%					50,000	
STUDENT AFFAIRS	534,664	389,941	355,100	(179,564)	(33.6%)		1,342,900			1,698,000	
COMMUNICATIONS & MARKETING	1,980,785	1,791,905	2,000,000	19,215	1.0%					2,000,000	
CONSTRUCTION & FACILITIES MANAGEMENT	2,019,673	2,022,659	3,406,786	1,387,113	68.7%				28,800	3,435,586	
FLORIDA POLYTECHNIC - UNIVERSITY- WIDE	1,515,424	1,515,033	774,822	(740,602)	(48.9%)					774,822	
SHARED SERVICES	2,186,160	2,102,708	1,500,000	(686,160)	(31.4%)					1,500,000	
SACS	250,000	181,074	245,665	(4,335)	(1.7%)					245,665	
OFFICE OF THE PRESIDENT	956,120	649,751	765,883	(190,237)	(19.9%)				253,500	1,019,383	
OMBUDSPERSON	63,387	28,602	63,387	0	0.0%					63,387	
POLY SOUTH			4,000	4,000	100.0%					4,000	
PRESIDENTIAL AMBASSADORS			4,890	4,890	100.0%				700	5,590	
VP GENERAL COUNSEL	699,201	628,794	1,050,984	351,783	50.3%					1,050,984	
UNIVERSITY ADVANCEMENT	606,675	442,383	547,865	(58,810)	(9.7%)					547,865	
EXTERNAL RELATIONS	210,947	187,244	254,490	43,543	20.6%					254,490	
INDUSTRY PARTNERSHIPS	200,000	183,746	200,000	0	0.0%					200,000	
GOVERNMENT RELATIONS	197,539	197,144	229,919	32,380	16.4%					229,919	
HUMAN RESOURCES	175,450	148,147	226,006	50,556	28.8%					226,006	
ERP IMPLEMENTATION	437,098	437,098	1,500,000	1,062,902	243.2%					1,500,000	
FINANCE & PLANNING	629,115	592,259	834,591	205,476	32.7%					834,591	
INFORMATION TECHNOLOGY	3,190,000	3,119,113	3,410,900	220,900	6.9%	471,000			2,000	3,883,900	
EVP/COO	350,537	95,065	90,000	(260,537)	(74.3%)					90,000	
ENVIRONMENTAL HEALTH & SAFETY (EHS)	111,620	120,620	139,054	27,434	24.6%					139,054	
EHS - RISK MANAGEMENT INSURANCE APPROP.	20,000	20,000	20,000	0	0.0%					20,000	
INTERNAL AUDIT FUNCTION	0	0	40,000	40,000	100.0%					40,000	
<b>TOTAL BUDGET REQUEST</b>	<b>24,502,483</b>	<b>21,447,783</b>	<b>29,013,961</b>	<b>4,511,478</b>	<b>18.4%</b>	<b>471,000</b>	<b>1,342,900</b>	<b>-</b>	<b>2,500</b>	<b>31,145,544</b>	
<b>OTHER FUNDS</b>											
<b>Auxiliaries:</b>											
Parking								264,967		264,967	
Dining								1,782,627		1,782,627	
Bookstore								11,075		11,075	
Poly Card								10,900		10,900	
<b>Sub-Total Auxiliaries</b>								<b>2,069,569</b>		<b>2,069,569</b>	
Financial Aid Fees, Grants and Other								6,422,287		6,422,287	
Contracts & Grants (EVP/Provost)								500,000	40,000	540,000	
FIPR								3,450,000		3,450,000	
<b>Total</b>	<b>24,502,483</b>		<b>29,013,961</b>			<b>471,000</b>	<b>1,342,900</b>	<b>12,441,856</b>	<b>2,500</b>	<b>43,627,400</b>	
5% Statutory Reserves	1,597,208		1,597,208							1,597,208	
Other Reserve	5,844,459		1,332,982							1,332,982	
<b>Grand-Total Expenses + Reserves</b>	<b>31,944,150</b>		<b>31,944,150</b>			<b>471,000</b>	<b>1,342,900</b>	<b>12,441,856</b>	<b>2,500</b>	<b>46,557,589</b>	

**Florida Polytechnic University  
Board of Trustees  
June 3, 2015**

**Subject: Continuation Operating Budget for 2015-16**

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**Proposed Board Actions**

1. Approve the Continuation Operating Budget for 2015-16
2. Authorize the President (or the Designee) to make the necessary adjustments between the Continuation Operating Budget and the Detailed Budget to be submitted to the Board of Governors on or before August 19, 2015. Adjustments will be presented to the Board of Trustees at a regularly scheduled meeting.
3. Authorize the President (or the Designee) to implement budget amendments received by the Board of Governors during fiscal year 2016. Budget Amendments will be presented to the Board of Trustees at a regularly scheduled meeting.

**Background Information**

In accordance with regulation 9.007, each university president must prepare an operating budget for approval by the university board of trustees. The board of trustees approved operating budget is presented to the Board of Governors (BOG) for approval. Once approved by the BOG, the operating budget is implemented by the university's president.

The 2015 Legislature ended without the approval of a budget for the state as required by the Florida constitution. However, the Board of Governor's staff has advised the universities to have their board approve a Continuation Operating Budget and submit to them on or before June 24, 2015. The Continuation Operating Budget reflects budgeted revenues and expenditures at FY 2014-15 level for education and general funding sources and updated budgeted revenues and expenditures for non-E&G sources. Each University is still required to submit a detailed operating budget to the Board of Governors by August 19, 2015.

Florida Poly's Continuation Operating Budget for FY 2015-16 was prepared based upon allocations from the 2014 Legislature and input from the university departments. The budget was reviewed and approved by the University's Executive Budget Council. Once the Legislature approves a budget for the state, we are requesting that the President be granted the authority to

adjust the budget as necessary. The adjusted operating budget will be presented to the Board of Trustees at the September 2015 meeting.

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**Supporting Documentation:** FY 2015-16 Continuation Operating Budget

**Fiscal Impact:** \$46.6M

**Prepared by:** Bertha P. Alexander, AVP – Finance & Planning

**Florida Polytechnic University**  
**2015-16 Continuation Operating Budget**

<b>Funding Source</b>	<b>FY 2014-15</b>	<b>2015-16 Proposed</b>	<b>Change \$</b>	<b>Change %</b>
Education & General (E&G)				
General Revenue	30,205,141	30,205,141	0	0.0%
Lottery	456,560	456,560	0	0.0%
Tuition	1,282,449	1,282,449	0	0.0%
<b>Sub-total E&amp;G</b>	<b>31,944,150</b>	<b>31,944,150</b>	<b>0</b>	<b>0.0%</b>
Phosphate Research Trust Fund	2,700,000	2,700,000	0	0.0%
<b>Total E&amp;G</b>	<b>34,644,150</b>	<b>34,644,150</b>	<b>0</b>	<b>0.0%</b>
Contracts & Grants	400,000	855,183	455,183	113.8%
Auxiliary Enterprises	2,761,191	3,130,919	369,728	13.4%
Activity & Service Fee	262,447	572,650	310,203	118.2%
Student Financial Aid	1,583,685	6,422,287	4,838,602	305.5%
Concessions	25,000	2,500	(22,500)	(90.0%)
Intercollegiate Athletics	207,903	458,900	250,997	120.7%
Technology Fee	83,685	471,000	387,315	462.8%
<b>Total Preliminary Operating Budget</b>	<b>39,968,061</b>	<b>46,557,589</b>	<b>6,589,528</b>	<b>16.5%</b>

Note: Budget includes reserves.

**Florida Polytechnic University  
Board of Trustees  
June 3, 2015**

**Subject:** Legislative Budget Request (LBR) for 2016-2017

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**Proposed Board Action**

Approve the recommendation to seek \$1,829,000 in additional operating funds in the university's 2016-2017 Operating Legislative Budget Request.

**Background Information**

The LBR is a request for additional money through the Legislative process to (1) enhance the operations or delivery of existing programs and services and (2) establish new programs. Funds appropriated through this process are in addition to funds received in previous Legislative sessions for operating the university. There are two sections of the request: operating funds (day to day operational expenses) and Fixed Capital Outlay (FCO) for facilities construction, maintenance and remodeling. The request includes recurring and nonrecurring funds.

The Board is being asked to approve the operating LBR in this agenda item.

The submission of an LBR to the Legislature and Governor should be based on the university's independent judgment of need. Sections 1001.706(4) (b), 1011.40(1) and 1013.60, F.S., require each university to submit an institutional budget request within established guidelines. The Board of Governors (BOG) distributed guidelines for the Legislative Budget Request pursuant to Section 7, Article 9 of the Florida Constitution and Section 216.023(1), Florida Statutes.

The Board of Trustees must approve and submit its university Legislative Budget Request to the BOG by July 24, 2015. The Board of Governors will meet on September 3, 2015 to approve the initial State University System LBR comprising some of the items from among LBRs of the 12 public universities in Florida.

The Board of Governors has requested universities submit requests for the following priority components. Operating and Specialized Program Funds:

1. Continuing costs associated with existing programs – This policy addresses the funds needed to continue existing programs:
  - a) Plant operations and maintenance for new and existing buildings –
    - i. Funds will be requested for the annualized operations and maintenance costs for buildings completed and phased-in during 2015-2016;
    - ii. Funds will be requested for the operating costs for new buildings to be completed and occupied in 2016-2017.
2. Performance Funding – Funding will be requested based on the Board's performance funding model.



3. Task Force Reports and Studies – Consideration will be given to initiatives recommended in any task force reports or studies and endorsed by the Board.
  4. Shared System Resources – Consideration will be given to initiatives that allow for greater efficiencies through shared system resources. System initiatives developed by the universities should be vetted by the appropriate SUS council before being recommended to the Board.
  5. If a university received non-recurring funds for an initiative and that initiative is a priority for continued funding, then the university should submit that issue for consideration by the Board. System non-recurring funds received for base budget operations will be considered for the LBR.
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**Supporting Documentation:**

National STEM Education Lab – program description

National STEM Education Lab – position and fiscal summary

Center for Applied Economic Research – program description

Center for Applied Economic Research – position and fiscal summary

Entrepreneurship Center – program description

Entrepreneurship Center - position and fiscal summary

**Prepared by:** Rick Maxey, Director Government Relations

**State University System (SUS)**  
**Florida Board of Governors**  
**2016-2017 Legislative Budget Request Instructions**  
**Forms I and II**

The main objective of Form I and Form II is to align the university's budget issues and dollar values with the goals and objectives of the strategic priorities and the 2015 University Work Plan established by each university.

For FY 2016-2017, each university should submit one Form I and Form II for each budget issue and any system-wide issue identified as a critical system-wide need. Any issues unique to a branch campus or a special unit (e.g., IFAS Workload Initiative) should not be rolled into the main campus request, but reflected separately by use of the forms provided.

For system-wide issues, consideration will be given to issues that allow for greater efficiencies through shared system resources or identified as a system-wide need. If requesting funds as such, please list all university participants of the initiative and check the box "Shared Services/System-Wide Issue".

If a university received non-recurring funds in 2015-2016 for a unique issue, and that issue is a university priority for continued funding in 2016-2017, please check the box "2015-2016 Non-Recurring Issue".

For new issues identified by a university as a priority issue for 2016-2017, please check the box "New Issue for 2016-2017".

**Please keep in mind that all issues submitted for consideration by the Board should align with the goals and objectives of the strategic priorities and work plan established by each university.**

**State University System  
Education and General  
2016-2017 Legislative Budget Request  
Form I**

<b>University(s):</b>	<b>Florida Polytechnic University</b>
<b>Issue Title:</b>	<b>National STEM Education Lab</b>
<b>Priority Number</b>	<b>1</b>
<b>Recurring Funds Requested:</b>	<b>\$329,000</b>
<b>Non-Recurring Funds Requested:</b>	<b>\$0</b>
<b>Total Funds Requested:</b>	<b>\$329,000</b>
<b>Please check the issue type below:</b>	
<b>Shared Services/System-Wide Issue</b>	<input type="checkbox"/>
<b>2015-2016 Non-Recurring Issue</b>	<input type="checkbox"/>
<b>New Issue for 2016-2017</b>	<input checked="" type="checkbox"/>

**I. Description** – 1. Describe the service or program to be provided and how this issue aligns with the goals and objectives of the strategic priorities and the 2015 Work Plan established by your institution (include whether this is a new or expanded service/program). If expanded, what has been accomplished with the current service/program? 2. Describe any projected impact on academic programs, student enrollments, and student services.

The National STEM Education Lab is designed to support the need to more efficiently and effectively educate students pursuing a STEM degree in areas important to the State of Florida. The program addresses goals 2 and 4 in Florida Polytechnic University’s strategic plan. Goal 2 is to “achieve projected student enrollment through continually developing responsive programs and services.” Goal 4 is to “Create a campus environment that nurtures and empowers faculty, students and community partners to successfully conduct collaborative research, experiential learning and economic outreach.

The National STEM Education Lab also addresses two of the three critical points of emphasis in the Board of Governors’ 2025 System Strategic Plan, excellence and productivity.

The goals of the National STEM Education Lab are as follows.

1. Conduct research to develop or improve methods of educating STEM students at the university and K-12 levels.

2. Provide targeted education programs to enhance the skill of K-12 teachers in employing the latest instructional methodologies for improving learning and application of knowledge by STEM students.
3. Develop collaborative means of educating STEM students that facilitates sharing of expertise and resources among universities to more efficiently deliver STEM education.

**II. Return on Investment** - *Describe the outcome(s) anticipated, dashboard indicator(s) to be improved, or return on investment. Be specific. For example, if this issue focuses on improving retention rates, indicate the current retention rate and the expected increase in the retention rate. Similarly, if it focuses on expanding access to academic programs or student services, indicate the current and expected outcomes.*

Results from the National STEM Education Lab will address the relatively low retention rates in STEM programs, especially engineering. It is too soon for Florida Polytechnic to have generated retention data because it only completed its first year of operation in the spring semester. Once data is available it will serve as a baseline to compare the effectiveness of traditional approaches to educating STEM students to models developed from the National STEM Education Lab. Baseline will be gathered about K-12 teaching successes with STEM students which will include the success and persistence of high school STEM students in their university programs.

**III. Facilities** *(If this issue requires an expansion or construction of a facility, please complete the following table.):*

	Facility Project Title	Fiscal Year	Amount Requested	Priority Number
1.	N/A			
2.	N/A			

**2016-2017 Legislative Budget Request**  
**Education and General**  
**Position and Fiscal Summary**  
**Operating Budget Form II**  
(to be completed for each issue)

**University:** Florida Polytechnic University  
**Issue Title:** National STEM Education Lab

	<u>RECURRING</u>	<u>NON- RECURRING</u>	<u>TOTAL</u>
<u>Positions</u>			
Faculty	0.00	0.00	0.00
Other (A&P/USPS)	2.00	0.00	2.00
	-----	-----	-----
Total	2.00	0.00	2.00
	=====	=====	=====
<u>Salary Rate (for all positions noted above)</u>			
Faculty	\$0	\$0	\$0
Other (A&P/USPS)	\$150,000	\$0	\$150,000
	-----	-----	-----
Total	\$150,000	\$0	\$150,000
	=====	=====	=====
Salaries and Benefits	\$204,000	\$0	\$204,000
Other Personal Services	\$50,000	\$0	\$50,000
Expenses	\$30,000	\$0	\$30,000
Operating Capital Outlay	\$25,000	\$0	\$25,000
Electronic Data Processing	\$20,000	\$0	\$20,000
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$329,000	\$0	\$329,000
	=====	=====	=====

**State University System (SUS)**  
**Florida Board of Governors**  
**2016-2017 Legislative Budget Request Instructions**  
**Forms I and II**

The main objective of Form I and Form II is to align the university's budget issues and dollar values with the goals and objectives of the strategic priorities and the 2015 University Work Plan established by each university.

For FY 2016-2017, each university should submit one Form I and Form II for each budget issue and any system-wide issue identified as a critical system-wide need. Any issues unique to a branch campus or a special unit (e.g., IFAS Workload Initiative) should not be rolled into the main campus request, but reflected separately by use of the forms provided.

For system-wide issues, consideration will be given to issues that allow for greater efficiencies through shared system resources or identified as a system-wide need. If requesting funds as such, please list all university participants of the initiative and check the box "Shared Services/System-Wide Issue".

If a university received non-recurring funds in 2015-2016 for a unique issue, and that issue is a university priority for continued funding in 2016-2017, please check the box "2015-2016 Non-Recurring Issue".

For new issues identified by a university as a priority issue for 2016-2017, please check the box "New Issue for 2016-2017".

**Please keep in mind that all issues submitted for consideration by the Board should align with the goals and objectives of the strategic priorities and work plan established by each university.**

**State University System  
Education and General  
2016-2017 Legislative Budget Request  
Form I**

<b>University(s):</b>	
<b>Issue Title:</b>	<b>Center for Applied Economic Research</b>
<b>Priority Number</b>	<b>2</b>
<b>Recurring Funds Requested:</b>	<b>\$1,000,000</b>
<b>Non-Recurring Funds Requested:</b>	<b>\$0</b>
<b>Total Funds Requested:</b>	<b>\$1,000,000</b>
<b>Please check the issue type below:</b>	
<b>Shared Services/System-Wide Issue</b>	<input type="checkbox"/>
<b>2015-2016 Non-Recurring Issue</b>	<input type="checkbox"/>
<b>New Issue for 2016-2017</b>	<input checked="" type="checkbox"/>

**I. Description** - 1. Describe the service or program to be provided and how this issue aligns with the goals and objectives of the strategic priorities and the 2015 Work Plan established by your institution (include whether this is a new or expanded service/program). If expanded, what has been accomplished with the current service/program? 2. Describe any projected impact on academic programs, student enrollments, and student services.

The Center for Applied Economic Research (CAER) will further Florida Polytechnic’s mission by involving students in applied analyses of issues of importance to Floridians generally and Florida’s businesses in particular. The CAER will:

1. Conduct and disseminate independent applied economic research of importance to Florida’s taxpayers, businesses, and decision makers. Illustrative examples include studies of the role of STEM graduates in Florida’s economic growth and of their impact on the state and local tax mix.
2. Conduct independent research on a contract basis for individual firms, state or local governments, or other entities when the research is consistent with the mission of Florida Polytechnic.
3. Provide applied training and education to students by involving them in CAER research. Students will be involved through course projects and hired as assistants on contract research projects.

## **Mission**

To conduct and disseminate problem driven research and analysis related to the quality, efficiency, and growth of economic activity in Florida.

## **Background**

Florida either is, or will soon be, the third most populous state in the nation. However, the productivity of the state's economy, measured by the value of goods and services produced per worker, fell from 95% of the national average in 1993 to 83% in 2012.

The state's investment in Florida Polytechnic represents a belief that increasing the supply and demand for highly skilled workers with rigorous STEM training is important to reversing this trend and thereby providing richer economic opportunities and a higher quality of life for Floridians.

Synergies between the skills required for rigorous data driven economic analysis, the expertise of Florida Polytechnic faculty members in diverse emerging STEM areas, and the intended role of Florida Polytechnic as a driver of increases in STEM skills in Florida's workplace, make Florida Polytechnic the ideal intellectual home for the study of causes, consequences, and potential remedies for economic challenges faced by the state. The university's location in the heart of the I-4 corridor and the center of the state makes it ideal geographically as well.

## **Objectives**

**1.** Collect data, and conduct and disseminate analysis, to facilitate high quality economic development and support related decision making by businesses and policy makers.

### Examples

- a) Combining data on STEM related occupational characteristics with data on occupational employment patterns across Florida's regional labor markets to track concentrations of STEM related skills across Florida.
- b) Projecting future levels of STEM skill concentrations across Florida, along with information about the degree of uncertainty associated with them and their sensitivity to investment in education and infrastructure.

**2.** Work with industry and community partners to analyze issues of interest to specific businesses or industries.

### Examples

- 1) Work with industry partners in transportation and logistics on maximizing the efficiency of utilization of Florida's transportation infrastructure.
- 2) Capital intensive businesses that produce products and services for sale outside the state drive quality economic growth. However, the fact that the effective property tax rate in Florida is approximately four times the effective sales tax rate places a disproportionate tax burden on them. The center could work with industry partners to identify specific consequences of this element of Florida's tax structure on business investment and location decisions and for ways to mitigate negative effects on quality economic development.

**3.** Immerse students in rigorous applied data driven research and analysis projects, enhancing development of critical thinking and analytical skills valued in the workplace.



- a) The center will employ students to work as research assistants on specific projects with industry partners in the student’s area of study, facilitating relationships and employment opportunities.
- b) The center will work with students in estimating and projecting the private and public return on investment of applications, techniques, and innovations they develop through their coursework and their own directed problem driven research.

**II. Return on Investment** - *Describe the outcome(s) anticipated, dashboard indicator(s) to be improved, or return on investment. Be specific. For example, if this issue focuses on improving retention rates, indicate the current retention rate and the expected increase in the retention rate. Similarly, if it focuses on expanding access to academic programs or student services, indicate the current and expected outcomes.*

- 1. Provide data to allow state and local governments to determine the impact of funding various STEM related projects and programs.
- 2. Provide data useful to Florida STEM companies as they make decisions about expansion and location of their businesses in Florida.
- 3. Develop techniques that increase the efficiency of Florida’s transportation infrastructure.

**III. Facilities** *(If this issue requires an expansion or construction of a facility, please complete the following table.):*

	Facility Project Title	Fiscal Year	Amount Requested	Priority Number
1.				
2.				

**2016-2017 Legislative Budget Request**  
**Education and General**  
**Position and Fiscal Summary**  
**Operating Budget Form II**  
(to be completed for each issue)

**University:** Florida Polytechnic University Center  
**Issue Title:** for Applied Economic Research

	<b>RECURRING</b>	<b>NON- RECURRING</b>	<b>TOTAL</b>
<u>Positions</u>			
Faculty	4.00	0.00	4.00
Other (A&P/USPS)	6.00	0.00	6.00
	-----	-----	-----
Total	10.00	0.00	10.00
	=====	=====	=====
<u>Salary Rate (for all positions noted above)</u>			
Faculty	\$460,000	\$0	\$460,000
Other (A&P/USPS)	\$0	\$0	\$0
	-----	-----	-----
Total	\$460,000	\$0	\$460,000
	=====	=====	=====
Salaries and Benefits	\$575,000	\$0	\$575,000
Other Personal Services	\$100,000	\$0	\$100,000
Expenses	\$125,000	\$0	\$125,000
Operating Capital Outlay	\$0	\$0	\$0
Electronic Data Processing	\$75,000	\$0	\$75,000
Special Category (Specific)	\$125,000	\$0	\$125,000
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$1,000,000	\$0	\$1,000,000
	=====	=====	=====

**State University System (SUS)**  
**Florida Board of Governors**  
**2016-2017 Legislative Budget Request Instructions**  
**Forms I and II**

The main objective of Form I and Form II is to align the university's budget issues and dollar values with the goals and objectives of the strategic priorities and the 2015 University Work Plan established by each university.

For FY 2016-2017, each university should submit one Form I and Form II for each budget issue and any system-wide issue identified as a critical system-wide need. Any issues unique to a branch campus or a special unit (e.g., IFAS Workload Initiative) should not be rolled into the main campus request, but reflected separately by use of the forms provided.

For system-wide issues, consideration will be given to issues that allow for greater efficiencies through shared system resources or identified as a system-wide need. If requesting funds as such, please list all university participants of the initiative and check the box "Shared Services/System-Wide Issue".

If a university received non-recurring funds in 2015-2016 for a unique issue, and that issue is a university priority for continued funding in 2016-2017, please check the box "2015-2016 Non-Recurring Issue".

For new issues identified by a university as a priority issue for 2016-2017, please check the box "New Issue for 2016-2017".

**Please keep in mind that all issues submitted for consideration by the Board should align with the goals and objectives of the strategic priorities and work plan established by each university.**

**State University System  
Education and General  
2016-2017 Legislative Budget Request  
Form I**

<b>University(s):</b>	<b>Florida Polytechnic University</b>
<b>Issue Title:</b>	<b>Entrepreneurship Center</b>
<b>Priority Number</b>	<b>3</b>
<b>Recurring Funds Requested:</b>	<b>\$500,000</b>
<b>Non-Recurring Funds Requested:</b>	<b>\$0</b>
<b>Total Funds Requested:</b>	<b>\$500,000</b>
<b>Please check the issue type below:</b>	
<b>Shared Services/System-Wide Issue</b>	<input type="checkbox"/>
<b>2015-2016 Non-Recurring Issue</b>	<input type="checkbox"/>
<b>New Issue for 2016-2017</b>	<input checked="" type="checkbox"/>

**I. Description** – 1. Describe the service or program to be provided and how this issue aligns with the goals and objectives of the strategic priorities and the 2015 Work Plan established by your institution (include whether this is a new or expanded service/program). If expanded, what has been accomplished with the current service/program? 2. Describe any projected impact on academic programs, student enrollments, and student services.

The primary mission of the Entrepreneurship Center is to provide support to students in establishing their own STEM related businesses based on products and innovations that they develop. This center is a key objective of the number one strategy listed in the university’s work plan to build research capacity by growing centers, institutes and laboratories. In addition, the Entrepreneurship Center supports the Board of Governors’ goal of increasing research commercialization activities.

The impact of small businesses should not be underestimated as an essential component of Florida’s economy. The *Florida Small Business Profile* published in 2015 showed that 95.4% (58,976) of the 61,848 companies that exported goods from the state in 2012 were small businesses and they generated over two-thirds (68.6 percent) of the state’s total known export value. The report goes on to state that Florida’s small businesses employed over two-fifths (3 million) of the state’s private workforce in 2012.

The Entrepreneurship Center would provide a host of support programs and information to help students plan, implement and develop business for commercializing their products. Basic support will include education and training on the process of establishing a business, understanding small business leadership and management, legal requirements

and writing business plans. Mentors from the faculty and business community will serve as mentors thereby increasing the odds of success.

Students will be introduced to various organizations and people who fund startup companies at various stages of growth and help them understand various alternatives for financing startup companies. The university would also host competitions during which students would present their ideas with the opportunity for the winner to win startup funds.

Because of Florida Polytechnic University’s focused on applied research students will continue learning on the continuum from research to commercialization. The result will be the addition of new employers in Florida’s high-tech economy.

**II. Return on Investment** - *Describe the outcome(s) anticipated, dashboard indicator(s) to be improved, or return on investment. Be specific. For example, if this issue focuses on improving retention rates, indicate the current retention rate and the expected increase in the retention rate. Similarly, if it focuses on expanding access to academic programs or student services, indicate the current and expected outcomes.*

We expect that the Entrepreneurship Center will result in some of the university’s students establishing viable companies and employing workers in high-tech fields with above average wages.

**III. Facilities** *(If this issue requires an expansion or construction of a facility, please complete the following table.):*

	<b>Facility Project Title</b>	<b>Fiscal Year</b>	<b>Amount Requested</b>	<b>Priority Number</b>
<b>1.</b>	N/A			
<b>2.</b>	N/A			

**2016-2017 Legislative Budget Request**  
**Education and General**  
**Position and Fiscal Summary**  
**Operating Budget Form II**  
(to be completed for each issue)

**University:** Florida Polytechnic University  
**Issue Title:** Entrepreneurship Center

	<u>RECURRING</u>	<u>NON-RECURRING</u>	<u>TOTAL</u>
<u>Positions</u>			
Faculty	0.00	0.00	0.00
Other (A&P/USPS)	2.00	0.00	2.00
	-----	-----	-----
Total	2.00	0.00	2.00
	=====	=====	=====
<u>Salary Rate (for all positions noted above)</u>			
Faculty	\$0	\$0	\$0
Other (A&P/USPS)	\$125,000	\$0	\$125,000
	-----	-----	-----
Total	\$125,000	\$0	\$125,000
	=====	=====	=====
Salaries and Benefits	\$170,000	\$0	\$170,000
Other Personal Services	\$0	\$0	\$0
Expenses	\$250,000	\$0	\$250,000
Operating Capital Outlay	\$80,000	\$0	\$80,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$500,000	\$0	\$500,000
	=====	=====	=====

**Florida Polytechnic University  
Board of Trustees  
June 3, 2015**

**Subject:** Minor Construction Projects

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**Proposed Board Action**

Approve \$8.75 million of minor construction projects to be funded from carry-forward.

**Background Information**

For the 2011-2012 through 2022-2023 fiscal years, a university board of trustees may expend reserve or carry forward balances from prior year operational and programmatic appropriations for legislatively approved fixed capital outlay projects authorized for the establishment of a new campus.

The President of the University has determined the need for the fixed capital projects described on the accompanying table and seeks BOT approval pursuant to section. 1013.74(6), F.S.

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**Fiscal Impact:** \$8.75 million in capital outlay and approximately \$206,500 in annual operational and maintenance costs.

**Supporting Documentation:**

FY 2015-16 Minor Construction Projects  
Section 1013.74(6), Florida Statutes

**Prepared by:** Mark Mroczkowski, Vice President and CFO

**FLORIDA POLYTECHNIC UNIVERSITY - MINOR CONSTRUCTION PROJECTS  
2015-2016**

**Florida Polytechnic University**

Priority	Completed	Project Title	Metric	Brief Description of Project	Project Location	Project Amount*	Funding Source	Estimated Month	Estimated Annual Amount For	
								Of Board Approval Request	Operational & Maintenance Costs	Amount *
1- FPU	Fall 2015	Fields & Courts	3 acres	Multipurpose field, basketball & volleyball	Lakeland	\$ 1,100,000	Carry Fwd	06.03.15	\$31,500	Students Fees
2- FPU	Fall 2015	Parking Lots 6 & 8	360 cars	Surface parking and lighting	Lakeland	1,700,000	Carry Fwd	10.24.12 *	\$22,000	Parking Fees
3- FPU	Spring 2016	Cooling Tower	150 GSF	CHW Production/Server AC	Lakeland	650,000	Carry Fwd	06.03.15	\$12,000	Utility Fees
4- FPU	Spring 2016	Parking Lot 5	240 cars	Surface parking and lighting	Lakeland	1,300,000	Carry Fwd	10.24.12 *	\$18,000	Parking Fees
5- FPU	Fall 2016	Swimming Facility	1,000 GSF	Recreation/lap swim pool/Pool house	Lakeland	1,000,000	Carry Fwd	06.03.15	\$23,000	Student Fees
6- FPU	Fall 2016	Wellness Center Ph 2	10,000 GSF	Gymnasium, life & learning center	Lakeland	2,000,000	Carry Fwd	06.03.15	\$82,000	PO+M, Student Fees
7- FPU	Fall 2016	Shop	7,000	Industrial shop for teaching and research	Lakeland	1,000,000	Carry Fwd	06.03.15	\$18,000	PO+M
					Total	<u>\$ 8,750,000</u>				

\* Approval was transferred from USFP - Phase 3 Site Infrastructure



## Statutes » Title 48 » Ch. 1013 » Sec. 1013.74

### 1013.74 University authorization for fixed capital outlay projects.—

- (1) Notwithstanding the provisions of chapter 216, including s. 216.351, a university may accomplish fixed capital outlay projects consistent with the provisions of this section. Projects authorized by this section shall not require educational plant survey approval as prescribed in this chapter.
- (2) The following types of projects may be accomplished pursuant to this section:
  - (a) Construction of any new buildings, or remodeling of existing buildings, when funded from nonstate sources such as federal grant funds, private gifts, grants, or lease arrangements if such grants or gifts are given for the specific purpose of construction;
  - (b) The replacement of any buildings destroyed by fire or other calamity;
  - (c) Construction of projects financed as provided in s. 1010.62;
  - (d) Construction of new facilities or remodeling of existing facilities to meet needs for research, provided that such projects are financed pursuant to s. 1004.22; or
  - (e) Construction of facilities or remodeling of existing facilities to meet needs as determined by the university, provided that the amount of funds for any such project does not exceed \$1 million, and the trust funds, other than the funds used to accomplish projects contemplated in this subsection, are authorized and available for such purposes.
- (3) Other than those projects currently authorized, no project proposed by a university which is to be funded from Capital Improvement Trust Fund fees or building fees shall be submitted to the Board of Governors for approval without prior consultation with the student government association of that university. The Board of Governors may adopt regulations which are consistent with this requirement.
- (4) The university board of trustees shall, in consultation with local and state emergency management agencies, assess existing facilities to identify the extent to which each campus has public hurricane evacuation shelter space. The board shall submit to the Governor and the Legislature by August 1 of each year a 5-year capital improvements program that identifies new or retrofitted facilities that will incorporate enhanced hurricane resistance standards and that can be used as public hurricane evacuation shelters. Enhanced hurricane resistance standards include fixed passive protection for window and door applications to provide mitigation protection, security protection with egress, and energy efficiencies that meet standards required in the 130-mile-per-hour wind zone areas. The board must also submit proposed facility retrofit projects to the Division of Emergency Management for assessment and inclusion in the annual report prepared in accordance with s. 252.385(3). Until a regional planning council region in which a campus is located has sufficient public hurricane evacuation shelter space, any campus building for which a design contract is entered into subsequent to July 1, 2001, and which has been identified by the board, with the concurrence of the local emergency management agency or the Division of Emergency Management, to be appropriate for use as a public hurricane evacuation shelter, must be constructed in accordance with public shelter standards.
- (5) Projects accomplished pursuant to this section are subject to the requirements of s. 1010.62.
- (6) For the 2011-2012 through 2022-2023 fiscal years, a university board of trustees may expend reserve or carry forward balances from prior year operational and programmatic appropriations for legislatively approved fixed capital outlay projects authorized for the establishment of a new campus.

History.—s. 871, ch. 2002-387; s. 171, ch. 2004-5; s. 77, ch. 2004-41; s. 185, ch. 2007-217; s. 34, ch. 2010-78; s. 474, ch. 2011-142; s. 12, ch. 2012-129.

**Florida Polytechnic University  
Board of Trustees  
June 3, 2015**

**Subject:** Five-Year Capital Improvement Plan (CIP) and Legislative Budget Request

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**Proposed Board Action**

Approve the Five-Year Capital Improvement Plan and Legislative Budget Request for Fiscal Years 2016-17 through 2020-21.

**Background Information**

The University is seeking legislative approval for PECO funds to build and Applied Research Center, Student Achievement Center and a Faculty Staff Office Building to be funded over a three year period.

We also seek “Back of the Bill” approval to build two parking structures and two residence halls funded from non-state sources.

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**Fiscal Impact:**

From PECO funds:

Applied Research Center	\$35,000,000
Student Achievement Center	16,000,000
Faculty Staff Office Building	15,000,000
	<u>\$66,000,000</u>

From non-state funds:

Parking Structure 1	\$11,100,000
Parking Structure 2	10,000,000
Res Hall 3	21,948,518
Res Hall 4	21,948,518
	<u>\$64,997,036</u>

**Supporting Documentation:** Forms CIP 2, 3 and 4 attached

**Prepared by:** Mark Mroczkowski





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**CIP-3 SHORT-TERM PROJECT EXPLANATION**  
**CIP-3, A – NARRATIVE DESCRIPTION**

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3 of 18

AGENCY Florida Polytechnic University  
BUDGET ENTITY SUS  
PROJECT TITLE Applied Research Center

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AGENCY PRIORITY 1  
DATE BLDG PROGRAM APPROVED 06.03.2015

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**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

The State of Florida has invested heavily in creating an economic future as a leader of high-tech. Florida Polytechnic University's focus is applied research of real-world issues of high importance to its citizens. This research will serve as an economic catalyst in Florida and the nation. 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 more focused on solving real-world problems.

Based on 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 July 2015, 89 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.

In addition to laboratories, the facility will accommodate an entrepreneurship center to assist with the commercialization of the products and systems created from the University's research. Faculty, students and private sector researchers will get the support they need to start companies, patent their innovations and create high-paying, high-tech jobs. 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.

A significant amount of the interest shown by students in attending Florida Polytechnic University is the fact that they will get hands-on experience working with the latest technology on real-world problems. 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. Industry has 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. Some of our industry partners have already identified issues on which they want to work on with our faculty and students. Having the facility to conduct this research is crucial to the university's mission and is a significant part of the foundation for creating Florida Polytechnic University.

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**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

# Florida Polytechnic University

STATE UNIVERSITY SYSTEM  
CIP-3, SHORT-TERM PROJECT EXPLANATION

4 of 18

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1207

CIP-3, B - PROJECT DESCRIPTION		Applied Research Center							
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date		
Teaching Labs	7,000	1	9,800	375	3,675,000	06.23.16	06.23.19		
Research Labs	32,000	1	44,800	400	17,920,000	Space Detail for Remodeling Projects			
Office/Computer	21,500	1	30,100	200	6,020,000	BEFORE			
Campus Support	286	1	400	200	80,080	Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
			0		0	AFTER			
Totals	60,786		85,100		27,695,080				
*Apply Unit Cost to total GSF based on primary space type									
Remodeling/Renovation									
Total Construction - New & Rem./Renov.					27,695,080	Total	0	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
<b>1. BASIC CONSTRUCTION COSTS</b>								
a. Construction Cost (from above)		\$7,468,270	\$15,784,540	\$4,442,270			\$27,695,080	
Add'l/Extraordinary Const. Costs								
b. Environmental Impacts/Mitigation							-	
c. Site Preparation		50,000					50,000.00	
d. Landscape/Irrigation		25,000					25,000.00	
e. Plaza/Walks		75,000					75,000.00	
f. Roadway Improvements							-	
g. Parking ___ spaces		1,000,000					1,000,000.00	
h. Telecommunication		120,000					120,000.00	
i. Electrical Service		175,000					175,000.00	
j. Water Distribution		120,000					120,000.00	
k. Sanitary Sewer System		125,000					125,000.00	
l. Chilled Water System		175,000					175,000.00	
m. Storm Water System		150,000					150,000.00	
n. Energy Efficient Equipment							-	
<b>Total Construction Costs</b>	0	\$9,483,270	\$15,784,540	\$4,442,270	0	0	\$29,710,080	
<b>2. OTHER PROJECT COSTS</b>								
a. Land/existing facility acquisition							\$0	
b. Professional Fees		2,600,000					2,600,000.00	
c. Fire Marshall Fees		7,250					7,250.00	
d. Inspection Services			40,000				40,000.00	
e. Insurance Consultant		23,200					23,200.00	
f. Surveys & Tests		10,000	40,000				50,000.00	
g. Permit/Impact/Environmental Fees		8,700					8,700.00	
h. Artwork				29,000			29,000.00	
i. Moveable Furnishings & Equipment				2,000,000			2,000,000.00	
j. Project Contingency				870,000			870,000.00	
<b>Total - Other Project Costs</b>	\$ -	\$ 2,649,150	\$ 80,000	\$ 2,899,000	\$ -	\$ -	\$ 5,628,150	
<b>ALL COSTS 1+2</b>	\$ -	\$ 12,132,420	\$ 15,864,540	\$ 7,341,270	\$ -	\$ -	\$ 35,338,230	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	CIP & Beyond
TOTAL		0	TOTAL		0	\$35,338,230

## Higher Educational Facilities Return on Investment – Florida Polytechnic University

This is a tool developed by a collaborative group of stakeholders designed to facilitate the identification of return on investment metrics for higher education facilities. Check any box(es) that apply, provide a quantitative explanation, and identify the term or years in which ROI information is provided.

Institution: Florida Polytechnic University

Project: Applied Research Center

Total Project Cost: \$ 33.0 M

Previous Funding (State): \$ 0.0 M

Current Request: \$ 10.0 M

STEM (Yes or No): Yes

Contact Person (Name, Position, Office and Cell Phone No., Email):

Mark Mroczkowski, CFO 836.874.8408 407.580.5317 MMroczkowski@FL Poly.org

Check any box(es) that apply and provide a quantitative explanation. Identify the term or years in which ROI information is projected.

1.  Number of Additional Degrees and Certificates Produced and How Those Degrees are Meeting the Needs of our State (Job Openings, Average Wages of those Job Openings, etc)

Explanation:

2.  Number of Additional Students Served and the Benefits/Efficiencies Created (increase graduation rate, alleviate waitlist, increase academic support, etc.)

Explanation:

**In 2020, the IST Building will be full requiring new Teaching Lab and Office Computer space, 1100 additional students beyond capacity.**

3.  Amount of Additional Research Funding to be Obtained; Patents Awarded

Explanation:

**Moving from \$ 1.15MM in 2015 to \$20MM in 2021 in grant funding for research.**

4.  Project is in an Area of Strategic Emphasis as Determined by the Board of Governors' Gap Analysis or the Department of Economic Opportunity's National Occupational Forecast

Explanation:

**100% STEM University with "applied research" as a major focus.**

5.  Improves the Ranking of a Preeminent Program or Improves on a Performance Funding Model Metric

Explanation:

**Programs designed to reach accreditation will be enhanced, and new programs added, with new research space, when the building is "on line".**

6.  Increase Business Partnerships Which Will Lead to Guaranteed Internships and Jobs for Students

Explanation: Investment in the University by 89 business partnerships has led to “applied research” by students, making them more attractive to the marketplace.

7.  Project Improves the Use, either Operationally or Academically, of Existing Space

Explanation: Frees up existing space for the relocated research spaces, approximately 13,400 NASF in the Innovation, Science and Technology Building.

8.  Contribution of Local Funds Through Matching Grants, Property Donations, etc.

Explanation: Approximately \$8 MM \matching funds raised locally for FL Poly.

9.  Reduces Future Deferred Maintenance Cost and Extends the Life of the Facility by Bringing the Project up to Existing Standards (cost-benefit analysis of renovation or new facility vs. maintenance)

Explanation:

Other Pertinent Information not included above:

The State of Florida has invested heavily in creating an economic future as a leader of high-tech. Florida Polytechnic University’s focus is applied research of real-world issues of high importance to its citizens. This research will serve as an economic catalyst in Florida and the nation. 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 more focused on solving real-world problems.

Based on 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 June 2015, 89 companies 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.

In addition to laboratories, the facility will accommodate an entrepreneurship center to assist with the commercialization of the products and systems created from the university’s research. Faculty, students and private sector researchers will get the support they need to start companies, patent their innovations and create high-paying, high-tech jobs. 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.

A significant amount of the interest shown by students in attending Florida Polytechnic University is the fact that they will get hands-on experience working with the latest technology on real-world problems. 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. Industry has 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. Some of our industry partners have already identified issues on which they want to work on with our faculty and students. Having the facility to conduct this research is crucial to the university’s mission and is a significant part of the foundation for creating Florida Polytechnic University.



**CIP-3 SHORT-TERM PROJECT EXPLANATION  
CIP-3, A – NARRATIVE DESCRIPTION**

7 of 18

AGENCY	Florida Polytechnic University	AGENCY PRIORITY	2
BUDGET	SUS	DATE BLDG PROGRAM	
ENTITY		APPROVED	06.03.2015
PROJECT TITLE	Student Achievement Center		

**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

Current facilities on the campus of Florida Polytechnic University are sufficient for beginning operations. However, facilities needs based on enrollment growth projections and the level of student demand for admittance to the university show that we must begin planning in 2015-16 for a Student Achievement Center. This facility will serve as the key component in an essential series of initiatives to ensure that students succeed in their studies at the University. The Student Achievement Center will house an honors college, industry job center, international liaison office, a faculty and industry mentorship program and tutoring programs. Additionally, this facility will house programs that provide support for the psychological and social well-being of students, many of whom will be away from home from the first time.

Retention and graduation rates in engineering and math based majors are historically around 50% in the first two years. With retention rates this low, Florida has little hope of graduating enough STEM talent to meet industry demand and help Florida become a national and international leader in those fields. Studies have shown that higher levels of support, both academic and personal, dramatically increase the retention and graduation rates of students in STEM fields. Every student will have 24/7 access to programs developed to increased their chances of graduating with a degree.

The State of Florida, along with Cities and Counties have invested much taxpayer money in building an economy that has high-tech industries as the fourth major component of its economy. Companies in those industries have made it clear that they are looking for more graduates in STEM fields and graduates better prepared to succeed once they are hired. The need for higher retention rates that lead to a greater number of STEM graduates was highlighted in three critical reports. The Florida Chamber of Commerce identified "Six Pillars" that are essential to a robust economy in the state with talent being one of them. The report states that "Florida faces an emerging talent gap — a crisis in human capital that represents a vast and growing unmet need for a highly skilled and educated workforce". The Florida Chamber Foundation authored "Cornerstone" and "Cornerstone Revisited" which also highlight the need for additional STEM talent.

Without this Student Achievement Center, the intended impact of Florida Polytechnic will not be what is needed and expected. The University continues to work with high-tech industries to develop and implement programs that will make those industries successful in Florida. Those partnerships are a cornerstone of the University's development and the Student Achievement Center is a critical part of that model.

**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

# Florida Polytechnic University

STATE UNIVERSITY SYSTEM  
CIP-3, SHORT-TERM PROJECT EXPLANATION

8 of 18

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1209

CIP-3, B - PROJECT DESCRIPTION		Student Achievement Center							
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date		
Patient Care	2,500	1	3,500	325	1,137,500	06.23.2016	05.27.2019		
Office/Computer	5,000	1	7,000	210	1,470,000				
Audit/Exhibit	1,200	1	1,680	210	352,800				
Stud Acad Supp	32,000	1	44,800	210	9,408,000				
Campus Support	286	1	400	210	84,084				
<b>Totals</b>	<b>40,986</b>		<b>57,380</b>		<b>12,452,384</b>				
*Apply Unit Cost to total GSF based on primary space type									
Remodeling/Renovation									
Total Construction - New & Rem./Renov.					12,452,384	Total	0	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS					
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
<b>1. BASIC CONSTRUCTION COSTS</b>							
a. Construction Cost (from above)		2,850,000	8,052,384	1,550,000			\$12,452,384
Add'l/Extraordinary Const. Costs							\$0
b. Environmental Impacts/Mitigation							\$0
c. Site Preparation		25,000					\$25,000
d. Landscape/Irrigation		12,500					\$12,500
e. Plaza/Walks		37,500					\$37,500
f. Roadway Improvements							\$0
g. Parking ___ spaces		500,000					\$500,000
h. Telecommunication		60,000					\$60,000
i. Electrical Service		87,500					\$87,500
j. Water Distribution		80,000					\$80,000
k. Sanitary Sewer System		80,000					\$80,000
l. Chilled Water System		110,500					\$110,500
m. Storm Water System		75,000					\$75,000
n. Energy Efficient Equipment							\$0
<b>Total Construction Costs</b>	<b>0</b>	<b>3,918,000</b>	<b>8,052,384</b>	<b>1,550,000</b>	<b>0</b>	<b>0</b>	<b>\$13,520,384</b>
<b>2. OTHER PROJECT COSTS</b>							
a. Land/existing facility acquisition							\$0
b. Professional Fees		1,100,000					\$1,100,000
c. Fire Marshall Fees		3,625					\$3,625
d. Inspection Services		3,000	30,000				\$33,000
e. Insurance Consultant		9,500					\$9,500
f. Surveys & Tests		5,000	15,000				\$20,000
g. Permit/Impact/Environmental Fees		4,350					\$4,350
h. Artwork				14,500			\$14,500
i. Moveable Furnishings & Equipment				1,000,000			\$1,000,000
j. Project Contingency				435,000			\$435,000
<b>Total - Other Project Costs</b>	<b>0</b>	<b>1,125,475</b>	<b>45,000</b>	<b>1,449,500</b>	<b>0</b>	<b>0</b>	<b>\$2,619,975</b>
<b>ALL COSTS 1+2</b>	<b>0</b>	<b>5,043,475</b>	<b>8,097,384</b>	<b>2,999,500</b>	<b>0</b>	<b>0</b>	<b>\$16,140,359</b>

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	
TOTAL		0	TOTAL		0	\$16,140,359

**CIP-3 SHORT-TERM PROJECT EXPLANATION  
CIP-3, A – NARRATIVE DESCRIPTION**

9 of 18

AGENCY Florida Polytechnic University  
BUDGET ENTITY SUS  
PROJECT TITLE Faculty/Staff Office Building

AGENCY PRIORITY 3  
DATE BLDG PROGRAM  
APPROVED 06.03.2015

**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

The Faculty/Staff Office Building will house administrative staff and faculty offices. It is a component of the original 2005 Master Plan for the University. Currently, University personnel are housed on the main campus in the Innovation, Science & Technology Building, Technology Admissions Center and the Wellness Center Phase 1. 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 Faculty/Staff Building will house student services (Registrar, Admissions, Enrollment Services, Financial Aid, meeting spaces and Administrative Offices (President, CFO, etc.)). Space in the Wellness Center Phase 1, which currently houses many of these services, will be used to expand the food service operation to feed students, faculty 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 as well as the beginning of the University's research portfolio. Consequently, there is very limited meeting space and office space. STEM organizations and industry partners have already approached the University about hosting scientific meetings and conferences. The construction of a Faculty/Staff Office Building will free up space in other campus facilities for such endeavors.

One of the University's primary objectives is to partner with industry in teaching and research. This facility supports our ability to so do.

**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

# Florida Polytechnic University

STATE UNIVERSITY SYSTEM  
CIP-3, SHORT-TERM PROJECT EXPLANATION

10 of 18

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1208

CIP-3, B - PROJECT DESCRIPTION						Faculty/Staff Office Building					
Facility/Space Type	Net Area (NASF)	Net to		Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date	Space Detail for Remodeling Projects			
		Gross Area (GSF)	Conversion					BEFORE		AFTER	
								Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
Office/Computer	30,000	1	42,000	210	8,820,000						
Audit/Exhibit	4,000	1	5,600	210	1,176,000						
Stud Acad Supp	4,500	1	6,300	210	1,323,000						
Campus Support	286	1	400	210	84,084						
<b>Totals</b>	<b>38,786</b>		<b>54,300</b>		<b>11,403,084</b>						
*Apply Unit Cost to total GSF based on primary space type											
Remodeling/Renovation											
Total Construction - New & Rem./Renov.					<b>11,403,084</b>	Total	<b>0</b>	Total	<b>0</b>		

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
<b>1. BASIC CONSTRUCTION COSTS</b>							\$11,403,084	
1. a. Construction Cost (from above)		1,750,000	8,063,084	1,590,000				
Add'l/Extraordinary Const. Costs							\$0	
b. Environmental Impacts/Mitigation							\$0	
c. Site Preparation		25,000					\$25,000	
d. Landscape/Irrigation		12,500					\$12,500	
e. Plaza/Walks		37,500					\$37,500	
f. Roadway Improvements							\$0	
g. Parking ___ spaces		500,000					\$500,000	
h. Telecommunication		60,000					\$60,000	
i. Electrical Service		87,500					\$87,500	
j. Water Distribution		85,000					\$85,000	
k. Sanitary Sewer System		87,500					\$87,500	
l. Chilled Water System		110,500					\$110,500	
m. Storm Water System		75,000					\$75,000	
n. Energy Efficient Equipment							\$0	
<b>Total Construction Costs</b>	<b>0</b>	<b>2,830,500</b>	<b>8,063,084</b>	<b>1,590,000</b>	<b>0</b>	<b>0</b>	<b>\$12,483,584</b>	
<b>2. OTHER PROJECT COSTS</b>							\$0	
a. Land/existing facility acquisition							\$0	
b. Professional Fees		1,000,000					\$1,000,000	
c. Fire Marshall Fees		3,625					\$3,625	
d. Inspection Services			25,000				\$25,000	
e. Insurance Consultant		9,500					\$9,500	
f. Surveys & Tests		5,000	20,000				\$25,000	
g. Permit/Impact/Environmental Fees		4,350					\$4,350	
h. Artwork				14,500			\$14,500	
i. Moveable Furnishings & Equipment				1,000,000			\$1,000,000	
j. Project Contingency				435,000			\$435,000	
<b>Total - Other Project Costs</b>	<b>0</b>	<b>1,022,475</b>	<b>45,000</b>	<b>1,449,500</b>	<b>0</b>	<b>0</b>	<b>\$2,516,975</b>	
<b>ALL COSTS 1+2</b>	<b>0</b>	<b>3,852,975</b>	<b>8,108,084</b>	<b>3,039,500</b>	<b>0</b>	<b>0</b>	<b>\$15,000,559</b>	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	CIP & Beyond
TOTAL		<u>0</u>	TOTAL		<u>0</u>	<u>\$15,000,559</u>

**STATE UNIVERSITY SYSTEM**  
**Fixed Capital Outlay Projects Requiring Board of Governors Approval**  
**to be Constructed, Acquired and Financed by a University or**  
**a University Direct Support Organization with Approved Debt**  
**BOB-1**

Univ.	Project Title	GSF	Brief Description of Project	Project Location	Project Amount*	Funding Source	Estimated Month Of Board Approval Request	Estimated Annual Amount For	
								Operational & Maintenance Costs	Source
	1- FPU Parking Structure 1	144,000	600-Car Parking Structure 1	Lakeland	\$11,100,000	DSO	06.03.2015	\$90,000	Bond Funds
	2- FPU Parking Structure 2	130,000	600-Car Parking Structure 2	Lakeland	\$10,000,000	DSO	06.03.2015	\$90,000	Bond Funds
	3- FPU Res Hall 3	134,400	350-bed Residential Housing	Lakeland	\$21,948,518	DSO	06.03.2015	\$180,000	Bond Funds
	4- FPU Res Hall 4	134,400	350-bed Residential Housing	Lakeland	\$21,948,518	DSO	06.03.2015	\$180,000	Bond Funds
	Subtotal				\$64,997,036			\$540,000	
	Courtelis Matching Fund								
	Private Contribution	174,977	IST Building & Site Infrastructure	Lakeland	\$5,000,000	CFDC	10.24.12 *	\$315,000	PO+M & Carry Forward
	Private Contribution	174,977	IST Building & Site Infrastructure	Lakeland	\$5,000,000	LFDC	10.24.12 *	\$315,000	PO+M & Carry Forward
	Private Contribution	31,000	Wellness Center	Lakeland	\$5,000,000	LFDC	10.24.12 *	\$130,000	PO+M & Auxiliary
	Public Contribution	1.5 mile roads	Polytechnic Circle Contribution	Lakeland	\$10,000,000	Imperial Polk County	10.24.12 *	\$315,000	PO+M & Carry Forward
	Subtotal				\$25,000,000			\$445,000 *	

\* Transferred from USFP

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**CIP-3 SHORT-TERM PROJECT EXPLANATION**  
**CIP-3, A – NARRATIVE DESCRIPTION**

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12 of 18

AGENCY Florida Polytechnic University  
BUDGET ENTITY SUS  
PROJECT TITLE Parking Structure 1 & 2

AGENCY PRIORITY 4  
DATE BLDG PROGRAM  
APPROVED 06.03.2015

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**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

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 1200 space 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 transportation alternatives have been studied. The need for parking structure is documented in a study prepared for the University by Tim Haas Associates, and will be included in the Master Plan Update.

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**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1210

CIP-3, B - PROJECT DESCRIPTION		600-Car Parking Structure 1							
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date		
Parking	120,000	1.3	156,000	60	9,360,000				
			0		0				
			0		0				
			0		0				
			0		0				
Totals	120,000		156,000		9,360,000				
*Apply Unit Cost to total GSF based on primary space type									
Remodeling/Renovation									
Total Construction - New & Rem./Renov.					9,360,000	Total	0	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
1. BASIC CONSTRUCTION COSTS							\$9,360,000	
a. Construction Cost (from above)			\$9,360,000				\$9,360,000	
Add'l/Extraordinary Const. Costs							\$0	
b. Environmental Impacts/Mitigation							\$0	
c. Site Preparation			\$26,000				\$26,000	
d. Landscape/Irrigation			\$12,000				\$12,000	
e. Plaza/Walks			\$25,000				\$25,000	
f. Roadway Improvements			\$14,000				\$14,000	
g. Parking 600 spaces							\$0	
h. Telecommunication			\$12,000				\$12,000	
i. Electrical Service			\$55,000				\$55,000	
j. Water Distribution			\$20,000				\$20,000	
k. Sanitary Sewer System							\$0	
l. Chilled Water System							\$0	
m. Storm Water System			\$85,000				\$85,000	
n. Energy Efficient Equipment							\$0	
Total Construction Costs	\$0	\$0	\$9,609,000	\$0	\$0	\$0	\$9,609,000	
2. OTHER PROJECT COSTS							\$0	
a. Land/existing facility acquisition							\$0	
b. Professional Fees			\$780,000				\$780,000	
c. Fire Marshall Fees			\$3,150				\$3,150	
d. Inspection Services			\$33,400				\$33,400	
e. Insurance Consultant			\$9,900				\$9,900	
f. Surveys & Tests			\$21,200				\$21,200	
g. Permit/Impact/Environmental Fees			\$4,650				\$4,650	
h. Artwork							\$0	
i. Moveable Furnishings & Equipment				\$170,500			\$170,500	
j. Project Contingency				\$468,000			\$468,000	
Total - Other Project Costs	\$0	\$0	\$852,300	\$638,500	\$0	\$0	\$1,490,800	
ALL COSTS 1+2	\$0	\$0	\$10,461,300	\$638,500	\$0	\$0	\$11,099,800	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	
TOTAL		0	TOTAL		0	\$11,099,800

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1210

CIP-3, B - PROJECT DESCRIPTION		600-Car Parking Structure 2					
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date
Parking	115,000	1.3	149,500	60	8,970,000		
			0		0		
			0		0		
			0		0		
			0		0		
Totals	<u>115,000</u>		<u>149,500</u>		<u>8,970,000</u>		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>8,970,000</u>	Total	<u>0</u>

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
1. BASIC CONSTRUCTION COSTS								
a. Construction Cost (from above)				\$8,970,000			\$8,970,000	
Add'l/Extraordinary Const. Costs							\$0	
b. Environmental Impacts/Mitigation							\$0	
c. Site Preparation				\$24,000			\$24,000	
d. Landscape/Irrigation				\$11,000			\$11,000	
e. Plaza/Walks				\$20,000			\$20,000	
f. Roadway Improvements				\$10,000			\$10,000	
g. Parking 600 spaces							\$0	
h. Telecommunication				\$8,000			\$8,000	
i. Electrical Service				\$40,000			\$40,000	
j. Water Distribution				\$5,000			\$5,000	
k. Sanitary Sewer System							\$0	
l. Chilled Water System							\$0	
m. Storm Water System				\$65,000			\$65,000	
n. Energy Efficient Equipment							\$0	
Total Construction Costs	\$0	\$0	\$0	\$9,153,000	\$0	\$0	\$9,153,000	
2. OTHER PROJECT COSTS							\$0	
a. Land/existing facility acquisition							\$0	
b. Professional Fees				\$410,000			\$410,000	
c. Fire Marshall Fees				\$2,900			\$2,900	
d. Inspection Services				\$33,400			\$33,400	
e. Insurance Consultant				\$9,000			\$9,000	
f. Surveys & Tests				\$10,000			\$10,000	
g. Permit/Impact/Environmental Fees				\$4,650			\$4,650	
h. Artwork							\$0	
i. Moveable Furnishings & Equipment					\$80,000		\$80,000	
j. Project Contingency					\$358,800		\$358,800	
Total - Other Project Costs	\$0	\$0	\$0	\$469,950	\$438,800	\$0	\$908,750	
ALL COSTS 1+2	\$0	\$0	\$0	\$9,622,950	\$438,800	\$0	\$10,061,750	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	
TOTAL		<u>0</u>	TOTAL		<u>0</u>	<u>\$10,061,750</u>



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**CIP-3 SHORT-TERM PROJECT EXPLANATION**

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15 of 18

AGENCY Florida Polytechnic University  
BUDGET ENTITY SUS  
PROJECT TITLE Residence Hall 3

AGENCY PRIORITY 3  
DATE BLDG PROGRAM  
APPROVED June 3, 2015

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**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

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 (Anderson, 1981; Astin, 1977, 1982; Blimling, 1993, 1999; Nicpon, Huser, Blanks, Sollenberger, Befort, & Kurpius, 2006; Pascarella and Chapman, 1983; Thompson, Samiratedu, & Rafter, 1993; Tinto, 1987; and Velez, 1985)." Florida Polytechnic University is implementing many initiatives to ensure student success and on-campus housing is a significant component.

Of the more than 3,000 applicants for 500 slots in the 2014-15 inaugural class, approximately 66% of them preferred to live on campus. Enrollment is expected to grow in the 2016-17 academic year to over 1,431 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. In many instances, students who do not complete their degree leave with debt and are at a greater risk of defaulting on student loans.

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 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 high-tech companies to solve problems important to Florida's future.

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**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1211

CIP-3, B - PROJECT DESCRIPTION		Residential Housing 3 - DSO Bonds					
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date
Residence Hall 350 bed Unit	90,000	1.4	126,000	130	\$16,380,000		
Living Learning	6,000	1.4	8,400	130	\$1,092,000		
Totals	<u>96000</u>		<u>134,400</u>		<u>\$17,472,000</u>		
Space Detail for Remodeling Projects							
						BEFORE	AFTER
						Space Type	Space Type
						Net Area (NASF)	Net Area (NASF)
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>\$17,472,000</u>	Total	Total
						0	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
<b>1. BASIC CONSTRUCTION COSTS</b>								
a. Construction Cost (from above)				\$17,472,000			\$17,472,000	
Add'l/Extraordinary Const. Costs							\$0	
b. Environmental Impacts/Mitigation							\$0	
c. Site Preparation				\$25,000			\$25,000	
d. Landscape/Irrigation				\$12,500			\$12,500	
e. Plaza/Walks				\$20,000			\$20,000	
f. Roadway Improvements							\$0	
g. Parking 260 spaces				\$1,222,000			\$1,222,000	
h. Telecommunication				\$60,000			\$60,000	
i. Electrical Service				\$87,500			\$87,500	
j. Water Distribution				\$80,000			\$80,000	
k. Sanitary Sewer System				\$80,000			\$80,000	
l. Chilled Water System				\$115,000			\$115,000	
m. Storm Water System				\$75,000			\$75,000	
n. Energy Efficient Equipment							\$0	
<b>Total Construction Costs</b>	\$0	\$0	\$0	\$19,249,000	\$0	\$0	\$19,249,000	
<b>2. OTHER PROJECT COSTS</b>								
a. Land/existing facility acquisition							\$0	
b. Professional Fees				\$1,572,500			\$1,572,500	
c. Fire Marshall Fees				\$4,368			\$4,368	
d. Inspection Services				\$40,000			\$40,000	
e. Insurance Consultant				\$13,300			\$13,300	
f. Surveys & Tests				\$15,000			\$15,000	
g. Permit/Impact/Environmental Fees				\$4,350			\$4,350	
h. Artwork							\$0	
i. Moveable Furnishings & Equipment				\$1,050,000			\$1,050,000	
j. Project Contingency							\$0	
<b>Total - Other Project Costs</b>	\$0	\$0	\$0	\$2,699,518	\$0	\$0	\$2,699,518	
<b>ALL COSTS 1+2</b>	\$0	\$0	\$0	\$21,948,518	\$0	\$0	\$21,948,518	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	
TOTAL		<u>\$0</u>	TOTAL		<u>\$0</u>	<u>\$21,948,518</u>

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**CIP-3 SHORT-TERM PROJECT EXPLANATION**

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17 of 18

AGENCY Florida Polytechnic University  
BUDGET ENTITY SUS  
PROJECT TITLE Residence Hall 4

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AGENCY PRIORITY 4  
DATE BLDG PROGRAM  
APPROVED June 3, 2015

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**PURPOSE, NEED, SCOPE, RELATIONSHIP OF PROJECT TO AGENCY OBJECTIVES**

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 (Anderson, 1981; Astin, 1977, 1982; Blimling, 1993, 1999; Nicpon, Huser, Blanks, Sollenberger, Befort, & Kurpius, 2006; Pascarella and Chapman, 1983; Thompson, Samiratedu, & Rafter, 1993; Tinto, 1987; and Velez, 1985)." Florida Polytechnic University is implementing many initiatives to ensure student success and on-campus housing is a significant component.

Of the more than 3,000 applicants for 500 slots in the 2014-15 inaugural class, approximately 66% of them preferred to live on campus. Enrollment is expected to grow in the 2016-17 academic year to over 1,431 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. In many instances, students who do not complete their degree leave with debt and are at a greater risk of defaulting on student loans.

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 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 high-tech companies to solve problems important to Florida's future.

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**STATISTICAL JUSTIFICATION**

The Statistical Justification portion of the CIP-3 is not required this year.

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1212

CIP-3, B - PROJECT DESCRIPTION		Residential Housing 4 - DSO Bonds									
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date	Space Detail for Remodeling Projects			
Residence Hall 350 bed Unit	90,000	1.4	126,000	130	\$16,380,000						
Living Learning	6,000	1.4	8,400	130	\$1,092,000			BEFORE	AFTER		
								Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
Totals	96,000		134,400		\$17,472,000						
*Apply Unit Cost to total GSF based on primary space type											
Remodeling/Renovation											
Total Construction - New & Rem./Renov.					\$17,472,000			Total	0	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS						
	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP	
1. BASIC CONSTRUCTION COSTS					\$17,472,000		\$17,472,000	
a. Construction Cost (from above)								
Add'l/Extraordinary Const. Costs							\$0	
b. Environmental Impacts/Mitigation							\$0	
c. Site Preparation					\$25,000		\$25,000	
d. Landscape/Irrigation					\$12,500		\$12,500	
e. Plaza/Walks					\$20,000		\$20,000	
f. Roadway Improvements							\$0	
g. Parking 260 spaces					\$1,222,000		\$1,222,000	
h. Telecommunication					\$60,000		\$60,000	
i. Electrical Service					\$87,500		\$87,500	
j. Water Distribution					\$80,000		\$80,000	
k. Sanitary Sewer System					\$80,000		\$80,000	
l. Chilled Water System					\$115,000		\$115,000	
m. Storm Water System					\$75,000		\$75,000	
n. Energy Efficient Equipment							\$0	
Total Construction Costs	\$0	\$0	\$0	\$0	\$19,249,000	\$0	\$19,249,000	
2. OTHER PROJECT COSTS							\$0	
a. Land/existing facility acquisition							\$0	
b. Professional Fees					\$1,572,500		\$1,572,500	
c. Fire Marshall Fees					\$4,368		\$4,368	
d. Inspection Services					\$40,000		\$40,000	
e. Insurance Consultant					\$13,300		\$13,300	
f. Surveys & Tests					\$15,000		\$15,000	
g. Permit/Impact/Environmental Fees					\$4,350		\$4,350	
h. Artwork							\$0	
i. Moveable Furnishings & Equipment					\$1,050,000		\$1,050,000	
j. Project Contingency							\$0	
Total - Other Project Costs	\$0	\$0	\$0	\$0	\$2,699,518	\$0	\$2,699,518	
ALL COSTS 1+2	\$0	\$0	\$0	\$0	\$21,948,518	\$0	\$21,948,518	

Appropriations to Date			Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount	Source	Fiscal Year	Amount	
TOTAL		\$0	TOTAL		\$0	\$21,948,518

Florida Polytechnic University  
Board of Trustees  
June 3, 2015

Subject: FPU-1.0061P Intellectual Property

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**Proposed Board Action**

Approval of policy FPU-1.0061P Intellectual Property.

**Background Information**

**Florida Board of Governors (“BOG”) Regulation 1.001(8)(d)** requires each board of trustees to *establish policies and procedures* concerning the work products of university personnel *that facilitate technology development and transfer for the public benefit* and provides such policies must include, without limitation, provisions that (i) take into account the contributions of university personnel in the development of work products, and (ii) require any proceeds be used to support university research and sponsored training programs.

In addition, **BOG Regulation 1.001(5)(a)**, regarding Personnel, provides in pertinent part:

“Each board of trustees shall provide for the establishment of the personnel program for all the employees of the university, including the president, which may include but is not limited to: compensation and other conditions of employment...inventions and works..., ethical obligations and conflicts of interest, restrictive covenants...”

The BOG Regulation and **Florida Statutes, Section 1004.23** authorize the University to license, protect and manage the work products of University personnel. This proposed policy provides that all University personnel must disclose certain work products that may be developed or discovered while the person is affiliated with the University. The policy also sets forth the standards under which the University’s ownership of such work products are determined.

With the passage of the **Bayh-Dole** Amendments, Public Law 96-517, entitled “The Patent and Trademark Amendments Act of 1980,” the federal government facilitated the retention of intellectual property, particularly inventions, by universities. In this act the federal government gives universities the right to retain title to inventions they have made in the performance of government grants and contracts. The act reflects Congress’ intent that these organizations use the patent system as a vehicle to “effectuate the transfer of government-funded inventions to the public.”

The proposed policy **FPU-1.0061P Intellectual Property** acknowledges that issues of intellectual property are complex and that individual circumstances may affect the establishment of ownership of University works and inventions. The policy provides a framework for assigning

ownership rights and creating both incentives and protections that will encourage the discovery and development of new knowledge and its application and transfer for the public benefit. In addition, it provides for the equitable distribution of net income from the transfer and development of works and inventions. FPU-1.0061P specifically addresses the ownership of intellectual property developed within the University community, the disclosure, evaluation and commercialization process and the allocation of royalty generated revenue.

FPU-1.0061P was distributed among students, faculty and staff for review and comment. Comments received were considered and some were incorporated in this proposed policy.

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**Supporting Documentation:**

FPU-1.0061P Intellectual Property

Florida Statutes, Section 1004.23

BOG Regulation 1.001, Sections (5)(a) & (8)(d)

University Intellectual Property Agreement Form

University Invention Disclosure Form

**Prepared by:** Erin Varnell, Assistant General Counsel

<b>FLORIDA</b>	<b>OFFICIAL</b>
<b>POLYTECHNIC</b>	<b>UNIVERSITY</b>
<b>UNIVERSITY</b>	<b>POLICY</b>
<b>Subject/Title:</b> Intellectual Property	
<b>FPU Policy Number:</b> FPU-1.0061P	
<input checked="" type="checkbox"/> New Policy <input type="checkbox"/> Major Revision of Policy <input type="checkbox"/> Minor Technical Revision of Policy	
<b>Date First Adopted:</b>	
<b>Date Revised:</b>	
<b>Responsible Division/Department:</b> President's Office	
<b>Initiating Authority:</b> Randy K. Avent, President	

**A. APPLICABILITY**

This policy is applicable to all units of the University including its colleges, departments, centers, institutes and labs; all University employees, students and other individuals who utilize University Resources (as defined below); and all intellectual property, as broadly defined in Section 1004.23, Florida Statutes and in this policy.

Applicable law and/or the terms of any sponsored research or other agreements undertaken by the University or one of its units in good faith shall govern in the event the law or such agreements differ from the provisions of this policy.

**B. AUTHORITY**

The President or designee is authorized to administer this policy and to implement further policies and procedures within the framework provided herein to encourage and facilitate technology development and compliance with this policy.

**C. POLICY STATEMENT**

The University is dedicated to teaching, research, and the pursuit of knowledge for the benefit and use of society. An inherent objective of the University is to encourage creative activity and nurture innovation by recognizing and rewarding individuals who engage in such endeavors. The University recognizes that the natural outgrowth of research, scholarly, and other University activities conducted by faculty, staff, students and others may result in the development of inventions and discoveries of commercial importance. Consequently, it is incumbent upon the University to seek assurance that any intellectual property and related rights arising from research, scholarly, and other University activities are administered consistent with the public interest. Because the protection of intellectual property can often enhance the potential for investment and commercialization, the University seeks to protect the property rights of those ideas and discoveries that arise out of the activities of its faculty, staff, students, and others where it appears necessary or beneficial to do so.

This policy is intended to facilitate the development and transfer of University technology to the marketplace for the public benefit, while encouraging the prompt and open dissemination of research results by securing publication rights and availability of University technology for

educational purposes and providing recognition to individual creators by achievement of a fair and equitable distribution of royalty income.

As a condition of employment, all University employees are immediately bound by this policy. Furthermore, to provide full disclosure and acknowledgment of rights, the University requires, as a condition of employment, that all University employees acknowledge in writing their duty to recognize and adhere to this policy. University students and others working on sponsored research projects or utilizing significant University Resources (defined below), are likewise bound to, and required to acknowledge in writing their duty to recognize and adhere to this policy.

#### **D. LEGAL CONSIDERATIONS**

Pursuant to the Bayh-Dole Act of 1980 and subsequent amendments, universities are granted ownership of intellectual property created under government-funded work and are charged with commercializing those inventions for the public good. This policy is meant to encourage and enable technology development and for the benefit of the public. Adequate recognition of and incentive to potential creators of intellectual property through the sharing of the financial benefits resulting from the transfer and development of patentable inventions and other marketable forms of intellectual property encourages the creation of such intellectual property. At the same time, the University's share in the financial benefits provides funds for further research at the University. Consistent with the Bayh-Dole Act, the University is committed to sharing the intellectual and financial benefits resulting from the work of its employees.

Inventions that arise pursuant to programs receiving federal funds, whether such funds provide full or partial support in funding the research, are subject to the federal government retaining rights to the use of that property. Under Bayh-Dole, the federal government has provided universities the right to retain title to such inventions provided that, in return for this election right, the university assumes specific obligations in handling these inventions. Specific requirements, as prescribed by the federal government, include: election of title by the university within two (2) years of invention disclosure; obligation of due diligence in seeking legal protection and in licensing the technology; providing the federal government a non-exclusive, royalty-free license to use the invention either on its own or through a government contractor; required written agreements with university employees under which the employee agrees to prompt disclosure of inventions and to execute any documents necessary to obtain patent protection. The federal government also retains the right to assert a claim against an invention or patent in the event an institution fails to fulfill its responsibilities in accordance with federal regulations.

In addition to such obligations assumed by the University through its acceptance of federal research funding, the University often enters into research-related agreements (e.g., sponsored research agreement, material transfer agreement, participation agreement, service agreement), which typically will include legally binding terms governing Intellectual Property rights generated by participating researchers. The University must be able to fulfill these obligations, which often involve the disclosure, management, development and commercialization of intellectual property generated by participating University Creators.



## **E. DEFINITIONS:**

- 1. “Intellectual Property”** includes inventions, industrial designs, trade secrets, mask works, tangible research material, copyrightable works and related trademarks.
- 2. “Inventions”** include any potentially patentable concept and/or reduction to practice of a discovery, invention, process, composition of matter, method of doing business, article of manufacture, know-how, design, model, technological development, biological material, strain, variety, culture of any organism, or portion, modification, translation, computer software or databases, or extension of these items, any mark used in connection with these items. An invention also includes material, other than copyrightable Works, that is used to assist or enhance instruction.
- 3. “Student”** includes any full or part-time degree or non-degree seeking individual who is enrolled at the University in an undergraduate or graduate course. Students employed by the University shall be a University employee under the terms of this policy.
- 4. “Tangible Research Material”** means unique research products or tools, such as biological materials or chemical compounds, whether or not patentable.
- 5. “Trade Secrets”** include information and/or data reasonably kept confidential and that has existing or potential economic value.
- 6. “University Creator”** includes all University employees, both part and full-time, researchers, visitors and others individuals participating in University programs, research and/or utilizing University Resources.
- 7. “University Resources”** includes the use of University funds, facilities, equipment, personnel, materials, or technological information, and includes such support provided by other public or private organizations when it is arranged, administered or controlled by the University.
- 8. “Works”** include copyrightable computer software and databases, audio and visual material, circuit diagrams, compilations of the works of others, architectural and engineering drawings lectures, musical or dramatic compositions, motion pictures, choreographic works, multimedia works, web pages, sound recordings, pictorial or graphic illustrations or displays, and any creative expression of a mark used in connection with these items. A work also includes copyrightable material that is used to assist or enhance instruction.

## **F. OWNERSHIP OF INTELLECTUAL PROPERTY**

- 1.** University Creators retain ownership of Intellectual Property that they develop, provided such Intellectual Property is:
  - (a) not developed in the course of or pursuant to a sponsored research or other agreement; and
  - (b) not created as a “work-for-hire” by operation of copyright law and not created pursuant to a written agreement with the University providing for a transfer of copyright ownership to the University; and
  - (c) not developed with significant use of University Resources, as further described herein.
- 2.** Ownership of all other Intellectual Property immediately vests with the University upon creation, conception and/or reduction to practice in the following circumstances:

- (a) Intellectual Property is made or created by University Creators pursuant to a sponsored project agreement to which the University is a party;
- (b) Copyrightable works are created as a “work-for-hire” or pursuant to a written agreement with the University providing for the assignment of any Intellectual Property rights to the University;
- (c) Intellectual Property is developed by a University Creators with the significant use of University Resources.

**3.** University Creators own Intellectual Property that is developed on their own personal, unpaid time, in the absence of any sponsored project agreement or other agreement giving rights to the University, and without significant use of University Resources.

**G. SIGNIFICANT USE OF UNIVERSITY RESOURCES**

**1.** When Intellectual Property is developed by University Creators with the use of significant University Resources, the University owns such Intellectual Property. Provided the Intellectual Property is not subject to a sponsored project, or other agreement granting third party rights, the issue of whether or not a significant use of such University Resources occurred will be determined by the President or designee.

**2.** Textbooks developed in conjunction with teaching a University course are excluded from the “significant use” category (see “Scholarly Works” section below) and are not considered a “work-for-hire,” unless the textbook was developed using University personnel to support the textbook development or University administered funds were paid specifically to support the textbook development.

**3.** Generally, Intellectual Property will not be considered to have been developed using significant University Resources provided:

- (a) only a minimal amount of unrestricted funds has been used (e.g., amounts less than five hundred dollars (\$500) shall be presumed “minimal”); and
- (b) the Intellectual Property does not fall within an area of research that is subject to a sponsored research agreement for which the Creator is a participant or contributor; and
- (c) only a minimal amount of time has been spent using significant University facilities (e.g., time less than ten (10) hours shall be presumed “minimal”) or only insignificant facilities and equipment have been utilized (note: incidental use of office, library, machine shop facilities, and of traditional desktop personal computers are examples of facilities and equipment that are not typically considered significant); and
- (d) development of the Intellectual Property occurred during personal, unpaid time of the University Creator.

## **H. SCHOLARLY WORKS**

1. In keeping with academic tradition, the University does not claim ownership of copyrights in scholarly books and textbooks, articles and other scholarly publications, nor popular novels, musical compositions, or other works of artistic imagination provided such works are:

- (a) created by the personal effort of the University Creator;
- (b) created without the significant use of University Resources; and
- (c) not subject to the terms of a sponsored research or other agreement.

## **I. STUDENT INTELLECTUAL PROPERTY**

1. The University respects the long-standing tradition that students own their academic work. In general, any Intellectual Property (including theses and dissertations, inventions, discoveries, creations and new technologies) conceived or first reduced to practice by a student at the University as a work product (e.g., homework assignments, laboratory experiments and special and independent study projects) of a “for credit” course will be owned by the Student Creator. Generally, undergraduate and graduate Students own any Intellectual Property that they create through enrollment in a University course for academic credit. However, the University owns such Intellectual Property when one or more of the following apply:

- (a) When there is collaboration between a Student and University employee(s) to create works as part of a sponsored research project or faculty development activities.
- (b) In certain courses or special projects where a Student is presented with the opportunity to participate in a project or activity in which the ownership of any resulting Intellectual Property must be assigned either to the University or to a sponsoring entity as a condition of the Student’s participation.
- (c) When the Student is employed by the University, in which case the terms applicable to University employees shall apply.

2. Although a student retains copyright ownership to his/her thesis or dissertation or other Student-created Works, the Student grants the University permission to use, reproduce and publicly distribute copies of those Works.

## **J. SPONSORED STUDENT PROJECTS**

1. Students are never obligated to participate in projects or activities that require the assignment of the Student’s Intellectual Property to the University or another entity. In these situations, Students must always be presented with two options to choose from:

- (a) participate in a project or activity that does not require the Student to assign his/her Intellectual Property; or
- (b) participate in a project or activity that requires the Student to assign his/her Intellectual Property.

2. A Student's grade and/or evaluation of performance in a University course shall not be affected by the Student's decision to participate or not to participate in projects or activities requiring the assignment of the Student's Intellectual Property. Students should consider that the assignment of Intellectual Property is a binding legal agreement and that they have the right to seek independent legal advice at their own expense prior to signing any agreement.

3. Student project results are not the work of the University and any references either internally or to third parties shall clearly identify the source of the student project results as student research performed at the University without subsequent independent evaluation.

#### **K. INTELLECTUAL PROPERTY AGREEMENT**

All individuals who participate in funded research activities or utilize University Resources shall be bound to, and must sign the *University Intellectual Property Agreement Form*. This obligation extends to all University Creators. The processing of a University appointment will not and cannot be completed until this agreement is signed and submitted to the Office of Human Resources, which shall be responsible for collecting and maintaining signed agreements for all individuals required to do so pursuant to this policy.

#### **L. OUTSIDE CONSULTING AGREEMENTS**

1. University employees who are consulting for, visiting, or collaborating with other entities may be asked by other entities to sign documents (e.g., consulting agreements, facility access arrangements, and non-disclosure/confidentiality agreements). Such third party agreements often contain language conferring rights to inventions arising from access to information or facilities and the signing of such agreement may conflict with an individual's existing obligations to the University. It is the responsibility of each individual to ensure that the terms of any consulting or other agreements with a third party does not conflict with his/her commitment to the University (see *University Regulation FPU-6.008 Outside Employment and Outside Activities*). A University employee should make the nature of his/her obligations to the University clear to any third party for whom he or she expects to consult or collaborate with. Specifically, the scope of the consulting services should be distinguished from the scope of any individual's University research commitments.

2. The University will not negotiate any outside consulting agreements on behalf of any employee or student; however, any questions regarding a University policy or regulation may be directed to the General Counsel's Office.

#### **M. INTELLECTUAL PROPERTY DISCLOSURE**

1. University Creators must disclose Intellectual Property in writing to the University promptly and completely upon creation or discovery, even if the University Creator does not believe the University has rights to such Intellectual Property under the provisions of this policy.

2. The terms of sponsored research and other related agreements normally impose obligations with respect to the reporting of inventions, technical data, and copyrightable works, such as software. In particular, Intellectual Property that is developed under federally or privately sponsored research must be promptly disclosed to the Provost or designee in order to accomplish required reporting actions.

3. Disclosure is made to the Provost or designee on the *University Invention Disclosure Form* within a reasonable time of creation. The disclosure must contain sufficient detail to convey a clear understanding, to the extent known at the time of the disclosure, of the nature, purpose, operation and technical characteristics relating to the disclosed Intellectual Property. The disclosure must also provide information pertaining to any publication or submission for publication, sale or offer of sale, or public use of the Intellectual Property. Thus, the University Creator has the responsibility to update the Provost or designee in a timely manner of any developments involving publication, sale or use of which the University Creator may become aware of after the initial disclosure, and must take all reasonable efforts to make the initial disclosure to the University well in advance of any publication, sale or public use.

#### **N. INTELLECTUAL PROPERTY OWNERSHIP DETERMINATION**

If the University Creator claims an ownership interest in Intellectual Property or has a question about whether an assignment must be made to the University, the Intellectual Property should be disclosed to the Provost or designee and the claim or question clearly stated. The University, through the Provost or designee will provide a determination of rights within a reasonable time following submission, generally not to exceed thirty (30) days from the date of disclosure.

#### **O. INTELLECTUAL PROPERTY EVALUATION**

The President or designee will evaluate all Intellectual Property disclosures for their commercialization potential and to determine the appropriate means for protecting and promoting the development of the technology, with the assistance and cooperation of the

University Creator(s). The President or designee will provide a timely response to the University Creator(s), generally not to exceed sixty (60) days from the date of disclosure, and may engage outside evaluators and other consultants to review the disclosure, as well as to assist in the licensing, commercialization and protection of the Intellectual Property.

#### **P. INTELLECTUAL PROPERTY PROTECTION**

When a patent application is deemed appropriate, University counsel will work with the creator(s) to prepare a patent application. The University Creator(s) shall provide a reasonable level of assistance in this process during the initial preparation of the patent application, the prosecution of the patent application and with subsequent patents that claim priority to the initial patent. This assistance shall survive the employment of the University Creator(s) with the University and the University Creator(s) shall execute all necessary paperwork to perfect rights in the patent(s) for the benefit of the University. Upon submission, the Intellectual Property Disclosure Form will initiate action by the President or designee to investigate the patenting (or other methods of Intellectual Property protection) and marketing of the technology, unless accompanied by a letter from the University Creator(s) requesting other action be taken by the University.

#### **Q. COMMERCIALIZATION OF UNIVERSITY INTELLECTUAL PROPERTY**

The President or designee may determine it appropriate to pursue the licensing of University Intellectual Property to promote the likelihood that the Intellectual Property will provide a benefit to the public in accordance with the mission of the University. The President or designee will pursue the licensing by researching the market, identifying third parties to support development and/or commercialization, entering into discussions with potential licensees, negotiating appropriate licensing or other agreements, monitoring progress, and distributing net royalty income that is generated to the University Creator(s) in accordance with this policy. Licensing agreements will generally entail a nonrefundable license fee, patent expense reimbursement, a royalty percentage and minimum royalty payments, development and reporting milestones and a requirement of licensee diligence, providing march-in rights where a licensee does not perform diligently pursuant to the terms of the license. When it is appropriate to do so, the University may accept an equity position in partial lieu of cash royalties. For Trade Secrets including, but not limited to, databases, technical data, manufacturing processes and methods having commercial value, the University Creator(s) may request the University to license said Trade Secrets to outside industry.

#### **R. REQUEST TO LICENSE UNIVERSITY INTELLECTUAL PROPERTY**

University Creators may request a license from the University to commercially develop their Intellectual Property where such licensing would enhance the transfer of the technology, is consistent with University obligations to third parties, and does not involve a conflict of interest. When Intellectual Property is not subject to a sponsored research or other agreement, but has been developed using significant University Resources, the President or designee may, at his/her discretion and consistent with the public interest, license the Intellectual Property to the University Creator(s), exclusively or nonexclusively, on a royalty basis. Such license will include the payment of appropriate royalties, in accordance with the agreement terms and will require diligence in developing and disseminating the technology. The University Creator(s) must demonstrate technical and financial capability to commercialize the Intellectual Property, and the President or designee shall have the right to terminate the license if the University Creator(s) does not achieve effective dissemination within a reasonable amount of time. If the University grants such request, the University Creator(s) may be required to assume the costs of filing, prosecuting, and maintaining any patent rights.

#### **S. REQUEST TO UNIVERSITY TO COMMERCIALIZE INTELLECTUAL PROPERTY**

University Creators may request that University pursue the commercial development of Intellectual Property owned by the University Creator(s). The President (or designee) will evaluate the commercial potential of any Intellectual Property and determine whether or not the University will accept it for licensing. If the University has determined to pursue commercialization, the University Creator(s) will be required to assign his/her ownership of the Intellectual Property to the University. The terms of such assignment will be negotiated between the University and the University Creator(s).

#### **T. WAIVER OF UNIVERSITY INTELLECTUAL PROPERTY RIGHTS**

**1.** If the University decides to waive its rights in the disclosed Intellectual Property, the University Creator(s) may proceed to protect such Intellectual Property as he, she or they may wish. If sponsored funds supported the work leading to the creation or discovery of such Intellectual Property, any such waiver is subject to any governing provisions in the sponsoring agreement. Waiver of such rights by the University is contingent upon a perpetual, nonexclusive, royalty-free grant to the University to use or practice the Intellectual Property for educational and research purposes, unless otherwise agreed to in writing.

**2.** Should the University decide to waive its rights as provided for herein, the University Creator shall disclose any potential conflict of interest arising from his/her ownership of the Intellectual Property when proposing University research activities that could reasonably appear to influence the financial value of such Intellectual Property.

## **U. ASSIGNMENT OF UNIVERSITY INTELLECTUAL PROPERTY**

In the event the University has not pursued commercialization of the Intellectual Property within one hundred and twenty (120) days of receipt of the disclosure, the University Creator who intends to pursue commercialization of the Intellectual Property may submit a written request to the General Counsel's Office for the Intellectual Property to be reassigned to the University Creator. To the extent the Intellectual Property is not subject to any sponsored project or other agreement, and provided that all other University co-Creators, if any, consent to the request, the President or designee shall reasonably consider such a request. Any waiver or assignment of Intellectual Property rights by the University shall be limited only to the substance disclosed by the University Creator(s) in the Intellectual Property Disclosure Form and is subject to the grant of a perpetual, nonexclusive, royalty-free grant to the University to use or practice the Intellectual Property for educational and research purposes, unless otherwise agreed to in writing.

## **V. ROYALTY DISTRIBUTION**

**1.** The University will receive all royalty revenue that is generated from the commercialization of University Intellectual Property ("gross royalty revenue") and will deduct any outstanding costs incurred by the University to protect the Intellectual Property and, if appropriate, reasonable projected expenses that the University deems necessary to maintain the Intellectual Property ("net royalty revenue"). As a means to assure recognition of the efforts and contributions of the University Creator(s), the University will then distribute the total net royalty revenue as follows:

- (a) Sixty percent (60%) to the University Creator(s) in recognition of their contribution. In the case of University co-Creators, this distribution will be equally shared among all University co-Creators unless otherwise agreed to by the University co-Creators in writing;
- (b) Thirty percent (30%) will be designated by the Provost to support innovation and entrepreneurship programs and activities and distributed, in the discretion of the Provost, among any of the following units: a college, a University institute or center, a University laboratory and/or an academic department or program; and
- (c) Ten percent (10%) to the Sponsored Research Development Fund to be used to support University research programs and training activities.

**2.** Distribution of net royalty revenue will occur on a semi-annual basis. In the event the University acquires equity in the company in lieu or partial lieu of royalties for Intellectual Property, any Creator(s) receiving an individual equity stake in the company shall not be entitled to share in the University's equity stake. Otherwise, proceeds from the liquidation of the University's equity in the company will be distributed as royalty revenue in the manner described above. In the case of an irresolvable dispute over the terms of royalty revenue



distribution, such funds will be distributed in accordance with the terms herein as determined by the President or designee, whose decision shall be final.

**W. RESPONSIBILITY TO ASSIGN INTELLECTUAL PROPERTY INTERESTS**

1. The assignment of Intellectual Property rights to the University, as provided herein, is a condition of employment, enrollment, or access to University facilities. In the case of University ownership of Intellectual Property pursuant to this policy, the University Creator(s) hereby irrevocably assign to the University, all right, title and interest in and to the Intellectual Property and shall cooperate fully with the University in the preparation and prosecution of patent applications and patents. Any transfer of Intellectual Property rights shall be documented through the appropriate legal instrument, such as an assignment agreement, in a form consistent with applicable law and regulation.

2. Those who fail to sign and submit the University Intellectual Property Agreement Form may not be granted employment, or in the case of current employees, will be referred to the President. At the discretion and recommendation of the President or designee, the failure of an individual to comply with this requirement or any other requirements pursuant to this policy may result in sanctions up to and including termination or expulsion, as determined by the President in accordance with University policies and regulations.

**X. POLICY IMPLEMENTATION**

This policy, as currently set forth, and as it may change from time to time, constitutes an understanding that is binding on the University and individual University Creators. This policy shall take effect immediately upon adoption by the University.

**Y. FORMS**

- 1. University Intellectual Property Agreement Form (attached).
- 2. University Invention Disclosure Form (attached).

POLICY APPROVAL	
Policy No.: FPU-1.0061P	
_____	_____
Initiating Authority	Date
_____	_____
Policies & Procedures Review Committee Chair	Date
_____	_____
President/Designee	Date
Approved by FPU BOT, if required	_____
	Date

## The 2014 Florida Statutes

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[Title XLVIII](#)

K-20 EDUCATION CODE

[Chapter 1004](#)

PUBLIC POSTSECONDARY EDUCATION

[View Entire Chapter](#)

**1004.23 Universities; powers; patents, copyrights, and trademarks.**—Any other law to the contrary notwithstanding, each state university is authorized, in its own name, to:

- (1) Perform all things necessary to secure letters of patent, copyrights, and trademarks on any work products and to enforce its rights therein. The university shall consider contributions by university personnel in the development of trademarks, copyrights, and patents and shall enter into written contracts with such personnel establishing the interests of the university and such personnel in each trademark, copyright, or patent.
- (2) License, lease, assign, or otherwise give written consent to any person, firm, or corporation for the manufacture or use thereof, on a royalty basis or for such other consideration as the university shall deem proper.
- (3) Take any action necessary, including legal action, to protect the same against improper or unlawful use or infringement.
- (4) Enforce the collection of any sums due the university for the manufacture or use thereof by any other party.
- (5) Sell any of the same and execute all instruments necessary to consummate any such sale.
- (6) Do all other acts necessary and proper for the execution of powers and duties herein conferred upon the university, including adopting regulations, as necessary, in order to administer this section. Any proceeds therefrom shall be deposited and expended in accordance with s. [1004.22](#). Any action taken by the university in securing or exploiting such trademarks, copyrights, or patents shall, within 30 days, be reported in writing by the president to the Department of State.

History.—s. 169, ch. 2002-387; s. 19, ch. 2011-177.

the members of the committee shall be students appointed by the student body president.

- (c) Each board of trustees shall approve the internal procedures of student government organizations.
- (d) Each board of trustees shall require that institutional control and oversight of its intercollegiate athletics program is in compliance with the rules and regulations of the National Collegiate Athletic Association. The university president is responsible for the administration of all aspects of the intercollegiate athletics program.

(5) **Personnel.**

- (a) Each board of trustees shall provide for the establishment of the personnel program for all the employees of the university, including the president, which may include but is not limited to: compensation and other conditions of employment, recruitment and selection, nonreappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure, and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary actions, complaints, appeals and grievance procedures, and separation and termination from employment. To the extent allowed by law, university employees shall continue to be able to participate in the state group insurance programs and the state retirement systems.
- (b) Each board of trustees shall act as the sole public employer with regard to all public employees of its university for the purposes of collective bargaining, and shall serve as the legislative body for the resolution of impasses with regard to collective bargaining matters.
- (c) Each board of trustees shall select its university president subject to confirmation of the candidate by the Board of Governors. A presidential search committee shall be appointed to make recommendations to the full board of trustees. The board of trustees shall select a candidate for confirmation by the Board of Governors. Prior to confirmation, the board of trustees shall submit a written description of the selection process and criteria, and the qualifications of the selected candidate to the Board of Governors for its consideration in confirming the candidate. The candidate selected by the board of trustees shall be required to appear before the Board of Governors at the meeting where confirmation of the candidate will be considered. Such meeting will be held as soon as practicable to ensure a timely transition. A two-thirds vote of the Board of Governors shall

## BOG REGULATION 1.001 UNIVERSITY BOARD OF TRUSTEES POWERS AND DUTIES

- (i) Each board of trustees shall prepare and adopt a campus master plan pursuant to section 1013.30, Florida Statutes.
  - (j) Each board of trustees shall prepare, adopt, and execute a campus development agreement pursuant to section 1013.30, Florida Statutes.
  - (k) Each board of trustees may authorize the rent or lease of parking facilities, provided that such facilities are funded through parking fees or parking fines imposed by a university. A board of trustees may authorize a university to charge fees for parking at such rented or leased parking facilities and parking fines.
  - (l) Each board of trustees shall promulgate regulations that establish basic criteria related to the procurement of commodities and contractual services.
  - (m) Each board of trustees shall be responsible for the fire safety and sanitation of public educational and ancillary plants.
- (8) **Miscellaneous Powers and Duties.**
- (a) Each board of trustees is authorized to form such corporate entities as are necessary to establish and maintain faculty practice plans for the collection, distribution, and regulation of fees generated by faculty members engaged in the provision of healthcare services to patients as an integral part of their academic activities and employment as faculty. Each such faculty practice plan must be adopted by the board of trustees in accordance with regulations of the Board of Governors and approved by the Board of Governors.
  - (b) Each board of trustees is authorized to establish direct support organizations and university health services support organizations and certify them to use university property, facilities, and services.
  - (c) Each board of trustees may establish educational research centers for child development.
  - (d) Each board of trustees is authorized to protect, develop, and transfer the work products of university personnel and other university agents and contractors, which authority shall include but not be limited to licensing, assigning, selling, leasing, or otherwise allowing the use of or conveying such work products and securing and enforcing patents, copyrights, and trademarks on such products. Each board of trustees shall have policies and procedures concerning the work products of university personnel that facilitate technology development and transfer for the public benefit. Such policies must include, without limitation, provisions that take into account the contributions of university personnel in the development of work products and that require any proceeds from such work products be used to support the research and sponsored training programs of the university.

**INTELLECTUAL PROPERTY AGREEMENT**

In consideration of my continuing or anticipated employment at Florida Polytechnic University (“Florida Poly”), my performance of research at Florida Poly and/or opportunities made or to be made available to me to use Florida Poly funds, facilities or other resources, I assign to Florida Poly or its designee any and all Intellectual Property that I develop which is owned by Florida Poly in accordance with the Florida Poly Intellectual Property Policy (“IP Policy”) in effect at the time of my disclosure of such Intellectual Property in accordance with this Agreement. As used herein, “Intellectual Property” has the same meaning as set forth in the IP Policy, as the Policy may be changed from time to time.

In exchange for the consideration listed above:

1. I agree to promptly disclose in writing all Intellectual Property required to be disclosed in accordance with the IP Policy.
2. I hereby assign all right, title and interest to any and all such Intellectual Property, or such portion thereof as required to Florida Poly or its designee, and I agree to execute all necessary papers and cooperate fully, at the expense of Florida Poly or its designee, to enable Florida Poly or its designee to secure full and proper protection for such Intellectual Property, both domestic and foreign.
3. I agree to prepare and maintain for Florida Poly adequate and current written records of all such Intellectual Property and to deliver to Florida Poly, upon request, such written records as maintained by me, which at all times shall be the property of Florida Poly.
4. I certify that I am now under no obligation to any person or other organization or corporation with respect to any rights in Intellectual Property which are or could reasonably be construed to be in conflict with this Agreement, and I agree that I will not enter into an agreement which might create a conflict with this Agreement.
5. I agree and understand that this Agreement is part of the terms of my employment at Florida Poly, or if a visitor, a condition of my visit to Florida Poly or if a student, a condition of my participation in research as provided in the IP Policy; that this Agreement covers the entire term of my employment, or visit, or participation in research-related activities; and that the obligations relating to my Florida Poly activities as set forth in this Agreement shall continue after termination of my employment, or visit, or participation.
6. I agree and understand that from time to time Florida Poly’s Intellectual Property Policies and practices, including the royalty distribution provisions of the IP Policy, may be subject to changes, and I agree to keep informed of any such changes as are published by Florida Poly.

This Agreement is entered into and effective as of the date of my employment and replaces all previous agreements and understandings relating to the same or similar matters which I may have entered into with Florida Poly with respect to any and all disclosures of Intellectual Property made by me from and after this Agreement becomes effective. This Agreement does not replace or modify any previously executed patent assignment agreements or other agreements or documents executed during previous patent prosecution or licensing, if applicable. This Agreement may not be modified or terminated, in whole or in part, except in writing and signed by an authorized representative of Florida Poly. Discharge of my undertakings in accordance with this Agreement will be an obligation of my executors, administrators or other legal representatives or assignees.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Legal Name:** \_\_\_\_\_

**Employee ID No:** \_\_\_\_\_

**Position:** \_\_\_\_\_

**Department:** \_\_\_\_\_

# INSTRUCTIONS

- Pursuant to University policy FPU-1.0061P Intellectual Property, Faculty, Staff or Student Researchers who develop a new invention must complete this form and email it to the General Counsel and Provost.
- The purpose of this form is to assist University Creators in complying with the Intellectual Property policy and to assist the University in determining whether it has any rights in the invention, and if so, whether it will seek intellectual property protection for the invention.
- All questions on this form must be answered as accurately and completely as possible.

Please complete and submit this Disclosure Form along with all related abstracts, drawings, papers, etc. via e-mail to the University General Counsel, with a copy to the Provost. All documents should be in a Microsoft Word or compatible format (e.g., RTF).

Please contact the Provost or the Office of the General Counsel if you have any questions.

FPU Acknowledgement of Receipt of Completed Disclosure Form

\_\_\_\_\_  
*Attorney Signature*

\_\_\_\_\_  
Date Received

This record of invention is not considered properly disclosed to Florida Polytechnic University until it has been received and signed by an attorney in the General Counsel's Office

Disclosure No: \_\_\_\_\_  
(assigned by OGC)

**Name of Lead Contributor:**

**A. THE INVENTION**

**1. TITLE OF INVENTION:**

**2. DESCRIPTION OF THE DISCLOSURE:** In the space below or on a separate sheet, please provide a detailed description of the invention; containing sufficient detail of the invention so that one skilled in the same discipline as yourself could reproduce the invention.

**3. What is the problem this invention addresses?**

\*If a manuscript, poster, presentation or other document explaining the invention has been prepared in draft, submitted, or published form, please attach a copy to this Disclosure Form.

**4. NONCONFIDENTIAL ABSTRACT:** In one or two paragraphs, briefly describe and explain your invention in the form of an abstract, focusing on the disclosure's commercial application and benefits, without disclosing inventive methods or other confidential details. This information may be utilized to generate marketing material sent to prospective licensees.

**B. FINANCIAL SUPPORT/ CONTRACT IDENTIFICATION**

**\*\*\*In order for the University to comply with all federal and state requirements, it is the duty of all contributors to provide and keep the University updated of all funding sources used to produce the invention/creation disclosed in this form and any future funding related to this work/research. \*\*\***

**1. What or who was the funding source that was utilized to produce the invention in this disclosure?  
(\*Attach a copy of the grant/contract/agreement)**

**Federal or State Grant** - name of the outside agency (if the Federal Government, please state which department): \_\_\_\_\_  
Federal/State grant contract number: \_\_\_\_\_ (NOT FPU’s account number)

**Industry Sponsor** - full address of sponsor, including name and telephone number of contact:  
\_\_\_\_\_  
Sponsor’s grant or contract number: \_\_\_\_\_ (NOT FPU’s account number)

**University RO or other University fund** - Name of FPU fund (i.e. seed money, internal FPU award, etc.);  
FPU Account Number: \_\_\_\_\_

**2. Did any of the contributors have affiliations, academic appointments or employment contracts (paid or unpaid) with any of the following during the course of this work?  
(If yes, please provide the name of the contributor and the affiliated entity)**

Other University \_\_\_\_\_

Other \_\_\_\_\_

**3. Did any of the contributors use any materials (i.e. instruments, biological, chemical, or physical substance(s) obtained from others to create this invention?**

No  Yes\*  \*(If yes, please list the provider of the materials and provide copies of any such agreements)



### C. PUBLICATIONS

**NOTE:** A non-confidential disclosure of an invention may initiate a one year period within which a United States patent application must be filed. If an application is not filed during this one year period, U.S. law prevents one from obtaining patent protection of the disclosed invention. The patent laws of other countries are even more strict: in general, the right to patent protection is lost immediately upon the non-confidential/public disclosure unless a U.S. patent application is filed prior to such public disclosure. Please provide information about web publication including abstracts, posters, and manuscripts.

1. Has the invention been published? No  Yes

2. Do you intend to publish the invention? No  Yes

3. Have you or do you intend to disclose this information in a public manner (i.e. poster, presentation, print – including in abstract form) internally or externally to FPU?

No  Yes

**\*If yes, provide a full copy of the disclosure, abstract, poster, slides and:**

(i) Name of the scientific or professional organization: \_\_\_\_\_

(ii) Location & DATE of the gathering: \_\_\_\_\_

4. Has the invention been publicly disclosed in any other manner? No  Yes

\*If yes, please explain \_\_\_\_\_

### D. SIMILAR EXISTING INFORMATION (PRIOR ART)

1. Are you familiar with any information in print that is similar to the invention disclosed in this Form?

No  Yes  \*If the answer is yes, please provide the full title and citation and copies if available:

**E. COMMERCIAL INTEREST:**

1. Has any commercial entity inquired or expressed interest in this Invention?

No  Yes \*If the answer is yes, please provide the company and the contact information:

**F. CONTRIBUTOR(S)**

**List below all persons believed to have contributed to the conception or reduction to practice of this invention.**

1. Please state the number of contributors of the Invention disclosed herein:

**NOTE:** If the invention is described in a publication that identifies authors other than the contributors listed, please describe the contributions made by each author not identified in this disclosure as a contributor to the invention.

The foregoing list should include names of all persons who may qualify as legal inventors. Inventorship is a legal question that is generally determined by the attorney of record at the time the patent application is filed.

Please provide information for all persons believed to have contributed to the conception or creative reduction to practice of this disclosure. Remember to submit the completed Disclosure Form along with all related abstracts, drawings, papers, etc. via e-mail to the University's General Counsel with copy to the Provost. All should be in a Word or compatible format.

**Contributor I<sup>1</sup>**

Full Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

Contribution<sup>2</sup>: \_\_\_\_\_

Signature<sup>3</sup>: \_\_\_\_\_ Date: \_\_\_\_\_

**Contributor II**

Full Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

Contribution<sup>2</sup>: \_\_\_\_\_

Signature<sup>3</sup>: \_\_\_\_\_ Date: \_\_\_\_\_

**Contributor III**

Full Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

Contribution<sup>2</sup>: \_\_\_\_\_

Signature<sup>3</sup>: \_\_\_\_\_ Date: \_\_\_\_\_

<sup>1</sup> This should be the person that is completing this form.

<sup>2</sup> E.g., designed mechanical coupling; programmed controller; etc...

<sup>3</sup> Electronic signatures are acceptable (e.g., /joanna doe/)

Florida Polytechnic University  
Board of Trustees  
June 3, 2015

**Subject: FPU-7.0026P Undergraduate Inaugural Scholarship**

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**Proposed Board Action**

Approve the proposed policy FPU-7.0026P Undergraduate Inaugural Scholarship.

**Background Information**

On August 26, 2013, The Board of Trustees approved Florida Poly's inaugural scholarship program. The purpose of the scholarship program was to assist our students with their cost of attendance due to the fact that certain forms of Federal and State aid would not be available to students in the first few years of operation.

Florida Polytechnic University set the following scholarship standards and eligibility requirements for undergraduate recipients:

- \$5000 for the first 3 academic years. \$3200 for the 4<sup>th</sup> academic year.
- All undergraduates must be full time (12 or more credit hours) in every fall and spring semester.
- Students must attempt 30 credit hours every academic year.
- Students must complete 67% of attempted hours with a passing grade.
- Students must maintain a minimum Grade Point Average of 2.75 each academic year.

At the recommendation of our SACS consultants, instituting a probationary period would put the Inaugural Scholarship in line with how Federal Student Aid is structured and regulated. Treating the Inaugural Scholarship by similar standards will help us in transitioning to Federal Financial Aid once accredited.

Adding this feature to the scholarship would also assist in retention of our high quality students that may have missed minimum eligibility requirements.

**\*PLEASE SEE THE ATTACHED POLICY FOR SPECIFICS CONCERNING PROBATIONARY PERIODS AND STUDENT ELIGIBILITY\***

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**Supporting Documentation:** FPU-7.0026P Undergraduate Inaugural Scholarship

**Prepared by:** Eric Callueng, Director of Financial Aid

<b>FLORIDA</b>	<b>OFFICIAL</b>
<b>POLYTECHNIC</b>	<b>UNIVERSITY</b>
<b>UNIVERSITY</b>	<b>POLICY</b>

<b>Subject/Title:</b> Undergraduate Inaugural Scholarship
<b>FPU Policy Number:</b> FPU-7.0026P
<input checked="" type="checkbox"/> New Policy <input type="checkbox"/> Major Revision of Policy <input type="checkbox"/> Minor Technical Revision of Policy
<b>Date First Adopted:</b>
<b>Date Revised:</b>
<b>Responsible Division/Department:</b> Office of Financial Aid
<b>Initiating Authority:</b> Dr. Ghazi Darkazalli

**A. APPLICABILITY/ACCOUNTABILITY:**

This policy applies to all undergraduate students awarded the 2014-2015 Inaugural Scholarship. The Office of Financial Aid is responsible for the awarding of the scholarships and implementation and enforcement of this policy.

**B. POLICY STATEMENT:**

**1. Yearly Scholarship Amounts**

Undergraduate Inaugural Scholarship recipients are eligible to receive a maximum of the following amounts during the University’s first four consecutive Financial Aid Years.

- Year 1: \$5,000
- Year 2: \$5,000
- Year 3: \$5,000
- Year 4: \$3,200

For purposes of this scholarship, an eligible recipient is awarded \$166.67 per credit hour taken during the Financial Aid Years 1-3 and \$106.67 for Financial Aid Year 4 until he/she has reached the maximum amount of Inaugural Scholarship for the given Financial Aid Year.

Once a student has used the maximum of the scholarship eligibility for the given Financial Aid Year, the student is responsible for paying any tuition and fees through means other than the Inaugural Scholarship.

**2. Requirements for Eligibility and Re-eligibility**

In order to be eligible to receive, or continue to receive, the scholarship, the Undergraduate recipient of the Inaugural Scholarship:

- (a) must be registered as a full time student during each and every subsequent Fall and Spring semester after being admitted to the University,
- (b) must maintain a minimum grade point average of 2.75 each Financial Aid Year,
- (c) must complete a minimum of 67% of the recipient’s attempted credits in each Financial Aid Year with a passing grade,
- (d) must have all financial obligations settled with the University before the start of the next Financial Aid Year, and
- (e) may not have any code of conduct violations (Academic or Non-Academic) resulting in suspension or expulsion.

Pursuant to regulation **FPU-4.004 Procedure for Payment, Waiver and Refund of Tuition, Fees, Fines, and Penalties**. If a recipient drops or withdraws from any courses during a semester, such may result in the student owing a balance to the University due to refund of tuition or a reduction of total tuition cost. Regulation FPU 4.004 and related policies are applicable to recipients of the scholarship.

### **3. Exceptions to Inaugural Scholarship Requirements**

- (a) A student who is unable to obtain Full Time Status due to lack of availability of courses offered in a given semester will not be penalized and such student will be funded up to the amount of credits being taken. However, the student must get written proof of lack of availability of courses from the Registrar or Vice Provost, and provide it to the Office of Financial Aid. Written proof must be provided to the Office of Financial Aid before the end of the Drop/Add period for the semester the student wishes to receive an exception.
- (b) If a student withdraws from the University due to military orders such as deployment, training, or relocation, the student will not be penalized for such withdrawal, and the student will be eligible to receive the remaining amount of the scholarship upon the student's return to the University.

### **4. Violations and Non-compliance with Requirements**

- (a) **Recipients that receive a Grade Point Average of 2.0 – 2.74, and/or credit completion rate of 50%-66% in a Financial Aid Year, are placed on scholarship probation for the next Financial Aid Year (the “probationary period”).**
  - i. A recipient on scholarship probation is required to meet with an Academic Advisor at the beginning of the probationary period to create an Academic Plan so that the recipient will meet the minimum Grade Point Average or credit completion rate by the end of the probationary period.
  - ii. If the recipient does not meet the minimum GPA or credit completion rate by the end of the probationary period, the recipient is no longer eligible to receive the scholarship and will be notified of such.
- (b) **Recipients that receive a Grade Point Average below 2.0, or a credit completion rate of less than 50% in a Financial Aid Year, are not eligible for the scholarship in the following Financial Aid Year and will be notified of such.**
- (c) Students have a right to appeal their ineligibility for the scholarship with the Office of Financial Aid. The appeal must be received by the Office of Financial Aid no later than 30 days after the date the ineligibility notice was issued.
  - i. Financial Aid appeal forms are available through the Office of Financial Aid.
  - ii. The Financial Aid Appeals Committee will convene to make decision to student appeals.
  - iii. The decision of the Financial Aid Appeals Committee is final.

### **C. DEFINITIONS:**

**Financial Aid Year:** For the purposes of this scholarship, the financial aid year starts on the first day of the Fall semester and ends on the last day of the Summer semester.

**Full Time:** For the purposes of this scholarship, Full Time ranges from 12 credit hours to 18 credit hours within a semester.

**Attempted Credits:** Any credits taken within a semester, where the student is enrolled in the course after the end of the drop/add period. Where a student has withdrawn from a course, the credits related to such course are still considered to be attempted credits.

**Passing Grade:** A grade of A, B, C, or D in a completed course.

**D. PROCEDURES:**

1. The Office of Financial Aid will package a student’s Inaugural Scholarship in the Student Information System based on their initial schedule.
2. After the Drop/Add period the student’s schedule will be re-evaluated for any change in credits being attempted.
3. Once schedule has been confirmed, the Office of Financial Aid will batch the student’s scholarship for disbursement.
4. The Office of Financial Aid will continuously monitor a student’s account for change in activity, including drops, withdrawals, course additions, and rate of completion.
5. At the end of each Financial Aid Year the student’s Grade Point Average, code of conduct record, and course completion rate will be evaluated for re-eligibility for the scholarship.

POLICY APPROVAL	
Policy No.: FPU-7.0026P	
_____	_____
Initiating Authority	Date
_____	_____
Policies & Procedures Review Committee Chair	Date
_____	_____
President/Designee	Date
Approved by FPU BOT, if required	_____
	Date