



FLORIDA POLYTECHNIC
UNIVERSITY

BOARD OF TRUSTEES RETREAT MEETING SCHEDULE

Tuesday, May 22 – Wednesday, May 23, 2018

Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805

Tuesday, May 22, 2018

8–8:30 AM	BREAKFAST
8:30–10:30 AM	Full Board Workshop
10:45–11:30 AM	Strategic Planning Committee – <i>Liaison Rick Maxey</i>
11:30 AM–12:00 PM	LUNCH
12–2:00 PM	Finance and Facilities Committee – <i>Liaison Mark Mroczkowski</i>
2:15–3:15 PM	Academic & Student Affairs Committee – <i>Liaison Terry Parker</i>
3:15–4:15 PM	Audit & Compliance Committee – <i>Liaison David Blanton</i>
5:30–9:30 PM	DINNER & BALLGAME – <i>On Deck Suite</i>

Wednesday, May 23, 2018

8–8:30 AM	BREAKFAST
8:30 AM–12:00 PM	Full Board Meeting
12:00 PM–12:30 PM	LUNCH & DEPART



Board of Trustees Annual Retreat Workshop

**Tuesday, May 22, 2018
8:30 AM-10:30 AM**

**Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805**

**Frank T. Martin, Chair
Dr. Jim Dewey
Travis Hills
Dr. Adrienne Perry
Gary C. Wendt**

**Don Wilson, Vice Chair
Rear Admiral Philip Dur
Henry McCance
Dr. Louis Saco**

**Mark Bostick
Dr. Richard Hallion
Cliff Otto
Robert Stork**

AGENDA

- | | |
|---|--|
| I. Call to Order | Frank Martin, Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Frank Martin, Chair |
| IV. Approval of the June 7, 2017 Minutes
Action Required | Frank Martin, Chair |
| V. Review of FGCU and FAMU Board of Trustees Audits | David Blanton |
| VI. Board of Trustees Self-Evaluation Survey Discussion | Carol Cartwright,
Association of
Governing Boards
(AGB) |
| VII. Closing Remarks and Adjournment | Frank Martin, Chair |

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
BOARD RETREAT: DISCUSSION OF GOVERNOR SCOTT'S LETTER
MEETING MINUTES
Florida Industrial and Phosphate Research Institute
1855 W. Main St., Bartow, FL 33830
June 7, 2017 @ 1:00 PM**

I. Call to Order and Welcome

Chair Frank Martin called the Board Retreat back to order at 1:20 pm.

Florida Industrial and Phosphate Research (FIPR) Institute Executive Director Brian Birky welcomed Trustees to the FIPR Institute property. He gave an overview of the history and purpose of FIPR Institute.

II. Attendance

The following Trustees attended: Chair Frank Martin, Vice-Chair Don Wilson, Trustee Jim Dewey, Trustee Philip Dur, Trustee Sandra Featherman, Trustee Dick Hallion, and Trustee Jacob Livingston.

Staff present: President Dr. Randy Avent, Dr. Terry Parker, Mr. Mark Mroczkowski, Mr. Kevin Aspegren, Ms. Gina DeJulio, Mrs. Maggie Mariucci, Mr. Rick Maxey, Mr. Scott Rhodes, Dr. Kathryn Miller and Mr. Kevin Calkins.

III. Discussion on Governor Rick Scott's Letter

Mr. Rick Maxey provided an overview of the letter that Governor Scott sent to all Florida College and University presidents and boards of trustees. His letter requests that college and university boards discuss a set of six questions. Minutes of this meeting will be prepared in addition to a formal written response to the questions and sent to the Governor.

Questions and Discussion:

Question 1: "How are your institution's degrees matched to the top job opportunities in Florida?"

The Governor provided a recent list of top job areas in the state from the Department of Economic Opportunity as a reference. Mr. Maxey presented a chart that lists each Florida Poly degree that matches with the top ten job fields in Florida. Florida Poly offers one or more degrees in six out of the top ten job fields.

Trustee Don Wilson stated when Florida Poly was first getting started, the University hired two separate firms to analyze future STEM-related job opportunities. This information was used to

design the University's original degrees and curriculum. From the beginning, the University's degree offerings were designed to line up with the top job opportunities in Florida.

Trustee Jim Dewey said it is difficult to project top job opportunities since they are based on the available talent. What future jobs look like depends on what the University does. He also stated that one cannot grow the economy based on current job opportunities available now.

Chair Frank Martin stated that the top ten job fields can change monthly based on historical evidence. He also mentioned that in addition to the two firms that Florida Poly retained, the University held an Industry Summit in the fall of 2013 where industry leaders from across the state participated in a half day of round table and large group discussion which also influenced the University's degree offerings and curriculum. As the University begins work on a new strategic plan, the University will research new job fields in order for the degree offerings to remain relevant.

Trustee Sandra Featherman stated that Florida Poly is especially unique since all of the University's students are being trained in six out of the ten fields identified. No other college or university can make that claim.

Florida Poly's data shows that not all graduates responded to a survey about post-graduation employment. The graduates were contacted multiple times in an effort to collect this information. Mr. Maxey said there is a system in the state that tracks where people are employed; however, it takes almost eighteen months for people to show up in the system. This data is what the Board of Governor uses to determine performance based funding. Most universities are tracking alumni who graduated 18 months ago. Florida Poly's alumni information is very current. Chair Martin inquired how Florida Poly is staying connected to alumni in order to track and collect data. Mr. Kevin Aspegren answered that all students are engaged in the alumni association prior to their graduation.

Trustee Philip Dur stated Florida has pockets of cutting-edge high-wage employees in the aerospace industry (five Florida Poly interns are at Lockheed Martin and Northrup Grumman this summer) yet not one school in Florida has a marine engineering degree or a naval architecture degree. Employers in Florida have to recruit out of state for these high-tech high-wage jobs because Florida's colleges and universities are not meeting the demands for graduates in those disciplines.

Trustee Jacob Livingston inquired if the Governor has considered including entrepreneurs and new business startups. Many Florida Poly students have potential to create new jobs vs. just filling jobs. Mr. Maxey answered that, yes, there is excitement about Florida Poly's focus on entrepreneurship in high-tech areas, citing that the University received funding for this last year. However, these numbers are not factored into these questions. It is a strong desire of Florida Poly that metrics on entrepreneurship be developed and included in the future.

Chair Martin mentioned an article he read this week about the number of patents recently approved. Four universities in the SUS are listed in the top twenty. President Avent stated that one has to be careful because the number of patents is not what is most important. Anyone can patent anything they want. The real metric is how many people are licensing the patents.

Trustee Dewey asked if the University's answers in Table 1 make a strong case for Florida Poly since not all of the data is available. Trustee Dewey also questioned the list in Table 1 as to where there are a lot of openings in these fields and how that correlates to where wages are going up faster and where people are being trained in these fields. Trustee Dewey also pointed out that under "Management Analysts", the University's Science and Technology Management degree should be listed.

Question 2: “What is your institution’s job placement rate for graduates of your two most popular degree programs?”

This was mostly discussed under question one. Chair Martin stated the need to update the data for the total number of graduates to 38 and differentiate undergraduate from graduate students in the data.

Question 3: “How has your institution spent the record state funding in higher education?” Attached was a six-year funding history for each college and university in Florida.

Mr. Maxey reviewed Florida Poly’s written response to this question that shows a high-level view of how the University has spent state funding. Trustee Wilson questioned the answer to number nine “Established more than 90 industry partners.” There are actually several hundred. Mr. Kevin Aspegren will work with Mr. Maxey to provide a correct number of industry partners currently working with Florida Poly. They will also include a definition of “industry partner”.

Trustee Dur commented that how a start-up university spends state funds is fundamentally different from an established university. While it is hard to measure return on investment right now since the University is so new, he recommended whether it be in dollars or hard numbers in graduates trained for disciplines in which they are employed, it is useful to correlate expenditure of funds to a return to a very generous State public. The public has a right to know the return on their investment.

Question 4: “What is the return on investment from the record state funding in higher education?”

In addition to the written response prepared for the Governor, Trustee Dur recommend staff add that Florida Poly will be matriculating students who can serve Florida-based industries, not just grow new industries, but serve existing ones who are in need of technical graduates. Trustee Dewey also added that Florida Poly is graduating students who will make a good living. Trustee Wilson commented that companies will want to come to Florida because the skilled people they need to hire will be located here.

Question 5: Two-part question – “In response to my ‘Finish in Four, Save More’ challenge, what steps has your institution taken to get students graduated within four years? How have you worked with your college or university partner to assure students a seamless transition?”

Trustee Wilson stated that one step has been to virtually not charge tuition.

Trustee Dur shared that the community college system is trying to establish a more robust set of courses that can translate into four-year institutions. These courses must ensure they have adequate rigor so the student can be successful when transitioning to a four-year school. President Avent stated that most Associates degrees are more “technicians” degrees without the academic rigor. However, the state colleges that Florida Poly has collaborated with have been very open to our suggestions on how to establish more robust course offerings. Trustee Featherman agreed that the college system wants to assist the university system and see students be successful. What students need most coming into Florida Poly is calculus, which is one area where the college system could do more to assist with transfer students.

Mr. Scott Rhodes, Vice Provost Enrollment, shared that Miami Dade College has all of Florida Poly’s program sheets and they are articulating every course for both Associate of Science and

Associate of Arts degrees. Florida Poly currently has several students who transferred from Miami Dade and they have been excelling in the University's engineering tracks. Once the Miami Dade agreement is complete, Florida Poly can go to other colleges with this template. Chair Martin said it is good to start with Miami Dade, as they are the largest state college and have a great reputation.

Florida Poly and Polk State College have a joint grant proposal for grant money to assist students who are transferring.

Provost Dr. Terry Parker has been working with Mr. Rhodes and Dr. Kathryn Miller, Vice Provost Academic Support Services, to address the calculus issue from a transfer student perspective. A program called 'Alex' is available to students before they arrive at Florida Poly. The University can also decide to teach college-level pre-calculus for students who are academically talented but do not have any calculus in their prior coursework. Trustee Dewey agreed that teaching pre-calculus would open up a new pool of exceptional talent.

Discussion occurred regarding credit hours. An average semester load at Florida Poly is 14.3 credit hours. Ambitious students take larger class loads. Mr. Kevin Calkins stated that the median is close to that same average - the spread is not large. Trustee Livingston has taken 16 credit hours one semester and 14 credit hours a second semester in order to meet Florida Poly's 30 credit hour requirement per academic year in order to keep his scholarship. With the requirement to take a minimum of 9 credit hours in summer sessions, a Florida Poly student can still graduate in four years. Dr. Parker stated that a traditional student with good talent, who can identify his major early in his college career, could graduate in four years. However, many students have bumps in the road such as changing majors, financial issues or a difficult time with gatekeeper class such as calculus. These all create roadblocks to finishing in four years.

Question 6: "Has your institution implemented any new internship programs?"

Mr. Maxey reviewed a list of over 90 distinct companies who are providing summer 2017 internships for Florida Poly students. Trustees congratulated staff for an outstanding job in developing these opportunities and recognized that achieving accreditation will only serve to boost the University in this area.

Trustee Livingston stated that he has student friends interning at Lockheed Martin and at Northrup Grumman who love what they are doing. Providing internships at key companies like these is a good marketing tool for new students. Participation in an internship is a leading indicator for getting a job.

Chair Martin inquired about cooperative education. Staff replied that co-ops have been discussed but an institution needs a high-tech industry around them to make them work. This is not a high priority.

Chair Martin thanked everyone for their participation in this discussion. The meeting adjourned at 2:20 p.m.

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
STRATEGIC PLANNING WORKSHOP
MEETING MINUTES
Florida Industrial and Phosphate Research Institute
1855 W. Main St., Bartow, FL 33830
June 7, 2017 @ 2:30 PM**

I. Call to Order

Chair Frank Martin, called the Strategic Planning Workshop to order at 2:39 pm.

II. Present

Trustees present: Chair Frank Martin, Vice-Chair Don Wilson, Trustee Mark Bostick, Trustee Jim Dewey, Trustee Philip Dur, Trustee Sandra Featherman, Trustee Dick Hallion, and Trustee Jacob Livingston.

Staff present: President Dr. Randy Avent, Dr. Terry Parker, Mr. Mark Mroczkowski, Mr. Kevin Aspegren, Ms. Gina DeJulio, Mrs. Maggie Mariucci, and Mr. Rick Maxey.

III. President's Strategic Planning Discussion

President Avent began with the request that there be discussion among the Trustees throughout this presentation. The President welcomes Trustees' thoughts and questions regarding the 2017-2018 strategic plan.

Today is the first step in discussing a new strategic plan for 2018-2022. The President's goal is to have a final plan in place by March 2018. He plans to meet individually with each Trustee this summer to review the plan in detail, then write positioning statements and derive goals and objectives.

President Avent used the allegory of the feedback loop from control theory to describe the strategic planning process. Discussion occurred on the appropriate length of a strategic plan and several options were reviewed: five-year plan; three-year plan; five-year plan with an evaluation at the end of the third year; ten-year plan that is evaluated every two years. The three-year plan may be ideal due to the rate technology progresses. It certainly would be more flexible. SACSCOC requires a five-year plan. Chair Martin stated five-year plans are typical in the transportation industry. However, there is a desire for Florida Poly to remain nimble to address market changes. A two or three-year plan is more reasonable to stay ahead of the curve. President Avent then suggested a five-year "vision" with shorter "plans" embedded.

Current Status:

Student population drives programs, faculty and housing needs. Faculty growth drives staff growth. Staff growth and housing needs drive facility needs, which drives the budget and metrics.

Student quality: President Avent compared incoming class size with normalized SAT scores. Now that Florida Poly has met the mandate of 1244 FTE, the standards for admission can be raised. Retention rates for each year roughly correlates with SAT scores. Students with lower SAT scores in math had a harder time once they were at Florida Poly. Mr. Scott Rhodes and Dr. Terry Parker have been more active in shaping the newer incoming classes for quality and retention purposes.

President Avent compared SAT and ACT data to other institutions in the SUS. With the incoming class (2017-18) the goal of increasing selectivity to improve academic quality begins. Florida Poly should be the most selective school in the state. Trustee Sandra Featherman stated being the most selective is less important than giving the most students the opportunity to excel; there is a need to be more diverse. Florida Poly should be “easy to get into and harder to get out of.” President Avent responded the downside is retention can be poor. Should the University increase retention at the expense of watering down the curriculum?

President Avent referred to an MIT program that uses MOOCs for a student’s first year and based on their success will admit them to the school. Another school has the students come tuition-free for their first year and, again, based on their success will admit them to the school. Trustee Dewey stated if a student comes and finds out the University is not for them and they transfer to another state school, they have learned a valuable lesson. That is a win for the student and for the state of Florida.

Trustee Don Wilson stated his concern with enrollment projections as so much of state politics is driven by numbers. What is the benefit of enrollment growing when so much is dependent on Florida Poly getting funding for buildings, faculty, etc.? President Avent stated the University is already over capacity, which is another reason to slow growth somewhat. Trustee Philip Dur said if an institution aspires to continually improve the quality of the student, to develop the breadth of programs offered to the student, and as faculty get better and better at teaching, the institution attracts a better and better student. Dr. Parker responded that the brand of Florida Poly is driven by something that has a long time scale, that is, the success of our graduates and their value to employers.

Student retention: President Avent reviewed retention rates of the first two cohorts. The rate will be less for the third year. Chair Martin inquired how this compares with other SUS institutions. Mr. Kevin Calkins said the state looks at academic progress rate, which looks at first year retention from the standpoint of FTIC and a GPA of 2.0. The average in the last reported year was 85.9%, with the lowest university at 70.1% and the highest at 90.4%. Nationally, engineering programs average low retention and student progression rates. Chair Martin asked why students left Florida Poly. President Avent responded that the University needs to do a better job with conducting exit interviews but staff can provide data on how many students left to go to other universities. Trustee Dur said that industry internships could make a difference in retention as well.

Demographics: The three highest counties represented by Florida Poly students are Polk, Hillsborough and Broward. The number of Polk County applicants is going down each year. Florida Poly is one of two state universities that was not created as a regional university; therefore, the University should be true to that mission and recruit students from across the state of Florida. Deposits went down in 2015 because the University was unable to build a second dorm. Deposits went back up in 2016.

What should Florida Poly’s out-of-state and international student population be? Trustee Wilson stated that having them would increase the University revenues. Trustee Featherman feels Florida Poly is a state institution to serve state purposes. She is not against recruiting some out-of-state and international students but the primary purpose should be to serve Florida students. Trustee Dur said if our students were graduating with great jobs, it would attract out-of-state students. Trustee Dewey stated a huge driver of economic development is talent supply and students tend to find jobs near where they are from so the ROI for out-of-state recruitment may be minimal. President Avent also felt SAT scores in Florida could limit the institution.

Mr. Rhodes shared that the lack of marketing for organic leads affected the application pool this past year. He will redirect marketing dollars this year to increase applications. Having federal aid available will also help with enrollment numbers.

Demographics – gender diversity: Nationally, engineering schools average 21% female to 79% male. Enrollment is focused on recruiting female students. There will be a 2% increase in female students this fall to 14%. Other initiatives to attract female students include designating a female-only wing in the dorm

with female-only RAs and developing degree programs that are attractive to females. Trustee Wilson asked if the University should be 100 % STEM. It limits diversity.

Demographics - racial diversity: Florida Poly's racial diversity is comparable to national figures. Florida Poly is still looking to increase racial diversity with a program similar to MIT's Beaver Works. The University asked for legislative funding for this program last year but did not receive it. This program targets gifted and talented minorities and under-served populations. Florida Poly will repeat the request for funding this year.

Program Offerings: President Avent reviewed the current colleges and degrees. Dr. Parker will review program changes in more detail in the Academic and Student Affairs Committee meeting. Changes have been made to degree program names to align with ABET accreditation requirements. Concentrations are also being reviewed/re-named, and in the case of the Graduate program, concentrations are being added so the Masters degrees are more specific.

New Degrees: SACSCOC prevents Florida Poly from adding new degrees until after the University receives accreditation. Similar sized universities have 15-20 degrees to offer students. Florida Poly needs to begin discussion of 3-5 new degree programs along with the faculty requirements for each. Trustee Dur expressed his support for aerospace and naval engineering programs. Based on data from Hanover Research, staff and faculty have begun to identify high potential programs based on relative employment and wage growth for each. Other considerations include the SUS strategic plan; performance based funding; gender diversity and potential for retreat majors. President Avent desires a strong industrial design program, which would help gender diversity and be a good retreat major. Currently, there are no industrial design programs in Florida. IT management and biomedical engineering may be good programs to consider. Trustee Featherman suggested chemical engineering, which also promotes gender diversity. President Avent also suggested financial engineering as a master's program. Dr. Parker stated the challenge is to find degrees that have common names but offer uniqueness to Florida Poly.

Performance Based Funding (PBF): President Avent reviewed Florida Poly's 2017-18 scores in the PBF model. The University scores high on several items with a margin for change on some items that still keeps a high score. Should Florida Poly add some non-STEM programs that gain points in retention and graduation rates? President Avent does not think it wise to deviate too much from STEM. Trustee Featherman said the University should argue when we present our data that our institution cannot meet some of the criteria because the University was not set up to do so. Should all of the universities be compared the same? Mr. Maxey responded that the BOG has been asked to re-evaluate how universities are compared. Universities should be based on metrics aligned to the purpose of the university; in Florida Poly's case, as an all-STEM school. It is most likely Florida Poly will not stop being a STEM school even though the charter says the University only has to be 50% STEM. Trustee Wilson stated the addition of science management or technology management programs should be considered.

Graduate Programs: There are three categories of graduate programs: traditional, professional science masters and professional masters. Florida Poly needs to define which one the institution offers. Trustee Featherman stated the University needs more than one graduate strategy. She felt strongly about professional programs that are offered as evening or weekend classes since there is a market for them.

Faculty/Staff Growth: President Avent stated the University has under-hired faculty. He believes achieving accreditation will help, including have a ".edu" on the website. The majority of Florida Poly's faculty are young with less than three years' teaching experience.

Faculty Loads: The average course load for faculty is three courses per semester, which is comparable to other universities. Faculty-to-new course ratios have been very high at 2.5 to over three, which has limited faculty's ability to do research. That said, grant proposals are increasing. Does Florida Poly want to be a research-focused university? This requires more discussion.

President Avent reviewed the Government Definitions of RDT&E followed by the “Valley of Death” chart. He discussed the need to focus on hiring scholar-practitioners with industry experience and rewarding faculty engagement with industry providing mutual benefit.

Fast Growth Plans: President Avent stated when Florida Poly built the second dorm it was built to match the capacity of the IST building. However, the IST building has no research space and limited office space. Once the ARC and administration buildings are built, the University will comfortably accommodate 2,000 students over the next 10-15 years. The earlier projected goal of 5,000 students will not happen anytime in the near future.

Legislative Budget Issues: Operational budget increases to Florida Poly have been larger than average since 2014; however, the University has struggled to secure capital funding for various reasons.

Budget Benchmarking: President Avent reviewed a chart, which compares where monies are spent compared to other SUS and data from the Chronicle of Higher Education.

Staff/Faculty Growth: Progress has been made towards better balancing the faculty to staff ratio. There is currently a freeze on staff hiring. Sixteen faculty will be hired for the coming academic year.

Future Plans:

President Avent reviewed external trends that staff and faculty have identified as items that could affect the University. He shared about rising costs of higher education and decrease in revenues as well as the cost/value proposition. Many of today’s students question the value of a college degree. Public support for colleges and universities has declined as well as Pell and federal research funding. Pedagogy is also changing. Florida Poly is exploring software-managed pedagogy to increase opportunities for students. New business models are emerging which should be considered. Trustee Featherman expressed interest in micro-credentialing for which there is a large market.

Due to time constraint, the Board of Trustees Retreat adjourned at 4:30 p.m.



FLORIDA POLYTECHNIC
UNIVERSITY

BOT Compliance & Ethics Training

David A. Blanton, CPA

22 May 2018



Compliance & Ethics Charter

The Chief Compliance Officer (CCO) is responsible for providing training to University employees and Board of Trustee's members regarding their responsibility and accountability for ethical conduct and compliance with applicable laws, regulations, rules, policies, and procedures.

The Compliance & Ethics Charter provides for Board of Trustees training by the CCO



Training Resources

- **Florida Commission on Ethics (FCOE) website**
- **FCOE training videos**
 - Code of Ethics for Public Officers
 - Conflicts of interest
 - Financial disclosure
 - Gifts
 - Voting conflicts





Training Resources

- **Florida Institute of Government (FSU)**
 - Open meetings
 - Open records
 - Florida Ethics (voting and gift laws)



the John Scott Dailey
FLORIDA INSTITUTE OF GOVERNMENT
at Florida State University



- Introduction
- **FGCU Investigation**
- **FAMU Investigation**
- **FCOE Complaints**
- **Summary**



FGCU Investigative Report

- **Conducted independently by the BOG's Inspector General in March 2017**
- **8 allegations levied against the FGCU Board**
- **2 allegations sustained, 5 not sustained, and 1 not investigated**



FGCU Investigative Report

- **Allegation 1: BOT retaliation against senior administrator (not investigated/ referred to Florida Commission on Human Relations)**
- **Allegation 2: BOT members participated in harassing behavior as a form of racial and religious discrimination (not sustained)**
- **Allegation 3: Improper election of Vice Chair (sustained)**
- **Allegation 4: BOT members attempted to influence the employment of a senior administrator (not sustained – policy matter)**



FGCU Investigative Report

- **Allegation 5: BOT members were too involved with operations and thus interfered with management's ability to manage (not sustained)**
- **Allegation 6: Violation of Sunshine laws - 2 members met with administrative staff (sustained)**
- **Allegation 7: BOT members recommended degree programs which could give rise to conflict of interest (not sustained)**
- **Allegation 8: A BOT member made a unilateral decision to establish a taskforce in violation of Trustees' Policy (not sustained)**



FGCU Investigative Report

- **Ancillary matters noted**
 - Presidential search concerns (meeting notices, minutes, fairness of process)
 - Trustee orientation/training should be periodic and routine
 - Failure to report allegations of discrimination, harassment, or sexual misconduct (FGCU employees)



- Introduction
- FGCU Investigation
- **FAMU Investigation**
- **FCOE Complaints**
- **Summary**



FAMU Investigation

- **Recent allegation - December 2017**
- **Investigation referred to BOG**
- **Investigative report not released**



FAMU Allegations

- **“Trustee interference”**
- **Defamation/inappropriate comments**
- **Conflicts of interest**
 - BOT recommendations on hiring
 - BOT recommendations on contracting
- **BOT retaliation against administrative personnel**



- Introduction
- FGCU Investigation
- FAMU Investigation
- **FCOE Complaints**
- **Summary**



2017 FCOE Complaints

Complaints

Total number of complaints and referrals filed in 2017180

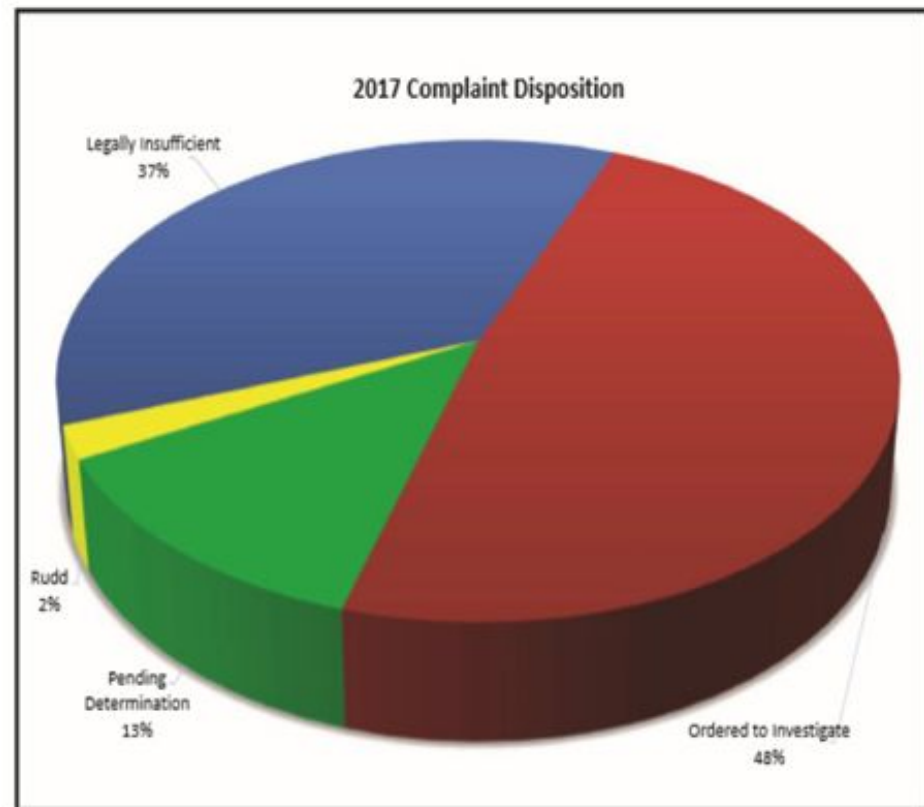
POSITION	NUMBER OF COMPLAINTS	PERCENT OF TOTAL
State Elected	9	5.0%
State Appointed	7	3.9%
State Employee	23	12.8%
District Elected	23	12.8%
District Appointed	6	3.3%
District Employee	6	3.3%
County Elected	26	14.4%
County Appointed	2	1.1%
County Employee	11	6.1%
Municipal Elected	46	25.6%
Municipal Appointed	7	3.9%
Municipal Employee	7	3.9%
Executive Branch Lobbying Firm	7	3.9%
TOTAL	180	100.0%

Source: 2017 Annual Report of the Commission on Ethics



FCOE Complaint Dispositions

Of the 180 complaints and referrals received in 2017, 66 were dismissed for lack of legal sufficiency; 4 were dismissed because the public interest would not be served by proceeding further (Rudd Amendment); 87 were ordered to be investigated; and 23 were pending a legal sufficiency determination.



* Pursuant to Ch. 2013-36, Laws of Florida, the Commission may accept referrals from the Governor, State Attorneys, U.S. Attorneys, and the Florida Department of Law Enforcement.

Source: 2017 Annual Report of the Commission on Ethics



FCOE Allegations by Type

2017 Complaint Allegations



Source: 2017 Annual Report of the Commission on Ethics



Summary

- **Resources available for additional information**
- **Most compliance and ethics concerns for Board members relate to involvement at the operational level rather than a focus on governance**
 - Conflicts of interest (programs, contracts, etc.)
 - Employment decisions
 - Overstepping governance role
- **Other compliance and ethics concerns are procedural in nature**
 - Sunshine law violations (private discussions, meeting notices, minutes, officer elections, etc.)

AGB Consulting Board Self-Study Report Prepared for the Florida Polytechnic University Board of Trustees

Prepared: May 11, 2018

Association of Governing Boards of Universities and Colleges

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Florida Polytechnic University

Guidelines for Understanding the AGB Board Self-Study Summary Report

The Association of Governing Boards of Universities and Colleges (AGB) is pleased to share the results of your board self-study via this Summary Report. The report provides an overview of the collective responses to the board self-study survey. It is meant to be used as a tool to elicit dialogue on the board's performance and to develop action steps to strengthen the work of the board.

How the Report is Organized

The Summary Report follows the general outline of the board self-study survey, with the exception of a *Policies and Practices* section that was administered to a board representative. The *Policies and Practices* section appears first in the report and provides a snapshot of which policies and practices the board currently has in place and which ones it should consider.

A *Participant Profile* follows the *Policies and Practices* section. The profile provides a rundown of how many responses were received for the board self-study survey and the make-up of the survey participants. All responses are reported in aggregate.

The remaining, majority of the report is divided into eight sections: six sections on the main areas of board member performance (*Mission and Strategy, Leadership and Shared Governance, Institutional Sustainability, Quality of Educational Programs, Board Performance, and Board Culture*); one section on board member satisfaction; and a final section on board priorities.

The survey results for each of the eight sections are displayed as a table, a chart, and responses to open-ended questions:

- The table reports the average score for each item in the section and an overall average score for all items. It is sorted by average from highest to lowest. The number of respondents is also listed. Participants were given the option to select "Don't Know." When the number of respondents is less than the number of total responses reported in the participant profile, the difference indicates the number of "Don't Know" response.
- The chart shows the distribution of the board members' responses from poor to excellent. The frequency of the responses is displayed as percentages.
- The open-ended questions are reported verbatim and in no particular order.

Guidelines for Reviewing the Results

A candid discussion of the board self-study results, focused on areas of concern, can help your board clarify responsibilities, learn new approaches, and formulate goals and priorities to enhance performance. To make the most of the Summary Report, provide the following guidelines for reviewing results:

- Boards tend to rate themselves above average, but results typically reveal variability in performance and relative areas of strength. In analyzing the results, focus on areas in which the board scored the lowest, board members gave inconsistent ratings, or comments indicated a need for change, information, or attention.
- Identify core areas for improvement using the following rubrics—a) 1-3 strong trustee responses should be noted but are not significant findings unless they fit within a larger area of concern noted in survey responses; b) 20-25% or more low rated responses should be considered as important areas for discussion and needed improvement; and c) mixed response across the answer spectrum should be considered important for current and future board development.
- Identify four to six specific and overall strengths for the board and four to six specific areas of possible development and/or necessary improvement. Celebrate the strengths and address the areas for improvement.

If you have questions or are interested in learning more about AGB's services to assist you in interpreting and using these results, please contact us at consulting@agb.org.

Summary Table	Section Average
1. Mission and Strategy	2.64
2. Leadership and Shared Governance	2.69
3. Institutional Sustainability	3.17
4. Quality of Educational Experience	2.7
5. Board Performance	2.36
6. Board Culture	2.77

	Response Rate
Florida Polytechnic University	10

Please indicate whether the institution has the following policies or practices in place.
These questions were answered by the board representative.

Question	Yes	No	Don't Know	Not Applicable	Response
P.1 Did the full board formally approve the institution's strategic plan?	100%	-	-	-	1
P.2 Have the bylaws been reviewed and updated within the last five years?	100%	-	-	-	1
P.3 Have the governance policies and documents been updated within the last five years?	100%	-	-	-	1
P.4 Did the full board formally approve the institution's annual budget?	100%	-	-	-	1
P.5 Did all board members receive a copy of the institution's IRS Form 990?	-	100%	-	-	1
P.6 Did the board, or a committee of the board, meet with the auditors without staff present?	-	100%	-	-	1
P.7 Has there been a comprehensive review of the chief executive's performance within the past five years?	100%	-	-	-	1
P.8 Did the assessment of the chief executive provide for input from the full board?	100%	-	-	-	1
P.9 Does the board periodically review executive compensation at comparable institutions?	100%	-	-	-	1
P.10 Is there a board policy manual or handbook?	100%	-	-	-	1
P.11 Do board members receive and sign a written statement of responsibilities and expectations related to board service?	-	100%	-	-	1
P.12 Is a structured, formal orientation held for new board members?	100%	-	-	-	1
P.13 Does the board have a written code of ethics?	100%	-	-	-	1
P.14 Do board members sign a conflict-of-interest and disclosure statement annually?	100%	-	-	-	1
P.15 Is there a maximum number of consecutive years/terms a board member may serve?	100%	-	-	-	1
P.16 Do board committees have written charters or job descriptions?	100%	-	-	-	1

What is your role on this board? Please check one.

Answer	Bar	Response	%
Staff		0	0%
Administrative officer		0	0%
Chief executive of this institution		0	0%
Other board officer	<div></div>	2	20%
Chair of board	<div></div>	1	10%
Other, please describe your role		0	0%
Board member	<div></div>	7	70%
Total		10	100%

How long have you served on this board?

Answer	Bar	Response	%
Less than 1 year	<div></div>	2	20%
1 to 3 years	<div></div>	4	40%
4 to 6 years	<div></div>	4	40%
7 to 9 years		0	0%
10 to 12 years		0	0%
13 years or more		0	0%
Total		10	100%

Do you have a vote on the board?

Answer	Bar	Response	%
Yes	<div></div>	10	100%
No		0	0%
Total		10	100%

Section 1: Mission and Strategy

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Respondents
1.3 Ensures the institution acts in accordance with its mission and purposes.						3	10
1.4 Ensures the institution operates under a strategic plan that defines the institution's strengths, challenges, and priorities.						2.9	10
1.2 Uses the mission and defined priorities to guide the board's decisions.						2.8	10
1.6 Is well informed about the current issues facing higher education and their impact on the institution, e.g., debt, value of college degree, technology.						2.78	9
1.9 Uses relevant data to monitor progress on the strategic plan.						2.7	10
1.8 Is actively involved in shaping and supporting institutional strategy and direction.						2.6	10
1.5 Articulates the mission and acts as ambassadors by telling the "story" and history of the institution.						2.6	10
1.1 Periodically reviews the mission to ensure it fits the current context of higher education and reflects the history of the institution.						2.6	10
1.10 Ensures and monitors the development and implementation of campus-wide strategies to foster a culture of inclusion.						2.22	9
1.7 Seeks out and considers diverse and competing points of view when discussing critical issues.						2.2	10
Section Average	0 = Poor, 1 = Fair, 2 = Satisfactory, 3 = Very Good, 4 = Excellent					2.64	

Sorted by Average - Scores in the top chart are sorted by question average starting with highest score.

Frequency - The chart below shows the percent of individuals by answer choice.

Don't Know Responses - Participants were given the option to select Don't Know (DK) but were required to answer the question. When the number of respondents is less than the number of total responses shown on page one this difference indicates the number of DK responses.



Section 1: Mission and Strategy

Board consists of a number of members with strong management backgrounds in private sector and also in Federal/Military service. Accordingly, the board as a collective group is extremely familiar with management strategies, metrics, and approaches, and individual members couple this with their own experiences. As a result, I believe that FL Poly enjoys unusually strong board leadership relating to mission and strategy.

The board needs more ways to get input directly openly and informally from students, faculty, and staff about conditions/needs/trends that has not been filtered through the specific topic in front of the board or a the views of a few specific individuals.

The current effort to do a strategy update or review is important and timely. The institution has several new board members, and is now in a different phase of its development after its first 5 start up years and after achieving accreditation.

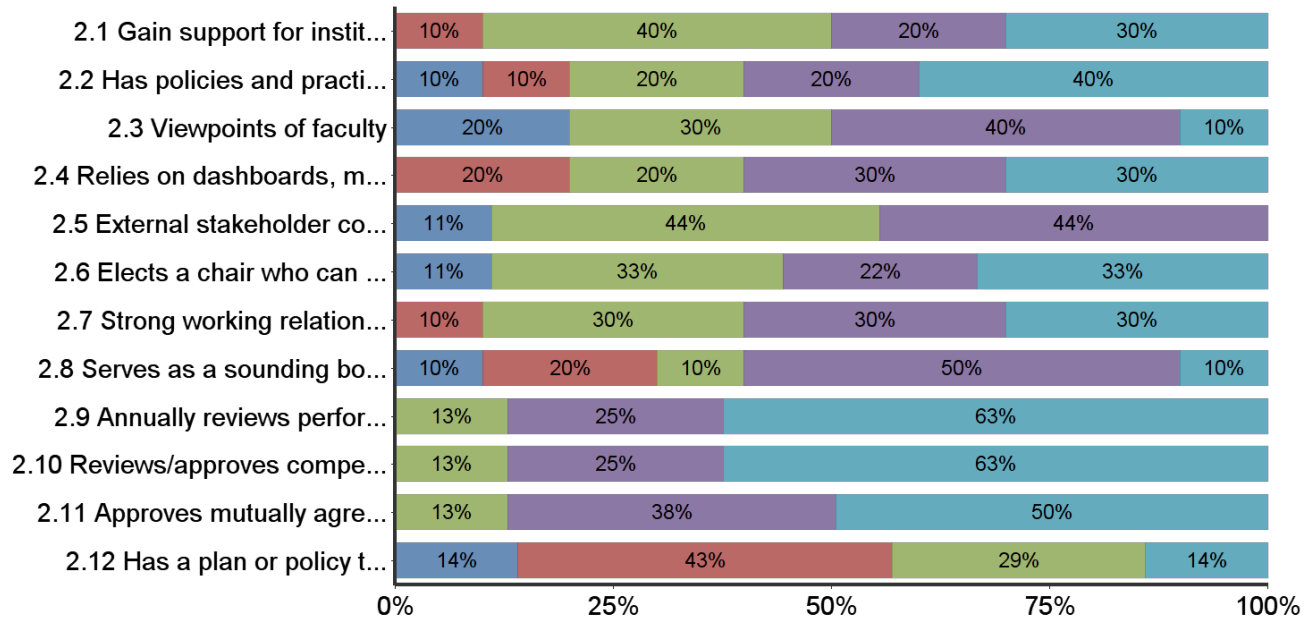
The Board needs to work to maintain member engagement at the highest level related to mission and supporting strategy. More time for discussion and less "reporting out" time would facilitate more engagement.

Board seems rather passive in process of shaping strategy. Logic appears to be one of trusting President and Administration to develop and articulate a strategy. Requirements incident to Sunshine laws discourage Board discussion except in context of full meeting with Administration present. Makes for awkward dialogue.

Section 2: Leadership and Shared Governance

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Responden
2.10 Reviews and approves the chief executive's compensation (the full board).						3.5	8
2.9 Annually reviews the performance of the chief executive and periodically conducts a comprehensive assessment.						3.5	8
2.11 Approves mutually agreed upon performance goals for the chief executive.						3.38	8
2.7 Works with the chief executive to build a strong working relationship.						2.8	10
2.1 Works with the chief executive and appropriate constituent groups to gain support for institutional goals.						2.7	10
2.4 Relies on dashboards, metrics, and other meaningful data to inform decisions.						2.7	10
2.2 Has policies and practices of shared governance that delineate the responsibilities of board, chief executive, administration and faculty.						2.7	10
2.6 Elects a chair who can effectively lead the board and build a partnership with the chief executive.						2.67	9
2.8 Serves as a sounding board and thought partner to the chief executive.						2.3	10
2.5 Ensures there is meaningful communication with external stakeholders.						2.22	9
2.3 Is well informed of the viewpoints of faculty and staff on major institutional issues.						2.2	10
2.12 Has a plan or policy that addresses an unanticipated or planned departure or absence of the current chief executive.						1.57	7
Section Average	Poor = 0, Fair = 1, Satisfactory = 2, Very Good = 3, Excellent					2.69	

■ Poor
 ■ Fair
 ■ Satisfactory
 ■ Very Good
 ■ Excellent



Section 2: Leadership and Shared Governance

The Board maintains a very close relationship with FL Poly's leadership, almost too intrusive. As a result, FL Poly leadership ensures that they brief the board thoroughly on matters affecting the institution. I have been impressed with both the Board's performance and the FL Poly leadership's response, esp. Pres. Randy Avent.

Gaps in the information flow to the board make it difficult to follow through effectively in this area, though given the current constraints, the board indeed does its job properly here.

We have a very impressive Provost who, I believe, could step in as interim CEO, in the case of an unexpected departure of the CEO, together with a more active temporary role for the Board and The Chair. However, I am not personally aware of the formal policy or plan if this unexpected event occurred.

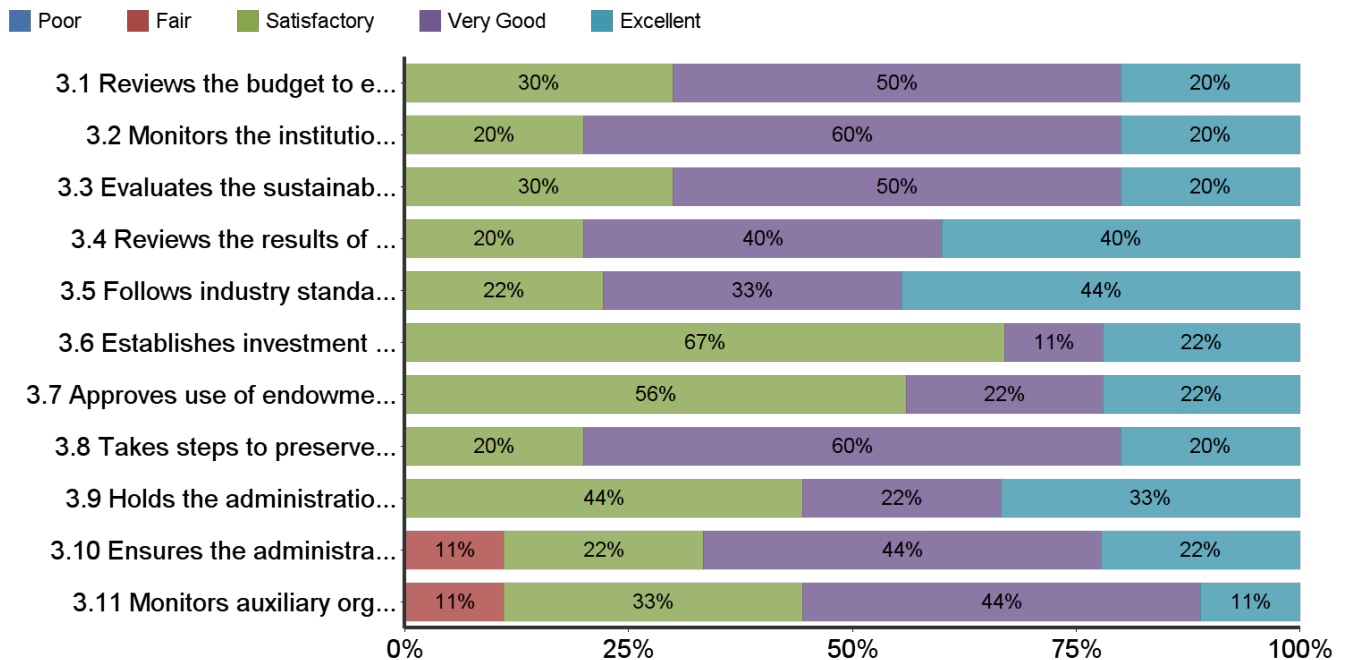
The chief executive has a clear understanding of mission and strategy for FPU. The clarity and candor level of communication between him and the BOT is high. There seems to be an active "one on one" level of communication between the President and each individual Trustee.

Here again, inability to discuss relationship with Administration or candidly provide contrarian views of Administration plans to the Board, except in the presence of the Administration, stifles performance of the Board. Case in point was recent decision to contract with a foreign firm to help recruit foreign students.

We need to make sure we have a consistent message to all stakeholders keeping them informed on activities of the University through periodic newsletters and reports.

Section 3: Institutional Sustainability

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Respondents
3.5 Follows industry standards when overseeing the audit process (i.e. auditor independence, audit committee membership).						3.22	9
3.4 Reviews the results of the independent financial audit and management letter.						3.2	10
3.8 Takes steps to preserve and enhance the physical assets of the institution.						3	10
3.2 Monitors the institution's financial health using trend and comparative data.						3	10
3.1 Reviews the budget to ensure it reflects the institution's priorities.						2.9	10
3.3 Evaluates the sustainability of the institution's current financial model.						2.9	10
3.9 Holds the administration accountable for enterprise risk management.						2.89	9
3.10 Ensures the administration involves the board on high profile issues that present significant risk to the institution.						2.78	9
3.7 Approves use of endowment funds/spending policies.						2.67	9
3.11 Monitors auxiliary organizations, (e.g., alumni, foundations, institutes).						2.56	9
3.6 Establishes investment policies and monitors endowment performance.						2.56	9
Section Average	Poor = 0, Fair = 1, Satisfactory = 2, Very Good = 3, Excellent = 4					3.17	



Section 3: Institutional Sustainability

Again, i think because of their own backgrounds, the Board members are unusually conscientious in making certain that FL Poly meets its sustainability requirements and responsibilities.

The limited paths by which the board gets information, primarily in occasional highly structured communications from administration, does not feel conducive to sustaining an independent perspective on things. Related to that, and it may just be due to Florida's sunshine laws, usually it seems like there is not much real back and forth or digging into things. Within the constraints of being new, the sunshine laws, and limited information pathways, and limited time, I do think the board does a reasonable job.

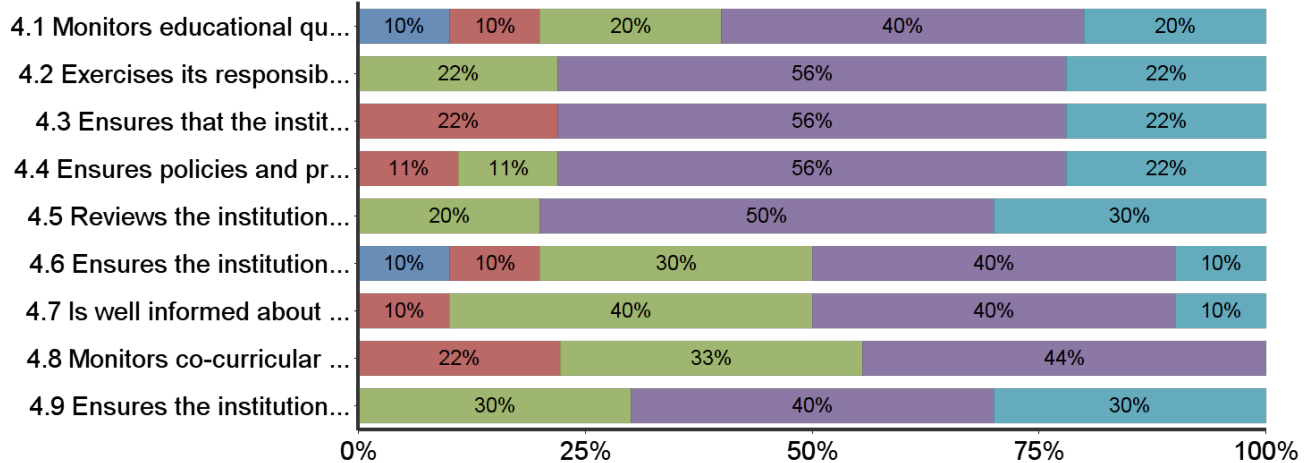
Performance in this area has been very good to excellent with the exception of the Foundation. The BOT needs to be more aware of plans for management and growth of these funds.

This area appears well managed.

Section 4: Quality of Educational Experience

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Respondents
4.5 Reviews the institution's accreditation reports including responses to identified concerns or deficiencies.						3.1	10
4.9 Ensures the institution plays a positive social and economic role in the communities it serves.						3	10
4.2 Exercises its responsibility to oversee educational quality without intruding on faculty and administrative responsibilities.						3	9
4.4 Ensures policies and practices are in place to protect academic freedom and institutional autonomy.						2.89	9
4.3 Ensures that the institution maintains high quality faculty and staff.						2.78	9
4.7 Is well informed about signature programs and breadth of offerings.						2.5	10
4.1 Monitors educational quality, using trend and comparative data for student learning outcomes, retention and graduation rates, and the value of degrees/certificates.						2.5	10
4.6 Ensures the institution offers a balanced, high-quality experience to students in both academics and campus life.						2.3	10
4.8 Monitors co-curricular activities, e.g., athletic, residential, Greek life.						2.22	9
Section Average	0 = Poor, 1 = Fair, 2 = Satisfactory, 3 = Very Good, 4 = Excellent					2.7	

■ Poor
 ■ Fair
 ■ Satisfactory
 ■ Very Good
 ■ Excellent



Section 4: Quality of Educational Experience

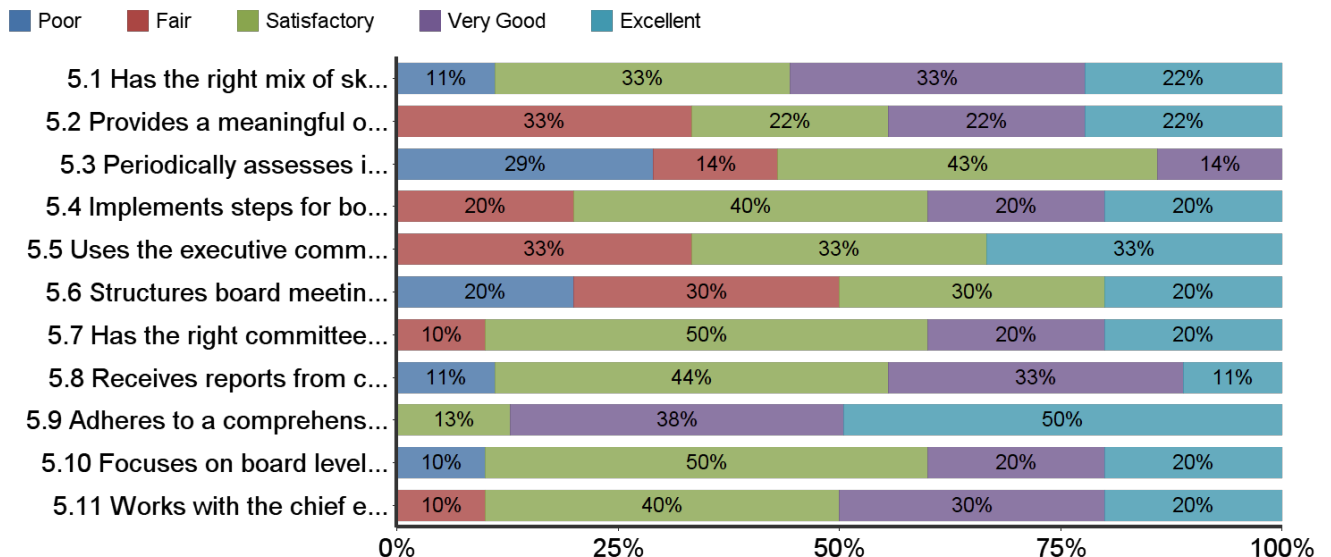
BOT needs to be more aware of the metrics that guide the evolution of degree programs and supporting curriculum as this young institution continues to evolve.

The board is intimately involved in the academic planning and programs for FL Poly. Perhaps some greater interest in the non-academic student experience would be advisable to ensure that students are completely satisfied with their Poly experience.

I may have been too harsh here. The board is operating under two real constraints that make this difficult to do in exemplary fashion. The first is there is very little experience with higher education on the board. The second is the university is very resource constrained and so what can be done in the area of, for example, student life, is extremely limited no matter how good the board's input and decisions are. For a number of reasons that the board could influence for the better, the university is struggling to hire and retain sufficient numbers of qualified faculty and staff well suited to our unique mission. I don't think the board gets enough information directly from staff, faculty, and students to appreciate their perspectives on the difficulties involved, and it is not something discussed openly and in depth at Board meetings.

Section 5: Board Performance

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Respondent
5.9 Adheres to a comprehensive conflict-of-interest policy and addresses conflicts appropriately.						3.38	8
5.11 Works with the chief executive in seeking philanthropic support for the institution.						2.6	10
5.1 Has the right mix of skills and abilities among board members.						2.56	9
5.7 Has the right committees and uses them well.						2.5	10
5.4 Implements steps for board development, (e.g., continuing education, retreats, regular board assessments).						2.4	10
5.10 Focuses on board level work and avoids micro-management of administrative responsibilities.						2.4	10
5.8 Receives reports from committees that are succinct, frame productive discussion and facilitate decision-making.						2.33	9
5.5 Uses the executive committee to coordinate the work of the board and shape meeting agendas (select "Don't Know" if no executive committee).						2.33	3
5.2 Provides a meaningful orientation program for new board members.						2.33	9
5.6 Structures board meetings to include time for substantive discussion.						1.7	10
5.3 Periodically assesses individual board members and uses the results to strengthen performance.						1.43	7
Section Average	Poor = 0, Fair = 1, Satisfactory = 2, Very Good = 3, Excellent = 4					2.36	



Section 5: Board Performance

I think the Board works as a group very, very well. One "proof" of this is how swiftly FL Poly achieved accreditation, which was, naturally, an open question when the institution was first formed. Had the board not functioned like a Swiss watch, we would probably still be in the pre-accreditation phase...

The board spends too much time in Committee meetings, by having all board members attend every committee meeting. The Committee meetings themselves seem to spend too much time reviewing administrative topics apparently required by the Florida State system. As an example, we might spend as much time on Parking fees and procedures, as a strategic discussion on the scope, size and funding strategy for the Research Center. A solution from a for-profit Corporate model would be to have less board overlap in membership of Committees, and have committees meet separately before the board meetings. Committee reports at board meetings could be reduced in length and board agendas could be expanded to spend time on strategic issues, guest faculty and guest student presentations, and topics of interest selected by the CEO and Chair to inform the Board.

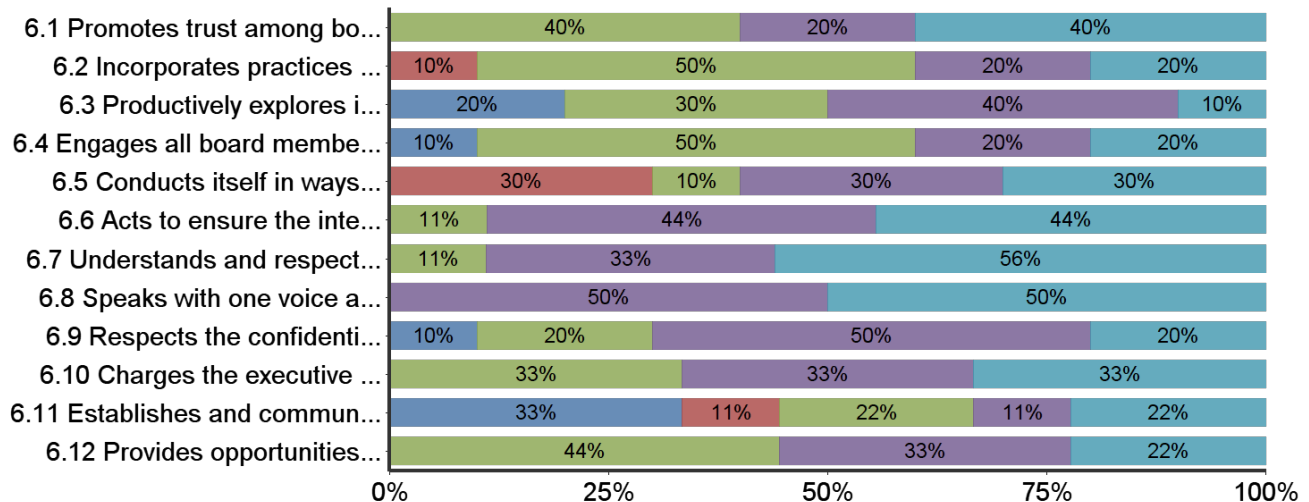
The BOT spends too much meeting time dealing with perfunctory administrative procedures and reporting out and not enough time in discussion of strategic issues.

5.3 Under our system it does not allow for a process to assess board members 5.5 Recently held a Committee chair meeting to engage the chairs more and encourage them to become more proactive. 5.11 Board members should understand their role in fundraising as a Public Institution

Section 6: Board Culture

	Poor	Fair	Satisfactory	Very Good	Excellent	Mean	Respondents
6.8 Speaks with one voice and stands united behind controversial decisions.						3.5	6
6.7 Understands and respects who may speak on behalf of the board or the institution.						3.44	9
6.6 Acts to ensure the integrity and reputation of the institution.						3.33	9
6.10 Charges the executive committee to operate with transparency and refrain from usurping the authority of the full board (select "Don't Know" if no executive committee).						3	3
6.1 Promotes trust among board members through a culture based on openness and respect.						3	10
6.12 Provides opportunities for board members to get to know one another personally.						2.78	9
6.9 Respects the confidentiality of board and committee materials and discussions.						2.7	10
6.5 Conducts itself in ways that inspire confidence and instill trust with its constituents.						2.6	10
6.2 Incorporates practices that build diversity and foster inclusion at the board level.						2.5	10
6.4 Engages all board members by utilizing their individual talents, skills and expertise.						2.4	10
6.3 Productively explores ideas by engaging in robust discussions.						2.2	10
6.11 Establishes and communicates clear expectations related to personal financial contributions by board members.						1.78	9
Section Average	Poor = 0, Fair = 1, Satisfactory = 2, Very Good = 3, Excellent = 4					2.77	

■ Poor
 ■ Fair
 ■ Satisfactory
 ■ Very Good
 ■ Excellent



Section 6: Board Culture

Despite a very diverse set of backgrounds, interests, and professional experiences, the Board functions together with extraordinary harmony and cooperation. Board meetings are characterized by frank and open discussion and debate among a collegial group of individuals who have not only their own strong opinions, but tremendous mutual respect for the other members of the board.

In cases where the board falls a bit short in these areas, it is important to realize Florida's sunshine law, limited meeting time, and the member appointment process all work against high levels of success in some of these areas, it is not that the board members themselves don't make appropriate efforts.

This BOT is comprised of members who are committed to the betterment of the institution. They seem comfortable speaking freely. I believe an Executive committee would at some point be appropriate if it can be a vehicle deal with the routine creating more meeting time for structured discussion.

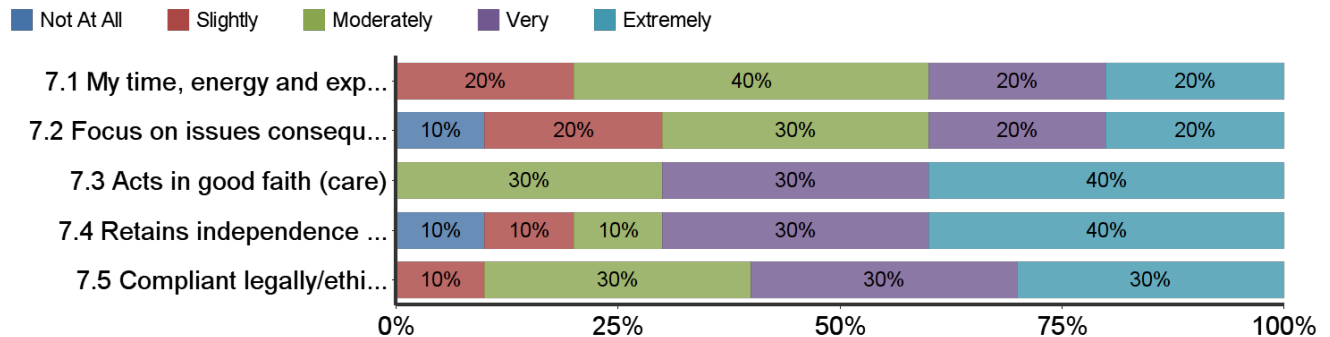
Earlier comments regarding impact of Sunshine laws on Board performance apply. Brooding presence of Administrators at all Committee and Board meetings inhibit frank and candid exchange of views.

6.11 Need work in this area 6.12 With the Florida Sunshine Laws it's difficult to accomplish this but where we can we have attempted to provide an opportunity for social activities

Section 7: Satisfaction

How satisfied are you that . . .

	Not At All Satisfied	Slightly Satisfied	Moderately Satisfied	Very Satisfied	Extremely Satisfied	Mean	Respondents
7.3 The board acts in good faith with appropriate diligence, care, and skill (Duty of care).						3.1	10
7.5 The board takes reasonable care to ensure the institution is legally and ethically compliant with its mission, the law and all institutional policies (Duty of obedience).						2.8	10
7.4 The board retains its independence from external and internal stakeholders and acts in the best interests of the institution (Duty of loyalty).						2.8	10
7.1 My time, energy and expertise are put to good use.						2.4	10
7.2 The board focuses its time on issues of greatest consequence to the institution.						2.2	10



#1 Challenge

Attracting and retaining quality faculty that fit with the institutions unique mission and are committed to it. We have lost faculty. We have had far more rejections of offers than acceptances--and the salaries were reasonably competitive. Since we are non-tenure, we must find a way to offer a system that is appealing to faculty, rewards them for embracing out unique mission which moves them away from the usual market place, and makes them feel a strong enough commitment from us that they are willing to make the commitment to us required to build a great institution. We can't effectively pursue the education, research, or development missions without them.

Quality of students

Funding support for the ARC and Student Support Center to consolidate all FPU employees and staff to main campus.

Don't lose steam! Important to keep the same pace of advance that we have had.

To update its strategy and 5 year plan. Now that we have survived the 5 year start up phase and accreditation, we need to decide what kind of institution we want to be on a number of dimensions, - size, selectivity, yield, breadth of majors, national or international reach, etc. Do we want to aspire to be the "MIT or Cal Tech of the South"? If not, are we to become the best TEM trade school of Florida? What is our vision for who we want to be in 5 - 10 years?

afford to build buildings to support our research

afford to build buildings to support our research

Curriculum development

Maintaining focus on the principle mission of STEM education thereby creating an institution that will rival such institutions in similarly sized states.

#2 Challenge

Reaching a large enough scale to sustain our educational mission at acceptable cost and become an attractor for appropriate firms and external research when the state shows no sign of soon committing the resources needed to build space for more classrooms, research space, student studying, faculty offices, and administration.

Quality of Faculty

Diversity of Faculty... I really should be tied with #1

Expand into new areas, particularly in the area of aerospace (on-orbit space support, and private space launch and support) and maritime technologies for security, improved ship efficiencies, and refined design. Greater emphasis needed in future on computational fluid dynamics (both aerodynamics and hydrodynamics) and structural analysis/smart structure design

We need to have a plan to recruit, enhance, and retain an excellent faculty, consistent with the answer to #1 Challenge?.

Understand student objectives

Hire and retain great faculty

Faculty quality and credentials

Securing financial support both from the state and external constituents to complete the next phase of physical plant needs. Additionally those resources will be needed to fund program and faculty expansion to meet the mission above.

#3 Challenge

Increasing student quality and academic rigor while appropriately growing the range of programs offered and growing to the scale needed for efficient operation given all our other constraints.

Integrity in research.

Ensuring Student Life programs are meeting the students' needs

Continuing to attract very high quality students to the program

We need to have a financial plan and a facilities plan that is consistent with the updated strategic plan and vision.

Build State wide understanding of benefits of institution

Stay on the leading edge of technology and learning

Attraction of high potential student body

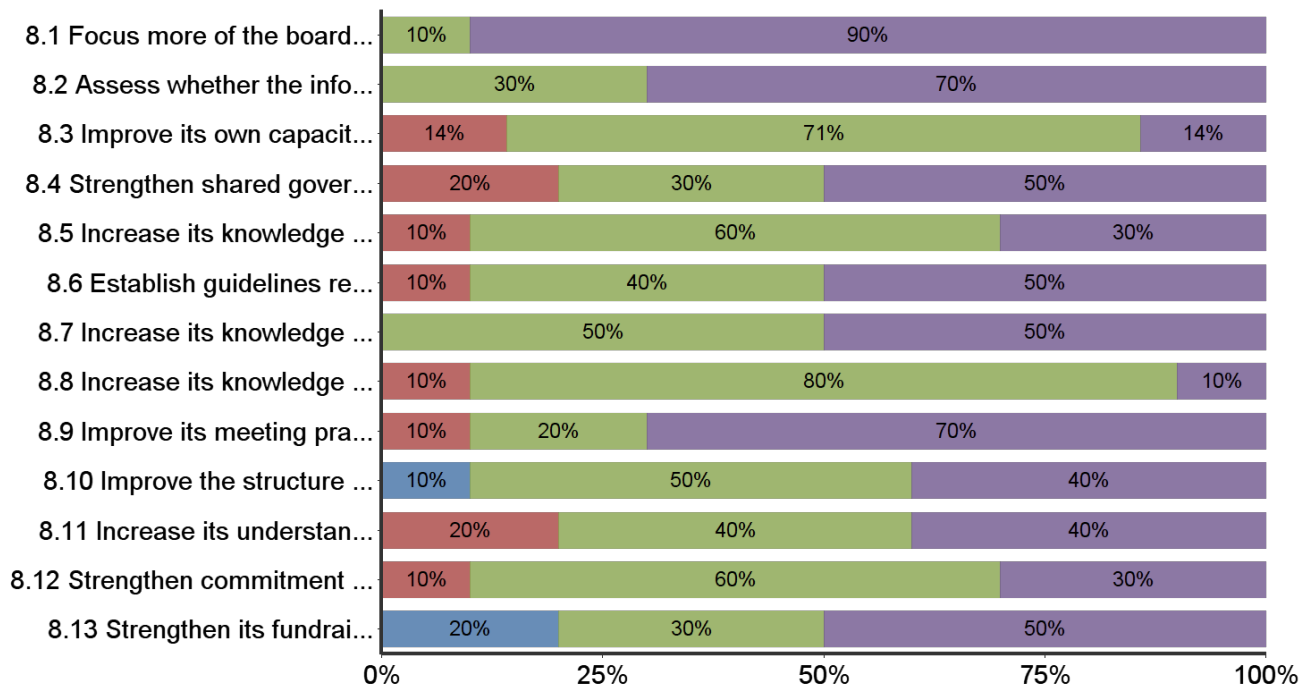
Develop a diverse student body that exceeds results at other STEM based universities.

Section 8: Setting Priorities

How important do you think it is for the board to . . .

	Not a Priority	Low Priority	Medium Priority	High Priority	Mean	Responder
8.1 Focus more of the board's attention on issues of strategic importance to institution.					3.9	10
8.2 Assess whether the information and data the board receives are adequate and timely.					3.7	10
8.9 Improve its meeting practices.					3.6	10
8.7 Increase its knowledge of the institution's educational programs.					3.5	10
8.6 Establish guidelines related to risk to ensure the board is informed about potentially volatile situations.					3.4	10
8.4 Strengthen shared governance through improved relationships with the chief executive and faculty.					3.3	10
8.11 Increase its understanding of board roles and responsibilities and scope of authority.					3.2	10
8.10 Improve the structure and function of committees.					3.2	10
8.12 Strengthen commitment and engagement of individual board members.					3.2	10
8.5 Increase its knowledge of the institution's financial health and sustainability.					3.2	10
8.13 Strengthen its fundraising efforts.					3.1	10
8.3 Improve its own capacity and functionality through increased attention to qualifications and recruitment of board members.					3	7
8.8 Increase its knowledge of auxiliary and affiliated organizations.					3	10

■ Not a Priority ■ Low Priority ■ Medium Priority ■ High Priority



Section 9: Open-ended Questions

9.1 What change or action would most improve the board's performance?

Prioritize our actions and concentrate on these priorities

The board members need to spend regular time informally interacting with everyday staff, students, and faculty, and also some structured time interacting with representatives chosen by the faculty, staff, and students, to provide another channel of information flow on where the university stands.

Already answered in prior questions

Separate Committee meetings involving just the Committees and Administrators responsible for items on the agenda

Communication from CEO

I haven't seen a problem requiring any drastic action...I think the board is working pretty well, indeed very well.

restructuring meetings to allow for more focus on key strategies.

Potentially moving to committee meeting prior to the board meeting day to ensure that the board is not rushed during committee meetings then full board to get everything done all in one day. Have a consent agenda!!!

9.2 What is the board's most significant accomplishment over the last two years?

Achieving accreditation

Guiding us through initial accreditation and getting dorms and the student center going, when there was nothing, must be a significant accomplishment, no matter the problems we still need to conquer.

Establishing a good working relationship with the CEO and Provost, and recruiting a stronger board that is now prepared to work collaboratively with the CEO and Provost to build the next 5 year plan.

Candid evaluation of the President's performance

Getting accreditation!

Don't know

Implementing a professional means to goal set and evaluate the President's performance in guiding the institution.

Providing more structure to the board meeting process

9.3 Additional Comments

The Board is evolving as we spend more time as a team. This is a different experience from joining a BOT for a long standing institution. I believe the members along with the chief executive and his cabinet are all committed to finding the best way forward to drive the success of FPU. I believe that sets us up for success as long as we as a BOT avoid spending too much time in details and achieve that higher level focus.

8.6 is critical. You "don't know what you don't know." Absolutely crucial that board receives ample warning of hot issues/contentions/disputes. This has been handled generally well to this point but there have been some examples of issues bubbling up from below (faculty/student relations, relations between university leadership and student body) that the Board should have known about sooner.

As far as I can tell, the board members are genuinely caring and interested. As far as I can see any problems are mostly associated with being new, having limited independent channels of information, having little higher education experience on the board (everyone need not be a former faculty or university administrator, but more would be welcome) and with the details of the rules and structures in Florida.

Thank you for your participation.

**Association of Governing Boards of
Universities and Colleges
1133 20th Street, NW, Suite 300
Washington, DC 20036**

consulting@agb.org



Board of Trustees Strategic Planning Committee Meeting

**Tuesday, May 22, 2018
10:45 AM-11:30 AM**

**Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805**

**Don Wilson, Chair
Travis Hills**

**Rear Admiral Philip Dur
Bob Stork**

**Henry McCance
Dr. Adrienne Perry**

AGENDA

- | | |
|--|-------------------|
| I. Call to Order | Don Wilson, Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Don Wilson, Chair |
| IV. Approval of the December 6, 2017 Minutes
<i>*Action Required*</i> | Don Wilson, Chair |
| V. 2016-18 Strategic Planning Committee Work Plan Review | Don Wilson, Chair |
| VI. 2018 University Accountability Report
<i>*Action Required*</i> | Kevin Calkins |
| VII. Closing Remarks and Adjournment | Don Wilson, Chair |

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
STRATEGIC PLANNING COMMITTEE
MEETING MINUTES**

**Florida Polytechnic University Admissions Building
4700 Research Way, Lakeland, FL 33805**

December 6, 2017 8:30 a.m.

I. Call to Order

Committee Chair Don Wilson called the Strategic Planning Committee meeting to order at 8:37 a.m.

II. Roll Call

Maggie Mariucci called the roll: Chair Don Wilson, Vice-Chair Sandra Featherman, Trustee Henry McCance, Trustee Bob Stork, Trustee Phillip Dur and Trustee Jacob Livingston were present (Quorum).

Other trustees present: Trustee Mark Bostick, Trustee Louis Saco, Trustee Gary Wendt, and Trustee Dick Hallion.

Staff present: President Randy Avent, Ms. Gina DeIulio, Mr. Mark Mroczkowski, Dr. Terry Parker, Mrs. Maggie Mariucci, and Mr. Rick Maxey.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee McCance made a motion to approve the Strategic Planning Committee meeting minutes of October 31, 2017. Trustee Dur seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2016-18 Strategic Planning Committee Work Plan

Committee Chair Don Wilson stated there are no changes to the 2016-2018 Strategic Planning Committee Work Plan. The plan will continue as written.

VI. Revised Regulation: FPU-6.011 Criminal Background Checks

Ms. Gina DeIulio presented the revised regulation FPU-6.011 regarding employee criminal background checks. This regulation is being revised primarily to:

- provide for rescreening certain positions periodically, as necessary and in accordance with law,
- to clarify that the existence of a criminal conviction alone does not automatically disqualify an individual from employment, and

- to clarify appropriate use of information
- and state that HR will maintain the criminal background check records.
- The title of this regulation is additionally being revised to avoid confusion and more appropriately reflect the scope of the regulation itself, which applies to both University employees and volunteers (where required).

The revisions were posted on November 6, and no comments were received.

Trustee Dur made a motion to approve the revised regulation FPU-6.011 Criminal Background Checks. Trustee Featherman seconded the motion; a vote was taken and the motion passed unanimously.

VII. Repeal of FIPR Rule 6J-1.001.007

Ms. Gina DeIulio presented the repeal of FIPR Rules 6J-1.001-1.007. FIPR no longer has rulemaking authority. As such, the FIPR's rules that are currently published in the Florida Administration Code are being repealed.

Trustee McCance made a motion to approve the Repeal of FIPR Rules 6J-1.001-1.007. Trustee Featherman seconded the motion; a vote was taken and the motion passed unanimously.

VIII. Closing Remarks and Adjournment

With no further business to discuss, the Strategic Planning Committee meeting adjourned at 8:44 a.m.

Florida Polytechnic University
Strategic Planning Committee
Work Plan 2016-2018

March 15, 2017	June 7-8, 2017	September 13, 2017	December 6, 2017
<ul style="list-style-type: none"> • Strategic Planning Long Range Outlook • SunTrax 	<ul style="list-style-type: none"> • Strategic Planning Phase 2 	<ul style="list-style-type: none"> • Florida Equity Report • FIPR Institute Annual Report 	<ul style="list-style-type: none"> • Annual Accountability Report • Strategic Planning Final
February 28, 2018	May 22-23, 2018	¹September 12, 2018	¹December 5, 2018
<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • 2018 University Work Plan 	<ul style="list-style-type: none"> • Florida Equity Report • FIPR Institute Annual Report 	<ul style="list-style-type: none"> • Annual Accountability Report
¹ Tentative until approved by the Board of Trustees			

AGENDA ITEM: VI.

**Florida Polytechnic University
Strategic Planning Committee
Board of Trustees
May 22, 2018**

Subject: 2018 Florida Polytechnic Accountability Plan (BOG Report)

Proposed Committee Action

Recommend approval of the 2018 Accountability Plan to the Board of Trustees.

Background Information

Pursuant to the Board of Governors Regulation 1.001, the Board of Trustees (BOT) shall prepare a multi-year Accountability Plan for the Board of Governors (BOG) that outlines the university's priorities, strategic directions, and specific actions and financial plans for achieving those priorities, as well as performance expectations and outcomes on institutional and system-wide goals. The Accountability Plan reflects the university's distinctive mission and focus on core institutional strengths within the context of the State University System goals and regional and statewide needs.

The 2018 Accountability Plan will require BOT approval prior to the submitting the Work Plan to the BOG for adoption at its June 2018 meeting.

Supporting Documentation: 2018 Accountability Plan

Prepared by: Kevin Calkins, Director of Institutional Research

2018 Accountability Plan

FLORIDA POLYTECHNIC UNIVERSITY

5/11/2018 DRAFT
FOR BOT



STATE UNIVERSITY SYSTEM *of* FLORIDA
Board of Governors

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

BOT
5/11/2018

INTRODUCTION

This is a new report that combines the previous Annual Accountability Report and University Work Plans into one new document that is more closely aligned with the Board of Governors' 2025 System Strategic Plan.

This revised document will enhance the System's commitment to accountability and strategic planning by enabling comparisons between past goals and actual data to better assess performance. This change will help foster greater coordination between institutional administrators, University Boards of Trustees and the Board of Governors.

Once an Accountability Plan is approved by each institution's respective Boards of Trustees, the Board of Governors will review and consider the plan's narrative strategy, metric goals and enrollment plans for potential acceptance of 2016-17 components. Longer-term components will inform future agendas of the Board's Strategic Planning Committee. The Board's acceptance of this Accountability Plan does not constitute approval of any particular component, nor does it supersede any necessary approval processes that may be required for each component (e.g., new academic programs).



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2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

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MISSION STATEMENT (What is your purpose?)

The mission of Florida Polytechnic University is to prepare 21st century learners in advanced fields of science, technology, engineering, and mathematics (STEM) to become innovative problem-solvers and high-tech professionals through interdisciplinary teaching, leading-edge research, and collaborative local, regional and global partnerships.

VISION STATEMENT (What do you aspire to?)

Florida Polytechnic University will be a world-renowned “University of Innovation” for producing a dynamic pool of info-tech talent with real-world solutions and the capacity to lead global high-tech industries through customized undergraduate and graduate STEM-enriched academic curriculum, operating space and facilities, entrepreneurial research and interactive business industry partnerships.

STATEMENT OF STRATEGY (How will you get there?)

Given your mission, vision, strengths and available resources, provide a brief description of your market and your strategy for addressing and leading it.

Florida Poly strives to be the premier, core STEM public institution in the southeast region of the United States. Our strategy of increasing selectivity supports the University’s model of delivering small classes with strong student-faculty interaction engaged in project-based, curricular experiences. Coupled with a carefully engineered curricular and co-curricular focus on professional and leadership skills, the University offers industry-aligned majors in fast-growing, high-paying sectors. Florida Poly’s priority on strong relationships with local and regional industry serves to fulfill its directive to enhance economic development in the state. A key component of this is the University’s focus on connecting students with small and medium-sized business through internships, projects, and eventual employment. These efforts form key goals in Florida Poly’s new strategic plan that calls for stronger efforts to grow the University’s program portfolio and student experience initiatives to meet its goals of delivering programs in high-paying industries and maximizing value for students by preparing them for a lifetime of success.

The University’s plan also calls for capitalizing on our strategic location on the I-4 corridor by creating a high-tech economy around Florida Poly. This effort includes a strong faculty recruiting initiative that deepens our growing basic and applied research footprint catalyzed by the Applied Research Center. By connecting with local stakeholders, our relationship with SunTrax, and the newly created Advanced Mobility Institute, the plan calls for building out the campus and surrounding area with space for high-tech business and industry, a convention center, and full service living community.



STRENGTHS AND OPPORTUNITIES *(within 3 years)*

What are your core capabilities, opportunities and challenges for improvement?

Florida Polytechnic University's greatest strengths are:

- Its dedicated focus on the core STEM subjects of Technology and Engineering offering a high-touch model with smaller classes.
- Its strategic location in Lakeland which provides close proximity (within 40 miles) of more than 11,000 high-tech firms with our commitment to build jobs for Florida.
- Its agility; limited traditional bureaucracies which allows for a culture of innovation and responsiveness.
- Strong academic experience in both industry and higher education with a start-up culture nimble enough to test and evaluate new strategies.
- Positioned as the sole STEM Public campus with a population less than 5000 students in the southeast offering a true project-based curricular experience. Strong relationships with Small and Medium Businesses (SMBs) in Florida.

Opportunities for Improvement include:

- Deepening relationships with industry to continue supporting students as they connect with companies for both internships and post-degree career placement.
- Enhancing our research infrastructure and developing focused research areas.
- Refinement of existing degrees and development of new STEM degrees that strengthen our mission and support the SUS strategic plan.
- Achieving ABET program accreditation on the heels of being granted initial accreditation by SACSCOC.
- Focus on targeted improvements in academic programs while maintaining efficient use of resources.
- Enhance academic quality to graduate exceptional students to increase impact.
- Increase fundraising and endowments.
- Effectively use current space while increasing much needed research space and the ability to house program faculty and staff.
- Continue to produce a "full service" residential campus in a new university.
- Continue to build a faculty aligned with our degrees that are committed to excellence in teaching and research.

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

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KEY INITIATIVES & INVESTMENTS *(within 3 years)*

Describe your top three key initiatives for the next three years that will drive improvement in Academic Quality, Operational Efficiency, and Return on Investment.

1. ABET Accreditation:

Florida Poly is continuously focused on providing the best academic experience for students within a core STEM curriculum. Since achieving accreditation, significant enhancements have been made to our degrees. These enhancements easily align curricula and other program features with ABET criteria and engage industry in the quality and continuous improvement standards of the computing and engineering professions. Our pursuit of program specific ABET accreditation is progressing as expected.

2. STEM Degrees and Research:

Now that Florida Poly has achieved institutional regional accreditation, new degree programs are being developed that tie closely with our mission while expanding industry ties and economic development. This includes investing in faculty to support these new and existing programs while expanding our research footprint to include industry sponsored projects. Florida Poly's curricula emphasizes cross-disciplinary, hands-on research projects, which foster and cement our ties to Florida business and industry. The close proximity of all our faculty reduces institutional barriers and induce cross collaboration. In addition, the soon to be adjacent facilities at SunTrax will create new research opportunities and new building.

3. Program Enhancements:

Over the next three years, we will continue to enhance our graduate and undergraduate program offerings to further align them with the demand of industry and students. Initially, three new undergraduate degree programs will be built. Before building addition graduate programs, the current programs will grow with enhanced specificity to our STEM mission. Improvements to the Academic Success Center (ASC) will support those efforts as we increase the rigor of our programs and the demands being placed on students. The ASC will also provide support in developing leadership, cultural competency and academic performance. We are expanding our research capacity, in part by, establishing an Advanced Mobility Institute. We are identifying our areas of research focus and we are ramping up our efforts in collaborating with economic development agencies to bring high-tech jobs to our local area and to Florida.



Key Achievements for 2016-17

STUDENT ACHIEVEMENTS

1. A student team participated in the Governor's Cup hosted by the Roundtable of Entrepreneurship Educations and placed 3rd out of all Florida universities. The competition seeks to find the best startups to stimulate the economy.
2. The Florida Venture Forum is a statewide competition hosted by the Florida Venture Forum to seek the best collegiate startups for an audience of angel and venture capitalist. Our student team placed 2nd out of 13 universities.
3. Florida Poly students placed 1st, 2nd, and 3rd in the Slingshot Polk designed to solve business problems and stimulate economic development.

FACULTY ACHIEVEMENTS

1. Dr. Karim Elish achieved a funded project with Purdue University for: Building Cybersecurity Capacity in Pervasive Computing.
2. The Health Informatics Institute recognized and funded Dr. Ala' J. Alnaser for his analysis using Neural Networks and Support Vector Machine algorithms on structured and unstructured data.
3. Dr. A. Sargolzaei received the excellence research award as a recognition for his numerous publications and conference proceedings.
4. Dr. J. Dhau though research with NSF, OSI, and FESC published journal articles which have been cited frequently.
5. Dr. N. Hickman significantly contributed to sustainability as it relates to solar energy use and the use of graphene in energy systems.

PROGRAM ACHIEVEMENTS

1. Placed 101 students in external internships.
2. Announced the SunTrax partnership with the Florida Turnpike Enterprise.
3. Graduated 39 students as our first Florida Poly graduates in 2016-17.

RESEARCH ACHIEVEMENTS

1. As a result of a Biology project, student Payton Barnwell received a \$12,000 grant through the Florida Space Research program to study space radiation.
2. Florida Institute of Phosphate Research (FIPR) conducted research with Oak Ridge National Laboratory on the recovery of rare earth elements and uranium from phosphoric acid.
3. Florida Institute of Phosphate Research is a member of the U.S. Department of Energy Critical Materials Institute – and Energy Innovation Hub.

INSTITUTIONAL ACHIEVEMENTS

1. Earned initial institutional accreditation from SACSCOC in June 2017
2. Completed and opened our second residential facility.
3. Submitted the initial paperwork to begin the ABET accreditation process.

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

BOT
5/11/2018**PERFORMANCE BASED FUNDING METRICS****FLORIDA POLYTECHNIC UNIVERSITY IS NOT YET INCLUDED IN PERFORMANCE FUNDING****1. Percent of Bachelor's Graduates Enrolled or Employed (25,000+)**

	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
ACTUAL
APPROVED GOALS	72.8	72.8	72.8	.
PROPOSED GOALS	72.8	72.8	72.8	72.8

2. Median Wages of Bachelor's Graduates Employed Full-time

	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
ACTUAL
APPROVED GOALS	40,700	40,700	40,700	.
PROPOSED GOALS	40,700	40,700	40,700	40,700

3. Average Cost to the Student [Net Tuition & Fees per 120 Credit Hours for Resident Undergraduates]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL
APPROVED GOALS	12,000	12,000	12,000	.
PROPOSED GOALS	12,000	12,000	11,500	11,500

4. FTIC Four-Year Graduation Rate [Full-time students only]

	2009-13	2010-14	2011-15	2012-16	2013-17	2014-18	2015-19	2016-20	2017-21
ACTUAL
APPROVED GOALS	37	37	40	.
PROPOSED GOALS	37	37	34	38

5. Academic Progress Rate [Second Year Retention Rate with At Least a 2.0 GPA]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	.	.	73.0	76.8	64.4
APPROVED GOALS	.	.	.	74	75	75	76	77	.
PROPOSED GOALS	75	76	77	79

Note: Dots ('.') are used when data is not available for a given metric for a specific year. For more information about the PBF model visit:
http://www.flbog.edu/about/budget/performance_funding.php.

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

BOT
5/11/2018**PERFORMANCE BASED FUNDING METRICS (CONTINUED)****FLORIDA POLYTECHNIC UNIVERSITY IS NOT YET INCLUDED IN PERFORMANCE FUNDING****6. Percentage of Bachelor's Degrees Awarded within Programs of Strategic Emphasis**

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	100	100	.	.	.
APPROVED GOALS	100	100	100	100	.
PROPOSED GOALS	100	100	100	100

7. University Access Rate [Percent of Undergraduates with a Pell grant]

	FALL 2012	FALL 2013	FALL 2014	FALL 2015	FALL 2016	FALL 2017	FALL 2018	FALL 2019	FALL 2020
ACTUAL	.	.	n/a	n/a	n/a	30%	.	.	.
APPROVED GOALS	15	18	21	.
PROPOSED GOALS	15	28	29	29

Note: Florida Polytech students were eligible to start receiving Pell grants from the US Dept. of Ed. in Fall 2017.

8. Percentage of Graduate Degrees Awarded within Programs of Strategic Emphasis

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	100	100	.	.	.
APPROVED GOALS	100	100	100	100	.
PROPOSED GOALS	100	100	100	100

9. BOG Choice: Percent of Baccalaureate Degrees Awarded Without Excess Hours

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	*
APPROVED GOALS	24	25	25	.
PROPOSED GOALS	68	70	70	80

Note*: There were too few (less than twenty) graduates in the 2016-17 graduating class to report.

Note: Dots ('.') are used when data is not available for a given metric for a specific year. For more information about the PBF model visit:
http://www.flbog.edu/about/budget/performance_funding.php

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

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KEY PERFORMANCE INDICATORS

Teaching & Learning Metrics (from the 2025 System Strategic Plan that are not included in the PBF section)

Public University National Ranking [Number of Top50 Rankings based on BOG's official list of publications]

	2014	2015	2016	2017	2018	2019	2020	2021	2022
ACTUAL	0
APPROVED GOALS	0	0	0	0	.
PROPOSED GOALS	0	0	0	0

Freshmen in Top 10 of High School Class

	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020	Fall 2021
ACTUAL	.	21	17	14	18
APPROVED GOALS	.	.	.	35	17	17	18	21	.
PROPOSED GOALS	18	18	21	22

Time to Degree for FTICs in 120hr programs [in Calendar Years]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	*
APPROVED GOALS	5.5	5.5	.
PROPOSED GOALS	5.5	5.25	5.0

Note*: There were too few (less than ten) FTIC graduates in the 2016-17 graduating class to report.

Six-Year FTIC Graduation Rates [Full- & Part-time students]

	2007-13	2008-14	2009-15	2010-16	2011-17	2012-18	2013-19	2014-20	2015-21
ACTUAL
APPROVED GOALS	62	.
PROPOSED GOALS	62	64

Bachelor's Degrees Awarded [First Majors Only]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	18
APPROVED GOALS	13	160	324	416	.
PROPOSED GOALS	160	310	370	370

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FLORIDA POLYTECHNIC UNIVERSITY

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KEY PERFORMANCE INDICATORS (CONTINUED)

Teaching & Learning Metrics

Graduate Degrees Awarded [First Majors Only]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	21
APPROVED GOALS	16	7	5	9	.
PROPOSED GOALS	7	5	9	12

Bachelor's Degrees Awarded to African-American & Hispanic Students

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	24
APPROVED GOALS	23	24	25	25	.
PROPOSED GOALS	24	25	25	25

Percentage of Adult (Aged 25+) Undergraduates Enrolled

	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020	Fall 2021
ACTUAL	.	8	8	7	8
APPROVED GOALS	.	.	8	9	5	6	6	6	.
PROPOSED GOALS	6	6	6	7

Percent of Undergraduate FTE in Online Courses

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	.	.	0	0	0	0	.	.	.
APPROVED GOALS	.	.	0	0	0	0	0	1	.
PROPOSED GOALS	0	0	1	2

Percent of Bachelor's Degrees in STEM & Health

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	100	100	.	.	.
APPROVED GOALS	100	100	100	100	.
PROPOSED GOALS	100	100	100	100

Percent of Graduate Degrees in STEM & Health

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	100	100	.	.	.
APPROVED GOALS	100	100	100	100	.
PROPOSED GOALS	100	100	100	100

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

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KEY PERFORMANCE INDICATORS (CONTINUED)

Scholarship, Research and Innovation Metrics

Total Research Expenditures [\$ in Thousands]

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	.	.	212	204	438
APPROVED GOALS
PROPOSED GOALS	600	524	374	427

Percentage of Research Expenditures Funded from External Sources

	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
ACTUAL	.	.	96	86	67
APPROVED GOALS
PROPOSED GOALS	81	80	80	81

Institution Specific Goals

To further distinguish the university's distinctive mission, the university may choose to provide additional metric goals that are based on the university's own strategic plan.

1. Percent of Students Beginning a Startup Company or Working in a Small Company

FALL 2013 2013-14	FALL 2014 2014-15	FALL 2015 2015-16	FALL 2016 2016-17	FALL 2017 2017-18	2018-19 GOAL	2019-20 GOAL	2020-21 GOAL	2021-22 GOAL
.	.	.	.	27%	18%	20%	20%	21%

2. Number of Industry Relationships Providing Employment & Research Opportunities for Students and/or Faculty

FALL 2013 2013-2014	FALL 2014 2014-15	FALL 2015 2015-16	FALL 2016 Actual	FALL 2017 Actual	2018-19 GOAL	2019-20 GOAL	2020-21 GOAL	2021-22 GOAL
.	.	.	23	50	50	55	55	60

3. Percent of Under-Graduates Who Completed an External Internship Program

2013-14 NA	2014-15 NA	2015-16 NA	2016-17 Actual	2017-18 Actual	2018-19 GOAL	2019-20 GOAL	2020-21 GOAL	2021-22 GOAL
.	.	.	100 (Int. & Ext)	100 (Int. & Ext)	95	95	95	95

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

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ENROLLMENT PLANNING

Actual & Planned Headcount Enrollment by Student Type *(for all students at all campuses)*

	FALL 2013 ACTUAL	FALL 2014 ACTUAL	FALL 2015 ACTUAL	FALL 2016 ACTUAL	FALL 2017 ACTUAL	FALL 2018 PLAN	FALL 2019 PLAN	FALL 2020 PLAN	FALL 2021 PLAN
UNDERGRADUATE									
FTIC (Regular Admit)	.	396	699	1,044	1,155	1,176	1,164	1,181	1,211
FTIC (Profile Admit)	.	0	0	0	0	0	0	0	0
FCS AA Transfers	.	35	61	69	86	78	78	80	80
Other AA Transfers	.	3	4	11	15	9	9	9	10
Post-Baccalaureates	.	13	21	27	33	34	33	33	35
Other Undergraduates	.	75	102	131	150	144	141	144	148
Subtotal	.	522	887	1,282	1,439	1,441	1,426	1,447	1,484
GRADUATE									
Master's	.	24	37	31	17	23	23	23	24
Research Doctoral	.	0	0	0	0	0	0	0	0
Professional Doctoral	.	0	0	0	0	0	0	0	0
Subtotal	.	24	37	31	17	23	23	23	24
UNCLASSIFIED									
H.S. Dual Enrolled	.	1	0	1	2	1	1	1	1
Other ¹	.	0	0	1	0	1	1	1	1
Subtotal	.	1	0	2	2	2	2	2	2
TOTAL	.	547	924	1,315	1,458	1,466	1,451	1,472	1,510

Notes: This table reports the number of students enrolled at the university by student type categories. The student type for undergraduates is based on the Type of Student at Time of Most Recent Admission. The student type for graduates is based on the degree that is sought and the student CIP code. Unclassified refers to a student who has not yet been formally admitted into a degree program but is enrolled. (1) 'Other Unclassified' students include Post-Baccalaureates who are not seeking a degree.

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ENROLLMENT PLANNING (CONTINUED)**Actual & Planned FTE Enrollment by Residency & Student Level**

	2012-13 ACTUAL	2013-14 ACTUAL	2014-15 ACTUAL	2015-16 ACTUAL	2016-17 ACTUAL	2017-18 PLAN	2018-19 PLAN	2019-20 PLAN	2020-21 PLAN	2021-22 PLAN
RESIDENT										
LOWER	.	.	461	655	746	752	708	703	689	696
UPPER	.	.	26	179	454	516	567	562	552	558
GRAD I	.	.	16	20	9	26	26	28	41	53
GRAD II	.	.	0	0	0	0	0	0	0	0
TOTAL	.	.	503	850	1,209	1,294	1,301	1,293	1,282	1,307
NON-RESIDENT										
LOWER	.	.	13	24	31	77	52	52	51	51
UPPER	.	.	1	5	11	16	43	42	41	42
GRAD I	.	.	4	4	4	5	2	2	3	4
GRAD II	.	.	0	0	0	0	0	0	0	0
TOTAL	.	.	18	33	46	98	97	96	95	97
TOTAL										
LOWER	.	.	473	679	777	829	760	755	740	747
UPPER	.	.	27	185	465	532	610	605	593	599
GRAD I	.	.	20	24	13	31	28	30	44	57
GRAD II	.	.	0	0	0	0	0	0	0	0
TOTAL	.	.	520	888	1,255	1,392	1,398	1,389	1,377	1,404

Note: Full-time Equivalent (FTE) student is a measure of all instructional activity (regardless of fundability) that is based on the number of credit hours that students enroll. FTE is based on the standard national definition, which divides undergraduate credit hours by 30 and graduate credit hours by 24. Pursuant to section 1013.31, Florida Statutes, Board facilities staff use this data as a key factor in the calculation of facility space needs for university educational plant surveys.

Actual & Planned FTE Enrollment by Method of Instruction *(for all students at all campuses)*

	2012-13 ACTUAL	2013-14 ACTUAL	2014-15 ACTUAL	2015-16 ACTUAL	2016-17 ACTUAL	2017-18 PLAN	2018-19 PLAN	2019-20 PLAN	2020-21 PLAN	2021-22 PLAN
UNDERGRADUATE										
Distance (80-100)	.	.	0	0	0	0	0	14	15	17
Hybrid (50-79)	.	.	0	0	0	0	0	6	15	15
Classroom (0-50)	.	.	500	864	1,242	1,361	1,370	1,340	1,303	1,314
Subtotal	.	.	500	864	1,242	1,361	1,370	1,360	1,333	1,346
GRADUATE										
Distance (80-100)	.	.	0	0	0	0	0	0	0	0
Hybrid (50-79)	.	.	0	0	0	0	0	0	0	0
Classroom (0-50)	.	.	20	24	13	31	28	30	44	57
Subtotal	.	.	20	24	13	31	28	30	44	57

Note: Full-time Equivalent (FTE) student is a measure of instructional activity (regardless of fundability) that is based on the number of credit hours that students enroll. FTE is based on the standard national definition, which divides undergraduate credit hours by 30 and graduate credit hours by 24. Distance Learning is a course in which at least 80 percent of the direct instruction of the course is delivered using some form of technology when the student and instructor are separated by time or space, or both (per 1009.24(17), F.S.). Classroom/Traditional, is a course in which less than 50 of the direct instruction of the course is delivered using some form of technology when the student and instructor are separated by time, space or both. This designation can include activities that do not occur in a classroom (ie, labs, internships, practica, clinicals, labs, etc) – see SUDS data element #2052.

2018 ACCOUNTABILITY PLAN



FLORIDA POLYTECHNIC UNIVERSITY

 BOT
5/11/2018

ACADEMIC PROGRAM COORDINATION

New Programs For Consideration by University in AY 2018-19

The S.U.S. Council of Academic Vice Presidents (CAVP) Academic Program Coordination Work Group will review these programs as part of their on-going coordination efforts. The programs listed below are based on the 2017 Work Plan list for programs under consideration for 2018-20.

PROGRAM TITLES	CIP CODE 6-digit	AREA OF STRATEGIC EMPHASIS	OTHER UNIVERSITIES WITH SAME PROGRAM	OFFERED VIA DISTANCE LEARNING IN SYSTEM	PROJECTED ENROLLMENT <i>in 5th year</i>	PROPOSED DATE OF SUBMISSION TO UBOT
BACHELOR'S PROGRAMS						
Engineering Mathematics	27.0301	Yes		No	60	05/2018
Engineering Physics	14.1201	Yes		No	60	05/2018
<i>Environmental Engineering</i>	15.0507	Yes	UF, UCF, FIU, FAU, FGCU	No	60	05/2018
MASTER'S, SPECIALIST AND OTHER ADVANCED MASTER'S PROGRAMS						

DOCTORAL PROGRAMS

New Programs For Consideration by University in 2019-21

These programs will be used in the 2017-18 Accountability Plan list for programs under consideration for 2019-20.

PROGRAM TITLES	CIP CODE 6-digit	AREA OF STRATEGIC EMPHASIS	OTHER UNIVERSITIES WITH SAME PROGRAM	OFFERED VIA DISTANCE LEARNING IN SYSTEM	PROJECTED ENROLLMENT <i>in 5th year</i>	PROPOSED DATE OF SUBMISSION TO UBOT
BACHELOR'S PROGRAMS						
Florida Polytechnic University will develop a new set of Bachelor programs to sufficiently sustain the institution within our STEM-focused mission. Sample degrees that may be considered are; Civil Engineering, Biomedical Engineering, Chemical Engineering, and Statistics. These degrees, or other similar degrees, will be fully considered in terms of market need and the resources required in delivering the degrees.						
MASTER'S, SPECIALIST AND OTHER ADVANCED MASTER'S PROGRAMS						
Florida Polytechnic University will possibly develop additional Master's degrees within the SUS Strategic Plan that appropriately meet the needs of our students and the State of Florida.						

DOCTORAL PROGRAMS



FLORIDA POLYTECHNIC
UNIVERSITY

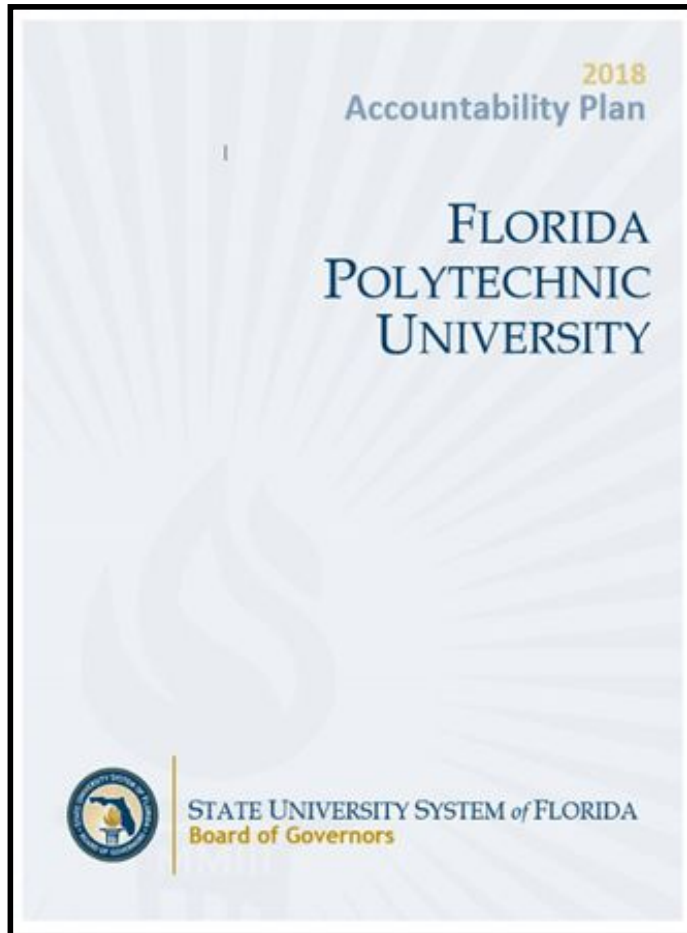
2018 Accountability Plan

Kevin Calkins

May 22, 2018



Annual Accountability Plan



- **Strategy**
 - Strengths and Opportunities
 - Key Initiatives
- **Performance Metrics & Goals**
 - Performance Based Funding
 - Teaching and Learning
 - Institutional Specific Goals
- **Enrollment Planning**
 - Planned Fall Headcount
 - Planned FTE Enrollment
- **Academic Program Planning**
 - Consideration of New Programs in 2018-20



Strategy

- **Strengths**

- Dedicated STEM focus offering a high-touch model with smaller classes
- Strategic location offering industry-aligned majors in fast-growing areas
- Agility; limited traditional bureaucracies and a culture of innovation
- Academic experience in industry and education
- True project-based curricular experience; relationships with Small and Medium Businesses (SMBs) in Florida

- **Opportunities**

- Deepening relationships with industry partners for student career preparation and economic benefit
- Enhancing research infrastructure and footprint
- Refinement of existing degrees and development of new STEM degrees
- Achieving ABET accreditation
- Enhance academic quality to graduate exceptional students to increase impact
- Increase fundraising and control administrative cost to offset expensive programs
- Increase research and office space through creative nontraditional means
- Full service residential campus to offer an outstanding user experience
- Continue to build a faculty aligned with our degrees and mission
















Strategy: Key Initiatives & Investments

- **ABET Accreditation:**
 - Enhance our degrees to align curricula and other program features with ABET criteria
- **STEM degrees and research:**
 - Continue to develop new degree programs that tie closely with economic development
 - Improve our research footprint to industry sponsored projects
- **Program Enhancements:**
 - Further align graduate and undergraduate program offerings with industry demand and specificity to our mission.
 - Provide additional support through the Academic Success Center in developing leadership, cultural competency and academic performance.



Florida Poly PBF Scores (2017-18 Preliminary)

	Points Scale			Goal Year	Points
	 (10)	 (5)	 (1)		
• Percent BS graduates employed	72.8%	61.4%	52.3%	<u>72.8%</u> 2018	 10
• Median wages for BS graduates	\$ 40,700	\$ 28,200	\$ 18,000	<u>\$ 50,000</u> 2018	 10
• Net tuition and fees per 120 hours	\$ 9,000	\$ 14,000	\$ 18,000	<u>\$9,500</u> 2018	 8
• Four-year graduation rate (FTIC)	50%	43.8%	38.8%	<u>36%</u> 2021	 1
• Academic progress rate (retention)	90%	83.8%	78.8%	<u>73%</u> 2017	 1
• BS awarded in strategic areas	50%	37.5%	27.5%	<u>100%</u> 2017	 10
• University access rate (UG w/ Pell)	42%	22%	6%	<u>30%</u> 2017	 7
• Graduate degrees in strategic areas	60%	47.5%	37.5%	<u>100%</u> 2017	 10
• % of B.S. Degrees without Excess Hours (BOG metric)	80%	67.5%	57.5%	<u>70%</u> 2018	 6
• BOT choice metric	x.x%	x.x%	x.x%		 7



Teaching and Learning Performance Metrics

Percent of Freshmen in Top 10% of High School Class:

Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020
21% (act.)	17% (act.)	14% (act.)	18% (act.)	18% (est.)	18% (est.)	21% (est.)

Time to Degree for FTIC's in 120 hr. Program:

				2018-19	2019-20	2020-21
				5.5 (est.)	5.25 (est.)	5.0 (est.)

Six-Year FTIC Graduation Rates

					2014-20	2015-21
					62% (est.)	64% (est.)

Bachelor's Degrees Awarded (First Majors Only)

		2016-17	2017-18	2018-19	2019-20	2020-21
		18 (act.)	195 (est.)	310 (est.)	370 (est.)	370 (est.)

Graduate Degrees Awarded (First Majors Only)

		2016-17	2017-18	2018-19	2019-20	2020-21
		16 (act.)	7 (est.)	5 (est.)	9 (est.)	12 (est.)

Estimates (Goals) are pending or preliminary



Teaching and Learning Performance Metrics

Percentage of Bachelor's Degrees Awarded to African-American & Hispanic Students

		2016-17	2017-18	2018-19	2019-20	2020-21
		24% (act.)	24% (est.)	25% (est.)	25% (est.)	25% (est.)

Percentage of Adult (Aged 25+) Undergraduates Enrolled

Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020
8% (act.)	8% (act.)	7% (act.)	8% (act.)	6% (est.)	6% (est.)	6% (est.)

Percent of Undergraduate FTE in Online Courses

2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
0% (act.)	0% (act.)	0% (act.)	0% (act.)	0% (est.)	1% (est.)	2% (est.)

Percent of Bachelor's and Graduate Degrees in STEM & Health

		2016-17	2017-18	2018-19	2019-20	2020-21
		100% (act.)	100% (act.)	100% (est.)	100% (est.)	100% (est.)

These metrics will become clearer as additional data are captured.

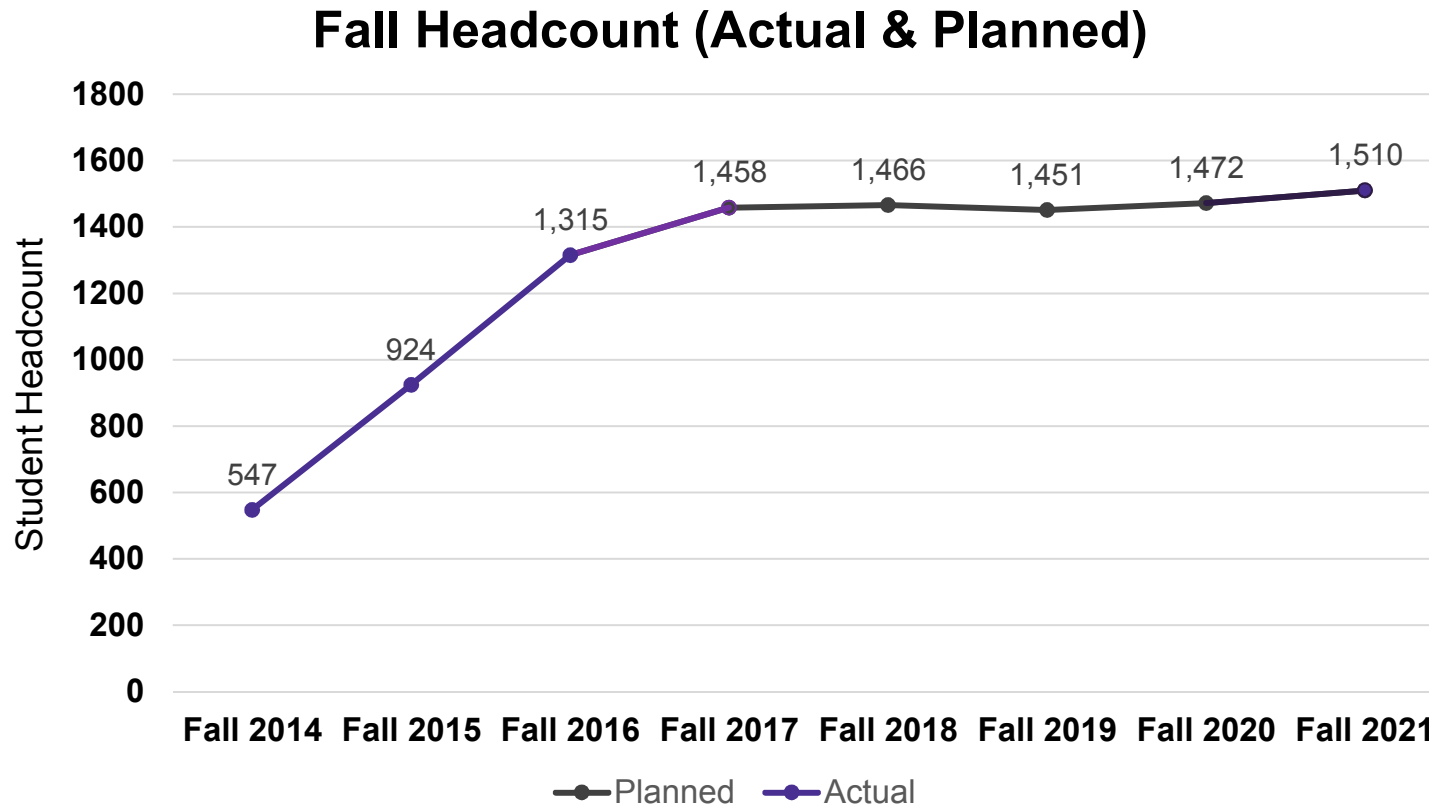


Institutional Specific Goals

Metric	2015 Actual	2016 Actual	2017 Actual	2018 Goal	2019 Goal	2020 Goal	2021 Goal
% of Students Beginning a Startup Company or Working in a Small Company			27%	18%	20%	20%	21%
# of Industry Relationships Providing Employment & Research Opportunities for Students and/or Faculty		23	50	50	55	55	60
% of UG's Who Completed an External Internship Programs		100%	100%	95%	95%	95%	95%



Enrollment – Fall Headcount

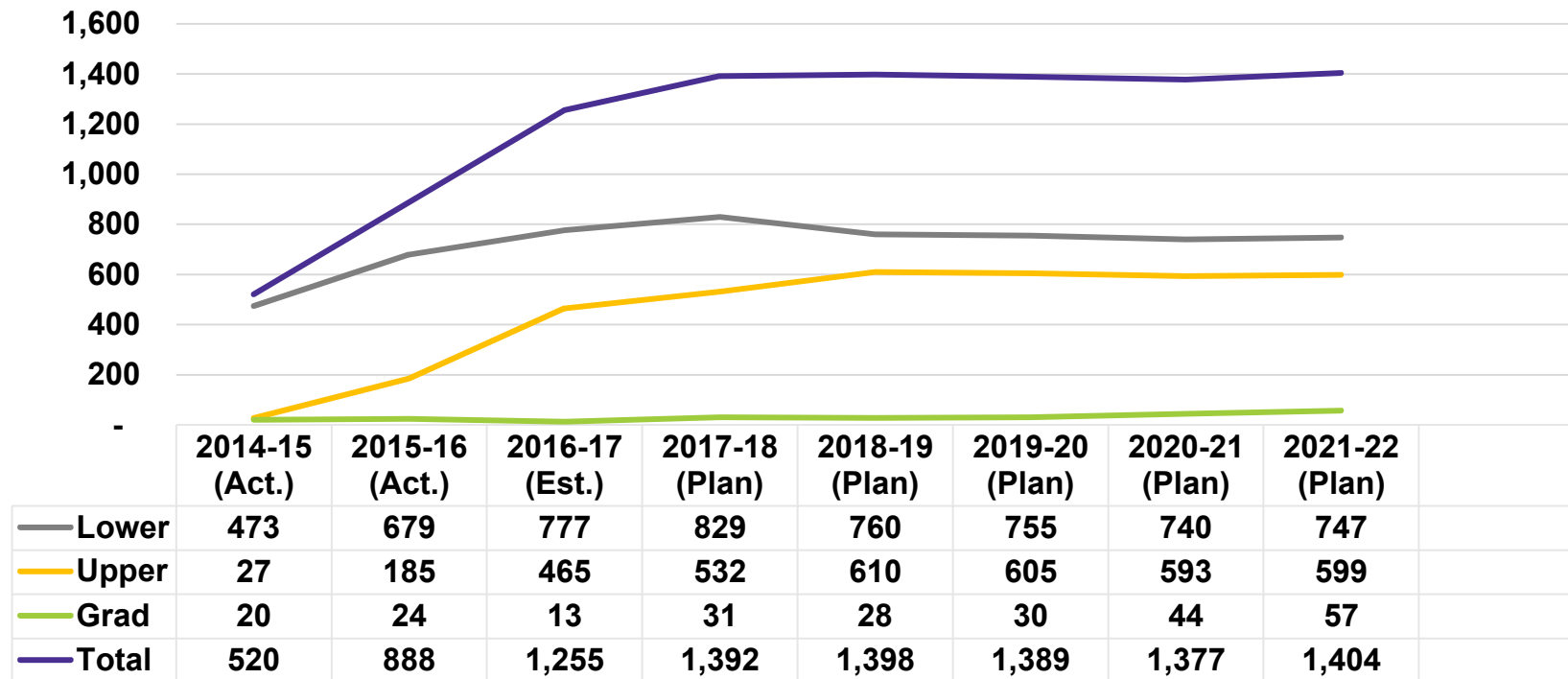


Flat growth for next several years



Enrollment - FTE

Student FTE by Level



As our students progress there's a shift to upper level coursework followed by graduation.



Academic Program Coordination

- **New bachelor's programs planned for 2018-19**
 - Engineering Mathematics
 - Engineering Physics
 - Environmental Engineering
- **In 2019-20 additional Bachelor's and Master's programs will be fully considered in terms of state economic development, performance based funding, and industry needs.**



Summary

- **Strategy**
 - University - maturation phase; continue to build on our strengths while addressing opportunities to graduate exceptional students
- **Performance metrics and goals**
 - Many of the goals are preliminary pending additional data as students progress
- **Enrollment planning**
 - As academic quality increases, growth slows
- **Academic program planning**
 - New degrees based on mission and market need

The Accountability Plan requires BOT approval & will be presented at the June BOG meeting.



Board of Trustees Finance & Facilities Committee Meeting

**Tuesday, May 22, 2018
12:00 PM-2:00 PM**

**Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805**

**Bob Stork, Chair
Dr. Jim Dewey**

**Henry McCance, Vice-Chair
Cliff Otto**

**Mark Bostick
Gary Wendt**

AGENDA

- | | |
|--|------------------|
| I. Call to Order | Bob Stork, Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Bob Stork, Chair |
| IV. Approval of the February 28, 2018 Minutes
Action Required | Bob Stork, Chair |
| V. 2016-18 Finance and Facilities Committee Work Plan Review | Bob Stork, Chair |
| VI. ARC Funding Recommendation
Action Required | Dr. Randy Avent |
| VII. 2018-19 University Financial Review and Budget Approval
A. Financial Review
B. University Operating Budget *Action Required* | Mark Mroczkowski |
| VIII. Contracts for Review and Approval
Action Required | Mark Mroczkowski |
| IX. Legislative Budget Request for 2019-2020
A. Operating Budget *Action Required*
B. Capital Improvement Plan *Action Required* | Terry Parker |

- | | |
|---|-------------------------|
| <p>X. Foundation Action Items</p> <ul style="list-style-type: none">A. Current Foundation Board Members Confirmation
*Action Required*B. 2018-19 Foundation Budget Review and Approval
*Action Required*C. Avent Family Foundation Endowed Scholarship
*Action Required*C. Chess Club Endowed Scholarship
*Action Required*D. Boring Business Solutions Naming Opportunity
*Action Required*E. Gidel Family Fund Endowed President's Fund
Action Required | <p>Kevin Aspegren</p> |
| <p>XI. Consideration and Approval of Anticipated Use of University Resources for 2018-19
Action Required</p> | <p>David Blanton</p> |
| <p>XII. Closing Remarks and Adjournment</p> | <p>Bob Stork, Chair</p> |

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
FINANCE AND FACILITIES COMMITTEE
MEETING MINUTES
Florida Polytechnic University Student Development Center
4700 Research Way, Lakeland, FL 33805**

February 28, 2018 @ 9:00 AM
or upon the conclusion of the previous meeting

I. Call to Order

Committee Chair Bob Stork called the meeting to order at 8:45 a.m.

II. Roll Call

Maggie Mariucci called the roll: Committee Chair Bob Stork, Vice Chair Henry McCance, Trustee Mark Bostick, Trustee Cliff Otto, and Trustee Gary Wendt were present (Quorum).

Other Trustees present: Chair Frank Martin, Trustee Jacob Livingston, Trustee Dick Hallion, Trustee Philip Dur, and Trustee Louis Saco.

Staff present: President Randy Avent, Dr. Terry Parker, Mr. Kevin Aspegren, Ms. Gina DeIulio, Mrs. Maggie Mariucci, Mr. Rick Maxey, and Mr. Mark Mroczkowski.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee Henry McCance made a motion to approve the Finance and Facilities Committee meeting minutes of December 6, 2017. Trustee Cliff Otto seconded the motion. A vote was taken, and the motion passed unanimously.

V. 2016-2018 Finance and Facilities Committee Work Plan

Mark Mroczkowski reviewed minor additions to the work plan.

Trustee Henry McCance made a motion to approve the revisions to the Finance and Facilities Committee Work Plan. Trustee Gary Wendt seconded the motion. A vote was taken, and the motion passed unanimously.

VI. Financial Review

Mr. Mark Mroczkowski reviewed second quarter financial reports. He stated revenues are ahead of expenses by 1.3%. Investments decreased 6.5% due to the Foundation moving their funds to a different investment account. The University's net position is \$199M. Trustee Henry McCance requested the terminology in the operating budget report be changed from "Q2" to "YTD Q2".

Mr. Mroczkowski shared the University's total revenue is 23% over budget while spending is 16% under budget. Tuition and Fees increased significantly due to the addition of receiving federal financial aid. Trustee McCance inquired why the University is under budget on salaries. This is due to staff position vacancies. Mr. Mroczkowski reviewed budget variances and operating budgets by division.

Further explanation was given on the movement of Foundation funds out of the University's investment account into a separate investment account managed by TIAA.

Trustee Bob Stork inquired as to the return on net assets. Mr. Mroczkowski noted it dropped slightly with a 2% loss; however, the net gain should be 3-4% according to the dashboard.

VII. Contracts for Review and Approval

There are no new contracts over \$500k that require approval. Mr. Mroczkowski noted the University selected Skanska to be the construction manager (CM) for the Applied Research Center (ARC). The Skanska contract will be brought to the Board for approval at the May 2018 meeting. Mr. Mroczkowski also stated a 30-day Request for Information (RFI) has been released to solicit ideas from private developers on creating a mixed-use administration building. Once the RFI's are received, Mr. Mroczkowski will form a committee to review and bring viable options before the Board. Mr. Mroczkowski also explained the cancelled Global University Systems (GUS) contract as GUS would not meet the University's terms.

VIII. Facilities & Campus Building Update / Construction Manager Recommendations

Mr. David Calhoun shared the Applied Research Center (ARC) is in the programming and planning phase. To date, the University has received \$7M in Public Education Capital Outlay (PECO) funds that will take Florida Poly through the design phase, initial site work and ground improvements. The proposed building completion date is August 2021. Trustees discussed funding issues for completion of the building. Chair Martin confirmed three to five years is the usual timeframe for obtaining all funding to build buildings on college campuses. The State has not funded Plant Operation and Maintenance (PO&M) appropriations the past two years. If the University receives PO&M funding, it must be used for operations and maintenance, not construction.

Mr. Calhoun briefed Trustees on the selection process for Construction Manager (CM). Thirteen companies submitted a Request for Quotation (RFQ); a selection committee narrowed the candidates to four. Of the four, Skanska Building received the highest ranking.

Trustee Henry McCance made a motion to approve the selection recommendation of Skanska Building for construction management services for the Applied Research Center

(ARC) to the Board of Trustees. Trustee Louis Saco seconded the motion. A vote was taken, and the motion passed unanimously.

IX. Foundation Report

Mr. Kevin Aspegren gave a progress report on Advancement and the Foundation. He reviewed a sample dashboard of Foundation data that will be available once the new Salesforce client management system is in place July 1, 2018. Trustees inquired as to the location and accuracy of donor data. Mr. Aspegren stated when Salesforce is live on July 1, the data will have been scrubbed for accuracy.

Trustee Saco inquired how the University's external marketing company, Clark, Nikdell, & Powell (CNP), plans to differentiate Florida Poly from the rest of the state universities. Mr. Aspegren explained the University Relations department focuses on crafting the global message of "why Florida Poly." Foundation marketing targets industry and individuals. CNP's digital marketing campaign will target 2,000 individuals primarily in central Florida and other cities such as Jacksonville and Miami where the University has a high number of students. Next year, this digital marketing campaign will go nation-wide.

X. Foundation Naming Opportunity

Kevin Aspegren reviewed the Campbell family's gift donation to the University.

Trustee Gary Wendt made a motion to approve the naming of Collaboration Room 2073 in the Innovation, Science and Technology Building of Florida Polytechnic University as the "Campbell Family Collaboration Room" to the Board of Trustees. Trustee Louis Saco seconded the motion. A vote was taken, and the motion passed unanimously.

XI. Regulation: FPU 8.001 - Purchasing

Gina DeIulio briefly reviewed the changes to the FPU 8.001 Purchasing regulation. No discussion occurred.

Trustee Louis Saco made a motion to approve the revised regulation FPU-8.001 Purchasing (being renamed "Procurement") to the Board. Trustee Henry McCance seconded the motion. A vote was taken, and the motion passed unanimously.

XII. Closing Remarks and Adjournment

Committee Chair Bob Stork adjourned the meeting at 10:05 a.m.

Florida Polytechnic University**Finance & Facilities Committee****Work Plan 2016-2018**

March 15, 2017	June 7-8, 2017	September 13, 2017	December 6, 2017
<ul style="list-style-type: none"> • Workday Student Module • Development and University Foundation Planning • Educational Plant Survey • University Financial Update • Foundation Financial Update 	<ul style="list-style-type: none"> • 2017 Legislative Session Appropriations • 2018-2019 Legislative Budget Request (Operating and Fixed Capital Outlay) • 2017-2018 University Operating Budget • 2017-2018 Foundation Operating Budget • University Financial Update • Foundation Financial Update 	<ul style="list-style-type: none"> • Financial Workshop • SUS Performance Funding • University Financial Update • Foundation Financial Update 	<ul style="list-style-type: none"> • University Financial Update • Foundation Financial Update
February 28, 2018	May 22-23, 2018	¹September 12, 2018	¹December 5, 2018
<ul style="list-style-type: none"> • University Financial Update • Foundation Financial Update • Contract review and Approval • Construction Update • Approve changes to Procurement Regulation 	<ul style="list-style-type: none"> • 2019-2020 Legislative Budget Request (Operating and Fixed Capital Outlay) • 2018-2019 University Operating Budget (Budget Proposal to be sent out in May) • 2018-2019 Foundation Operating Budget • Contract review and Approval • Construction Update 	<ul style="list-style-type: none"> • University Financial Update • Foundation Financial Update • Contract review and Approval • Construction Update 	<ul style="list-style-type: none"> • University Financial Update • Foundation Financial Update • Contract review and Approval • Construction Update
¹ Tentative until approved by the Board of Trustees			

AGENDA ITEM: VI.

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 21, 2018**

Subject: ARC Funding Recommendation

Proposed Committee Action

Recommend approval to the Board of Trustees for an additional \$15.8M in carry forward funding be committed so ARC construction can begin immediately.

Background Information

Dr. Randy Avent will provide background information and a recommendation regarding funding the construction of the Applied Research Center (ARC). He will also review the current construction schedule.

Supporting Documentation:

PowerPoint Presentation

Prepared by: Dr. Randy K. Avent, President



Applied Research Center

Randy K. Avent
23 May 2018



SUS Plant Survey

	Space Category	Space Needs By Space Type	Satisfactory Space Inventory	Total Unsatisfactory Space Inventory	Unmet Need
Instructional					
	Classroom	12,096	6,088	-	6,088
	Teaching Laboratory	15,120	26,432	-	(11,312)
	Research Laboratory	25,200	13,469	-	11,731
Academic Support					
	Study	18,144	18,636	-	(492)
	Instructional Media	4,032	0	-	4,032
	Auditorium/Exhibition	3,024	2,499	-	525
	Teaching Gymnasium	6,048	0	-	6,048
Instructional Support					
	Student Academic Support	0	0	-	0
	Office/Computer	30,240	12,007	-	18,233
	Campus Support Services	5,695	5,750	-	(55)
	Total	119,599	84,881	-	29,426

- Significant unmet need in both research and office space
- BoT made Applied Research Center highest priority in 2014

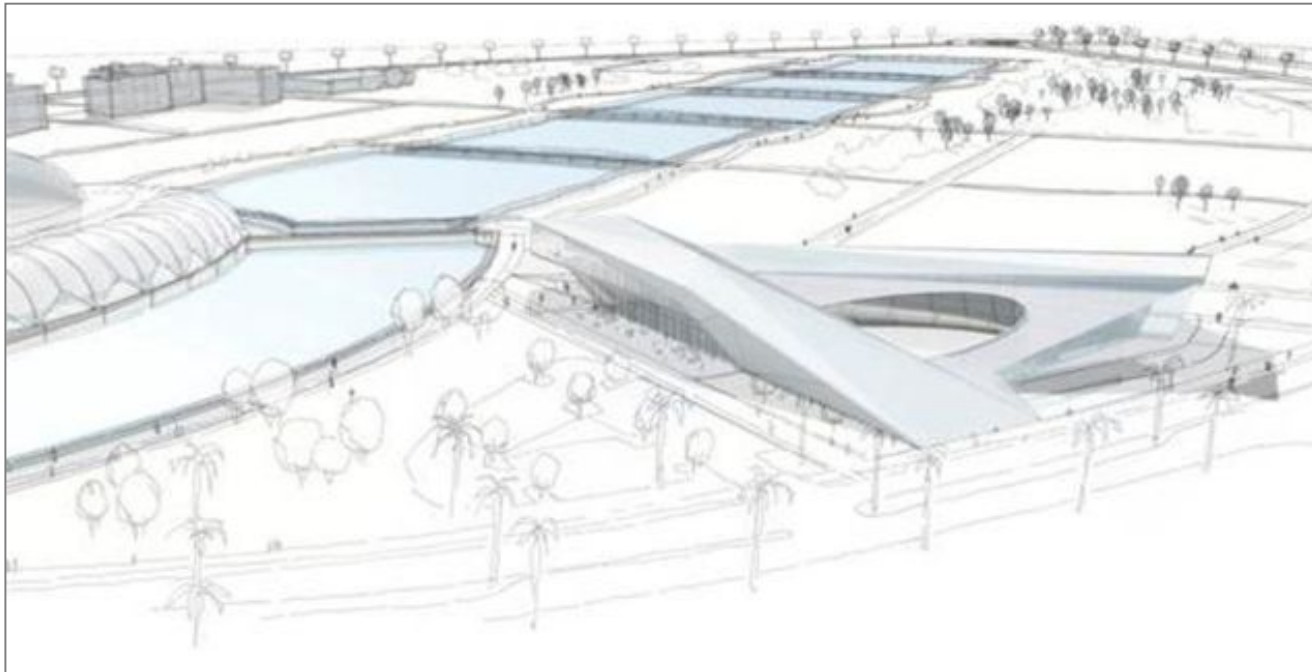


Applied Research Center

- **Total projected budget is \$38.7M**
- **Planned building size**
 - Net Assignable Square Feet (NAS) 60,786
 - Gross Square Feet (GSF) 85,100
 - Option to increase size by 10,000 sqft
- **Funding summary**
 - Total PECO funding is \$7M
 - Florida Poly matching fund is \$5M
- **Current funding used to complete the design phase of construction**



Design Phase Status



- **HOK chosen as the Architect of Record**
 - Conducting design phase through 2019
 - Programming & planning and conceptual design in progress
- **Skanska chosen as Construction Manager**
 - Begins preconstruction services soon
 - Site preparation begins early CY2019



Construction Funding

Florida Polytechnic University
Fund 107 Carryforward Report
For the 9 Months Ended March 31, 2018

Beginning Balance July 1, 2017	17,221,589
Transfers In	
Prior Year Roll-Over	7,403,947
Transfers Out	
Departmental Carryforward Use	(835,142)
Ending Balance March 31, 2018	<u>23,790,394</u>
Estimate Year-End Addition to Carry Forward	
Current FY 2017-18 Unused Funds	8,363,950
Less Potential Expenses thru 06/30	(2,020,830)
Expenses to move to Lottery Fund at Y/E	243,148
Expenses to move to Tuition Fund at Y/E	2,300,000
Impact of Pension Expense	(1,056,379)
Potential Roll to Carryforward for 17-18	<u>7,829,890</u>
Projected Ending Balance June 30, 2018	31,620,284
Currently Planned Uses:	
Restricted for ARC	20,864,000
Campus Reclaimed Water	2,000,000
Redundant Potable Water Hookup	100,000
IST Improvements	820,000
Implementation of Workday Student	1,470,000
FY 2018-18 IT Projects	316,667
F&A Budget Reserve	150,000
Required 5% Reserve	<u>1,859,037</u>
Total Currently Planned Uses	<u>27,579,704</u>
Projected Remaining Balance	<u>4,040,580</u>

- **State requires 72% total funding to begin construction (\$27.8M)**
- **Project was not funded during the 2018 legislative session**
 - Can wait until 2019 legislative session to requests funds again
 - Florida Poly contributes an additional \$15.8M to begin construction
- **Carry forward funds are sufficient to fund project**
 - Reduces carry forward by an additional \$15.8M resulting in a balance of \$4M
 - Funds will not be repaid with a PECO allocation
 - Leaves \$10.8M to complete construction



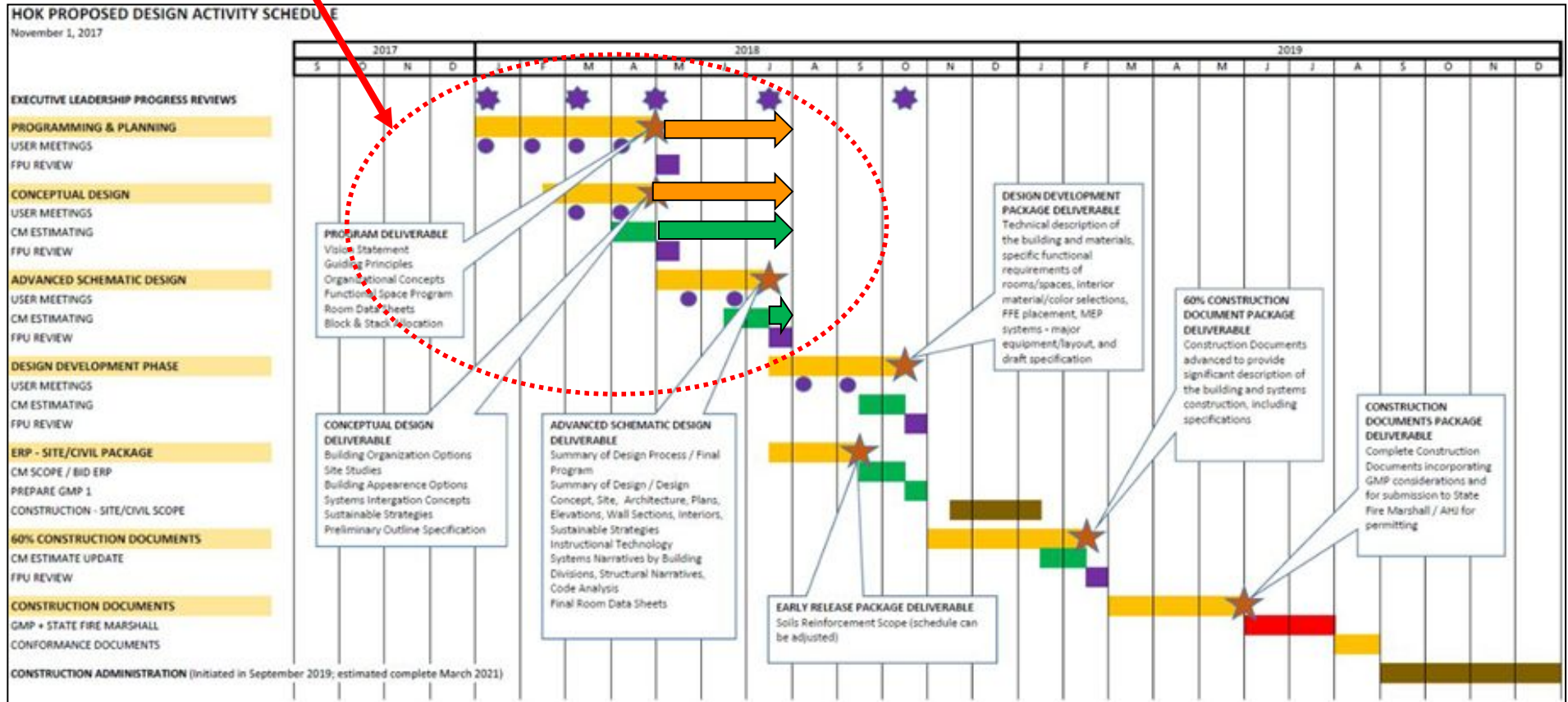
Tradeoffs & Recommendation

- **Delay construction and request PECO funds in the 2019 legislative session**
 - Little impact to the construction schedule
 - Maximizes carry forward funds for future buildings
 - Allows for potential building expansion
 - No guarantee of PECO funding in 2019
- **Commit carry forward funds to begin construction**
 - Risk that carry forward funding may be swept in 2019
 - Our ability to spend carry forward funding on capital construction ends FY2022
 - Expectation universities will use carry forward funds
 - Strengthens chances of PECO funding the remaining \$10.8M

Recommend an additional \$15.8M in carry forward funding be committed so ARC construction can begin immediately



ARC Schedule



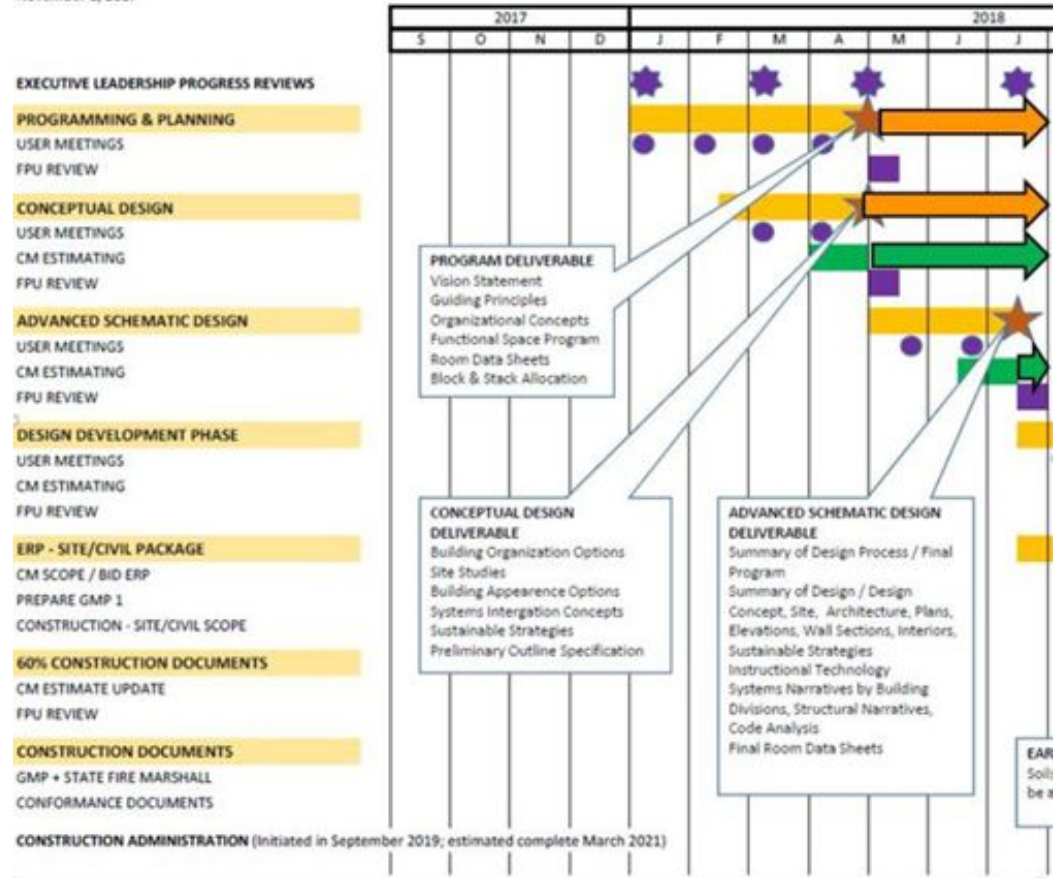


ARC Schedule Update

- **Design**
 - RFQ complete
 - Contract negotiation complete
 - Design update
 - Programming in progress
 - Conceptual Design in progress
- **Construction**
 - RFQ complete

HOK PROPOSED DESIGN ACTIVITY SCHEDULE

November 1, 2017



AGENDA ITEM: VII

**Florida Polytechnic University
Board of Trustees
Finance and Facilities Committee
May 22 & 23, 2018**

Subject: Financial Review and 2018-2019 Budget Approval

Proposed Committee Action

Recommend approval of the Budget for Fiscal Year 2018-2019 to the Board of Trustees.

Background Information

Quarterly review of the University's financial position and results of operations for the nine months ended March 31, 2018 together with the review and approval of the budget for the fiscal year ending June 30, 2019.

Supporting Documentation:

1. PowerPoint Presentation

Fiscal Impact: \$90 million

Prepared by: Mark Mroczkowski, VP & CFO



3rd Quarter Financial Review FY 2018-19 Budget Approval

**Mark Mroczkowski
May 22-23, 2018**



Financial Dashboard

9 Months Ended YOY Summary			Financial Strength		
Revenue	\$42,430,851	+10.20%	Metric	Florida Poly	Benchmark*
Expenses	\$37,203,475	+7.66%	Primary Reserve Ratio	119.35%	40%
Investments	\$46,098,780	-6.77%	Net Income Ratio	27.00%	2-4%
Carryforward	\$23,772,428	+31.91%	Return on Net Assets	2.20%	3-4%
Unrestricted	\$8,711,698	+13.61%	Viability Ratio	3,402.08%	125-200%
Auxiliaries	\$1,536,934	+128.64%			
Net Position	\$198,903,741	+4.43%			

Florida Poly has enjoyed financial growth and has sustainable financial strength with a composite financial index score of 35.79 compared to the benchmark of 10

*National Association of Colleges & University Business Officers (NACUBO) performance benchmarks



Outline

- Introduction
- **Q3 Financial Review**
- **FY 2018-19 Budget Request**
- **Summary**



Q3 Budget Update

(by Sources and Uses)

Summary of Sources

Education & General (E&G)	36,473,591
Florida Industrial & Phosphate Research Institute (FIPR)	2,748,444
Public Education Capital Outlay (PECO)	2,000,000
Educational Enhancement Trust Fund (Lottery)	243,148
Tuition & Fees (Out-of-state, Financial Aid, Transportation etc.)	2,706,363
Activity & Service Fees	278,886
Athletic Fees	223,489
Health Fees	151,631
Auxiliaries (Dining, Bookstore, Parking etc.)	5,698,372
Grants & Contracts	500,000
Total Revenue	51,023,924
Education & General (E&G) Carryforward	5,659,107
Public Education Capital Outlay (PECO) Carryforward	5,000,000
Total Other	10,659,107
Total Sources	61,683,031

FY 17-18 Budget	9 Months Budget 03/31/18	9 Months Actual 03/31/18	Budget Variance	9 Months Actual Prior Year	YOY Change
36,473,591	27,355,193	27,355,193	0%	26,144,735	5%
2,748,444	2,061,333	1,141,302	-45%	1,149,373	-1%
2,000,000	1,500,000	1,500,000	0%	3,811,765	-61%
243,148	182,361	182,361	0%	219,527	-17%
2,706,363	2,029,772	5,549,730	173%	3,302,799	68%
278,886	209,165	267,942	28%	807,514	-67%
223,489	167,617	214,716	28%	670,633	-68%
151,631	113,723	145,685	28%	433,658	-66%
5,698,372	4,273,779	4,616,249	8%	4,724,006	-2%
500,000	375,000	1,457,673	289%	617,033	136%
51,023,924	38,267,943	42,430,851	11%	41,881,040	1.31%
5,659,107	4,244,330	835,142	-80%	0	0%
5,000,000	3,750,000	0	-100%	0	0%
10,659,107	7,994,330	835,142	-90%	0	0%
61,683,031	46,262,273	43,265,993	-6%	41,881,040	3%

Summary of Uses

Salary & Benefits	28,620,934
Part-Time Employment (adjunct faculty, student workers etc.)	2,157,285
General Expense (instructional supplies, equipment, utilities etc.)	15,833,739
Other (capital projects, scholarships, depreciation etc.)	14,426,830
Total Uses	61,038,788

FY 17-18 Budget	9 Months Budget 03/31/18	9 Months Actual 03/31/18	Budget Variance	9 Months Actual Prior Year	YOY Change
28,620,934	21,465,701	16,371,321	-24%	15,131,149	8%
2,157,285	1,617,964	1,467,746	-9%	1,213,274	21%
15,833,739	11,875,304	9,429,760	-21%	14,403,316	-35%
14,426,830	10,820,123	9,934,648	-8%	4,374,440	127%
61,038,788	45,779,091	37,203,475	-19%	35,122,179	5.93%



Variance Analysis

- **Significant Budget Variances**

- FIPR revenue is still down, but spending is in alignment with revenue collection.
- Tuition and fees are up due to availability of federal aid and other sources
- Grants & contracts is up due to research growth
- Faculty hiring is a multi-year plan and funds will roll-over

- **Significant YOY Actual Variances**

- State appropriated less PECO & lottery funds this year
- Tuition increased due to increase in financial aid pass-through
- Student fees decreased due to fee waivers
- Grants & contracts increased due to research growth
- Part-time employment increased with additional adjunct faculty and student workers
- Technology projects, scholarship expense and depreciation expense increased YOY consistent with campus growth



Q3 Budget Update

(by Division)

	FY 17-18 Budget	9 Months Budget 03/31/18	9 Months Actual 03/31/18	Budget Variance	9 Months Actual Prior Year	YOY Change
Board of Trustees	36,125	27,094	19,108	-29%	17,173	11%
Office of the President	1,061,232	795,924	794,561	0%	436,217	82%
Division of Academic Affairs	24,164,922	18,123,692	12,142,592	-33%	10,947,375	11%
Division of Finance & Admin	16,824,869	12,618,652	10,978,960	-13%	12,955,148	-15%
Division of Advancement	3,305,176	2,478,882	1,825,304	-26%	2,908,849	-37%
Division of General Counsel	827,951	620,963	566,446	-9%	537,509	5%
University Wide	14,818,513	11,113,885	10,876,503	-2%	7,319,908	49%
Total	61,038,788	45,779,091	37,203,475	-19%	35,122,179	6%



Variance Analysis

- **Significant Budget Variances**
 - Division variances are primarily due to position vacancies

- **Significant YOY Actual Variances**
 - President's Office increased due to new positions (ie Chief Audit Executive, Ombudsperson and Title IX)
 - Academic Affairs increase is due to faculty growth
 - Finance decreased with completion of Workday implementation and transfer of shared services
 - Advancement decreased due to reduction in Marketing budget
 - Technology projects, scholarship expense and depreciation expense increased YOY consistent with campus growth



Outline

- Introduction
- Q3 Financial Review
- **FY 2018-19 Budget Request**
- **Summary**



FY2018-19 Operating & Capital Proposed Budget

Summary of Sources

Education & General (E&G)
Florida Industrial & Phosphate Research Institute (FIPR)
Public Education Capital Outlay (PECO)
Educational Enhancement Trust Fund (Lottery)
Financial Aid
Tuition & Fees (net of waivers of \$4.3mm)
Activity & Service Fees
Athletic Fees
Health Fees
Auxiliaries (Dining, Bookstore, Parking etc.)
Grants & Contracts
Total Revenue
Education & General (E&G) Carryforward
Public Education Capital Outlay (PECO) Carryforward
Total Other
Total Sources

FY 17-18 Approved Budget	FY 18-19 Proposed Budget	Budget Variance
36,473,591	37,180,747	2%
2,748,444	2,945,111	7%
2,000,000	0	-100%
243,148	290,790	20%
0	7,000,000	100%
2,706,363	3,124,429	15%
278,886	305,289	9%
223,489	244,644	9%
151,631	165,973	9%
5,698,372	4,664,672	-18%
500,000	1,654,569	231%
51,023,924	57,576,224	13%
5,659,107	25,802,667	356%
5,000,000	7,000,000	40%
10,659,107	32,802,667	208%
61,683,031	90,378,891	47%

Summary of Uses

Salary & Benefits
Part-Time Employment (adjunct faculty, student workers etc.)
General Expense (instructional supplies, equipment, utilities etc.)
Capital Projects
Scholarships/Federal Aid
Depreciation/Other
Total Uses

FY 17-18 Approved Budget	FY 18-19 Proposed Budget	Budget Variance
28,620,934	28,923,465	1%
2,157,285	2,265,033	5%
15,833,739	19,150,492	21%
14,426,830	27,746,000	92%
0	7,000,000	100%
0	5,293,901	100%
61,038,788	90,378,891	21%



FY2018-19 Operating & Capital Proposed Budget

Summary of Sources

Education & General (E&G)
Florida Industrial & Phosphate Research Institute (FIPR)
Public Education Capital Outlay (PECO)
Educational Enhancement Trust Fund (Lottery)
Financial Aid
Tuition & Fees (net of waivers of \$4.3mm)
Activity & Service Fees
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Health Fees
Auxiliaries (Dining, Bookstore, Parking etc.)
Grants & Contracts
Total Revenue
Education & General (E&G) Carryforward
Public Education Capital Outlay (PECO) Carryforward
Total Other
Total Sources

FY 17-18 Approved Budget	FY 18-19 Proposed Budget	Budget Variance
36,473,591	37,180,747	2%
2,748,444	2,945,111	7%
2,000,000	0	-100%
243,148	290,790	20%
0	7,000,000	100%
2,706,363	3,124,429	15%
278,886	305,289	9%
223,489	244,644	9%
151,631	165,973	9%
5,698,372	4,664,672	-18%
500,000	1,654,569	231%
51,023,924	57,576,224	13%
5,659,107	10,082,667	78%
5,000,000	7,000,000	40%
10,659,107	17,082,667	60%
61,683,031	74,658,891	21%

Summary of Uses

Salary & Benefits
Part-Time Employment (adjunct faculty, student workers etc.)
General Expense (instructional supplies, equipment, utilities etc.)
Capital Projects
Scholarships/Federal Aid
Depreciation/Other
Total Uses

FY 17-18 Approved Budget	FY 18-19 Proposed Budget	Budget Variance
28,620,934	28,923,465	1%
2,157,285	2,265,033	5%
15,833,739	19,150,492	21%
14,426,830	12,026,000	-17%
0	7,000,000	100%
0	5,293,901	100%
61,038,788	74,658,891	21%



Variance Analysis

- **Significant Variances**

- State did not appropriate Public Education Capital Outlay (PECO) for FY 2018-19
- State increased lottery appropriation for FY 2018-19
- FY 2018-19 sources budget includes an estimated \$7mm in federal aid
- Auxiliaries revenue estimate decreased due to a one-time capital contribution in FY 2017-18
- Research activity continues to grow
- Education & General Carryforward as a source of funds is increased for funds committed to the Applied Research Center
- Public Education Capital Outlay (PECO) Carryforward is increased for funds committed to the Applied Research Center not used in 2017-18
- General expenses increase due to growth in faculty, staff and campus operations

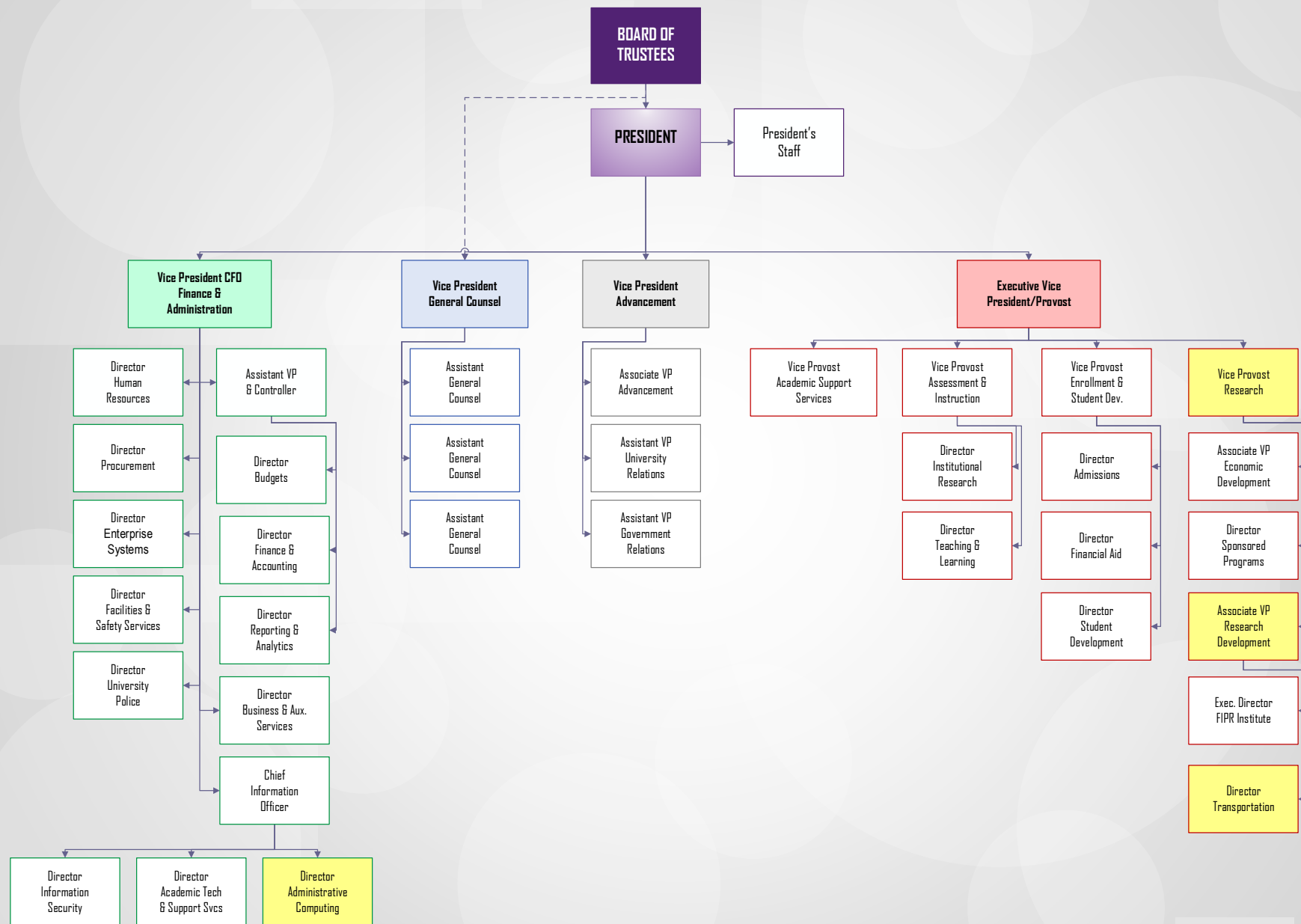
Action – Board of Trustees approve the FY 2018-19 Operating and Capital Budget



Summary

- **Revenue growth continues to outpace expenditure growth**
- **Investments continue to grow along with carryforward, unrestricted and auxiliary fund balances**
- **Net position growth remains consistent**
- **We are performing well on all key performance indicators**
- **Revenue is strong and we are operating within our approved budgeted expenditures**

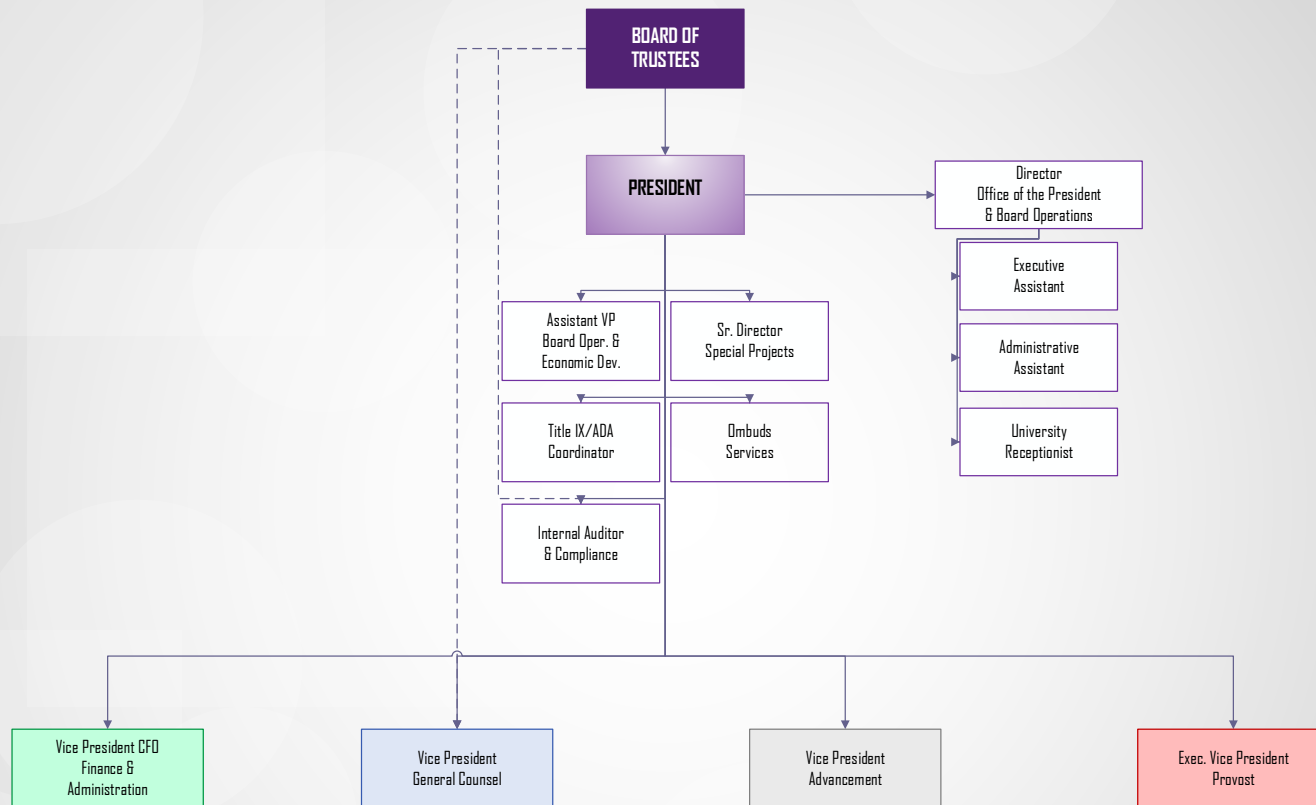
ADMINISTRATION OVERVIEW



LEGEND:
Vacant Positions

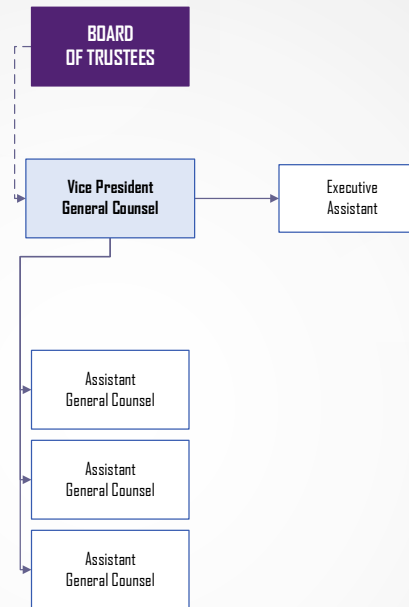
Florida Polytechnic University Organization Chart

OFFICE OF THE PRESIDENT

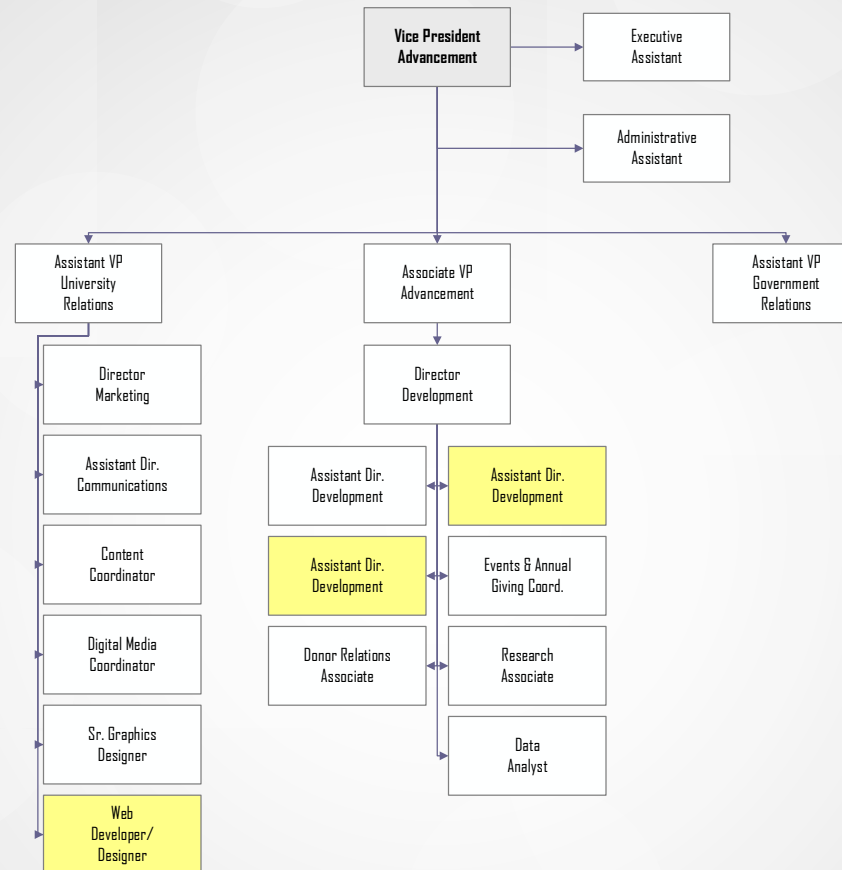


GENERAL COUNSEL DIVISION

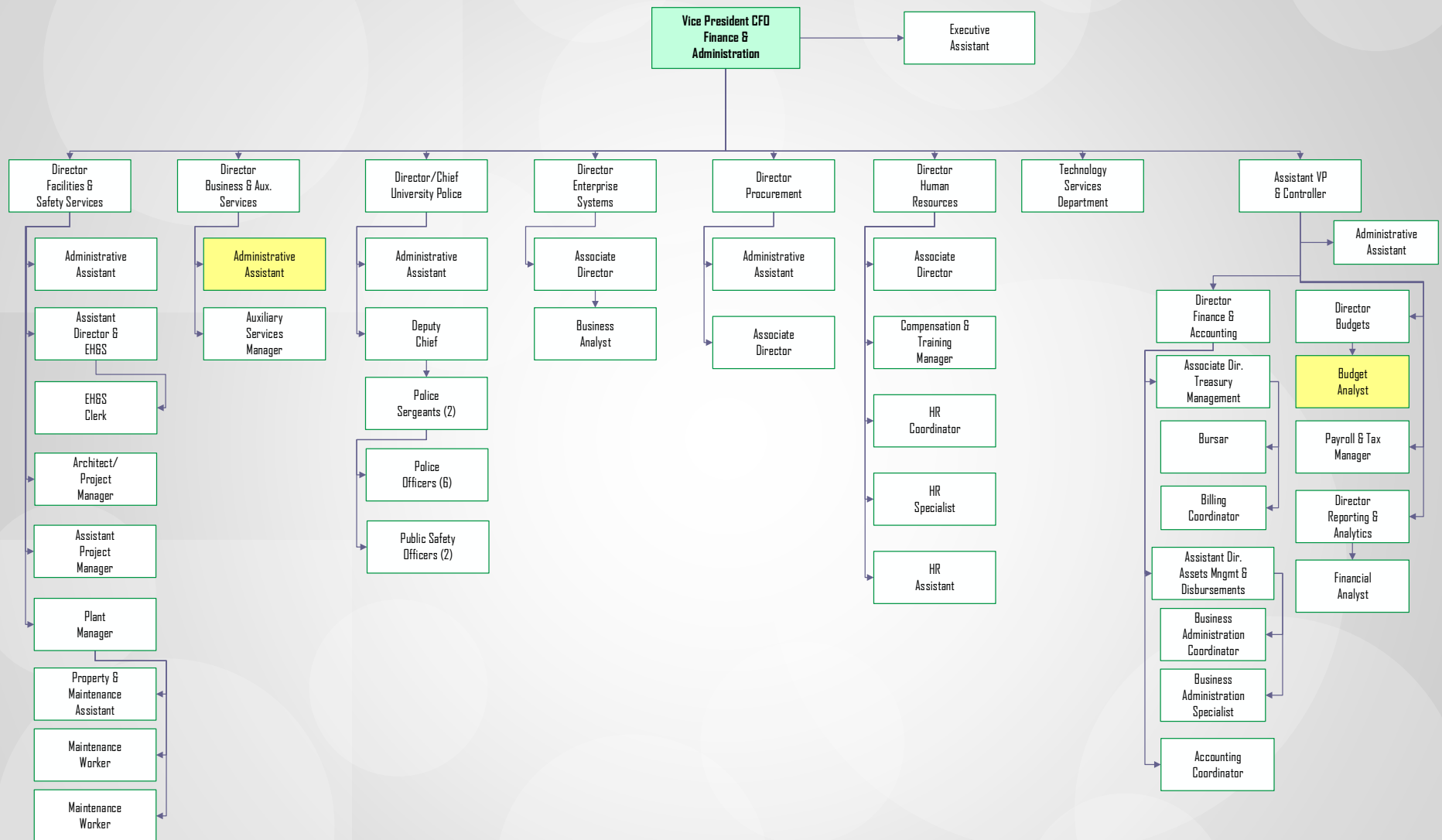
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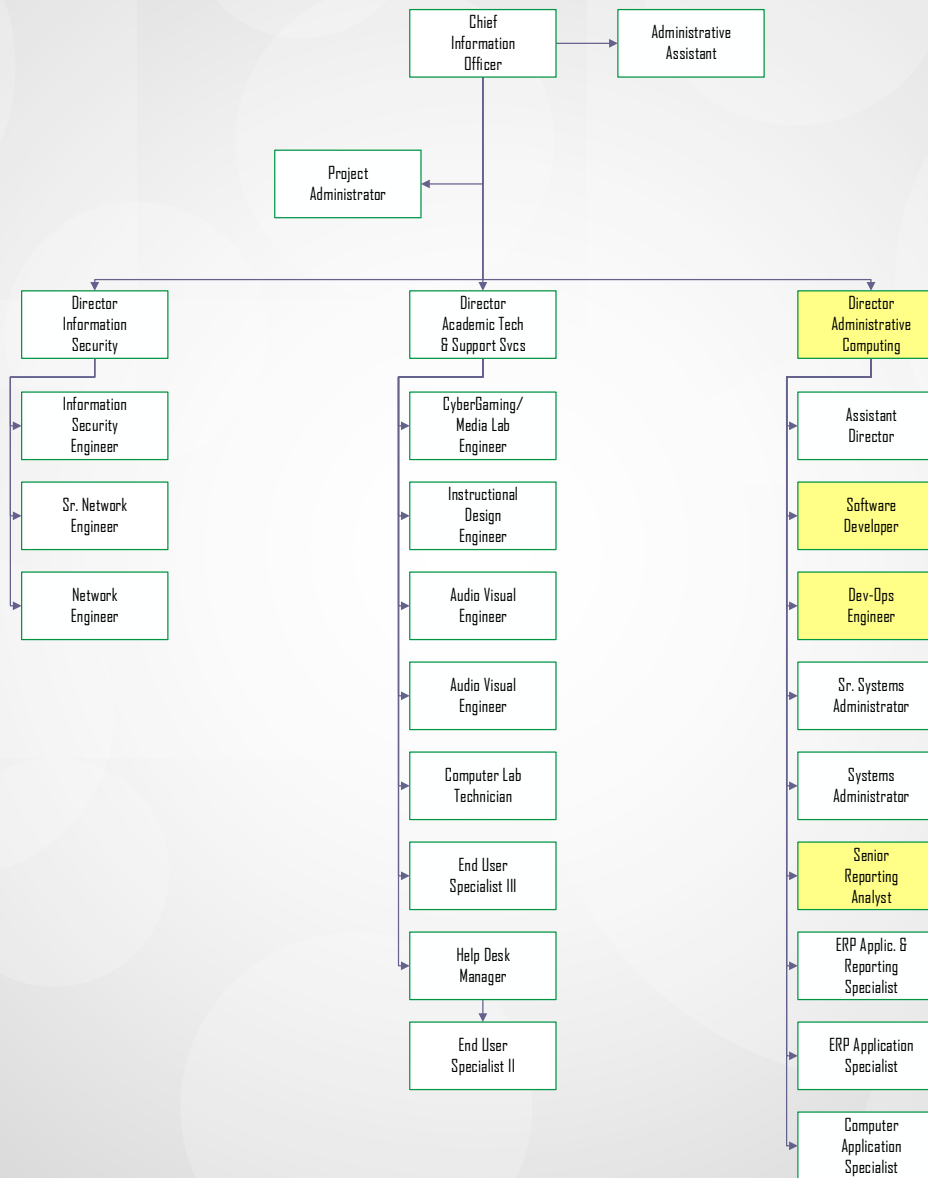
ADVANCEMENT DIVISION



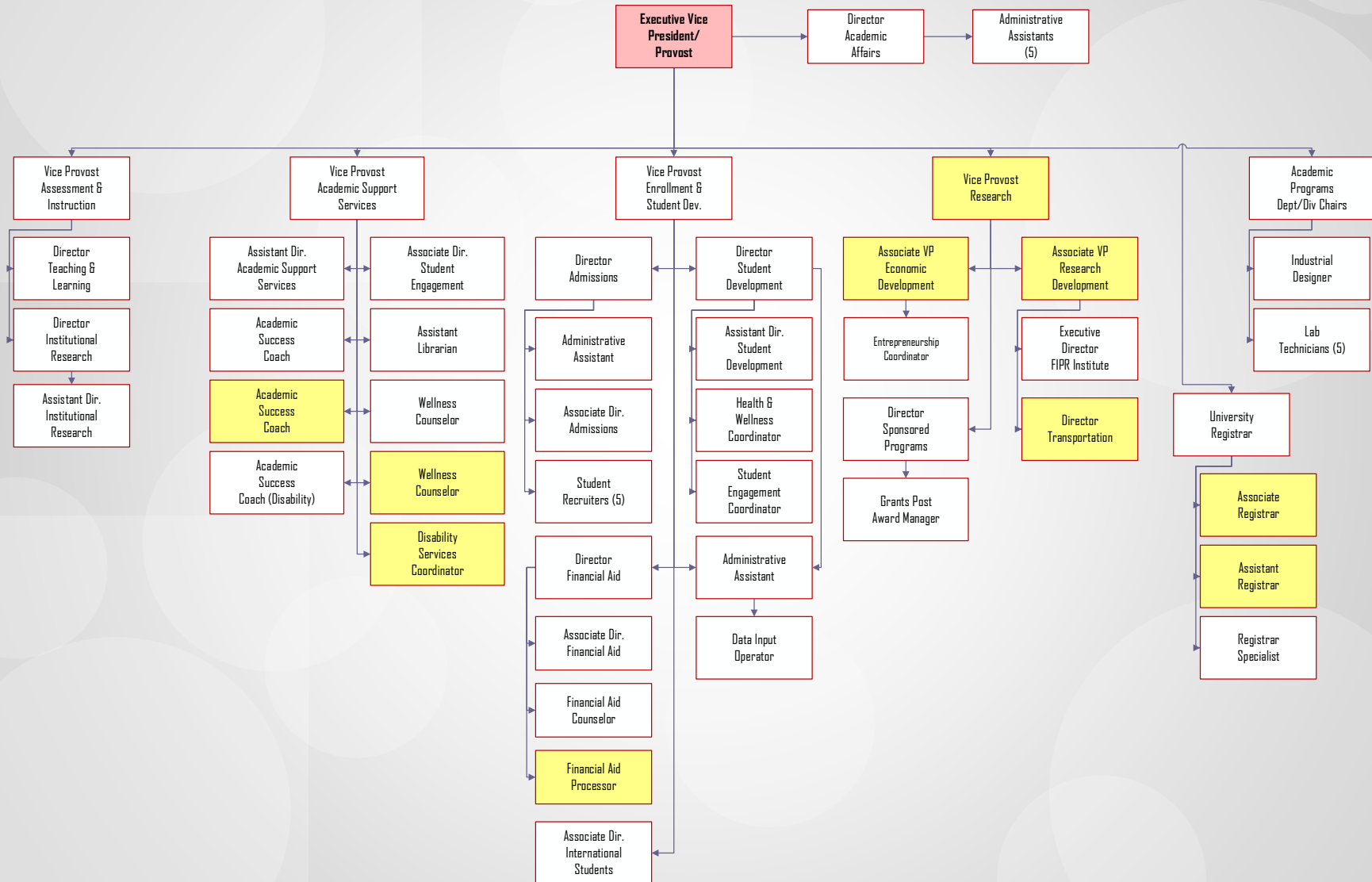
FINANCE & ADMINISTRATION DIVISION



TECHNOLOGY SERVICES DEPARTMENT



ACADEMIC AFFAIRS DIVISION



Master Board Book - 3. Finance and Facilities

For BOT Approval

Florida Polytechnic University																		
FY 2018-19 Budget Request (all Funds)																		
													FY 2018-19 Operating Budget Prop					
Cost Center Hierarchy Code	2017-2018 Operating Budget ALL SOURCES BUDGET	2017-2018 EXPENSES, COMMITMENT & OBLIGATION AS OF 04/12/2018	2017-2018 Operating Budget VARIANCE (Actual as of 4-12-18 vs Budget)	Variance %	FY 2018-19 Operating Budget E&G Fund 101 Budget	FY 2018-19 Operating Budget Salary & Benefit Budget NON-OPS+NEW POSITIONS	FY 2018-19 Operating Budget OPS Budget	FY 2018-19 Operating Budget EXPENSE BUDGET	FY 2018-19 Operating Budget Request - ALL Sources	FY 2018-19 Budget Increase/(Decrease) over FY 2017-2018 Budget	Variance %	"REQUESTED" Positions (COUNT OF NEW POSITIONS)	E&G FUND 101	FIPR FUND 102	FEES FUND 105	AUXILIARIES FUND 104		
1001 Board of Trustees	36,125	19,296	(16,829)	-46.6%	33,950	-	-	33,950	33,950	(2,175)	-6.0%		33,950	-	-	-		
TOTAL OF BOARD OF TRUSTEES				36,125	19,296	(16,829)	-46.6%	33,950	-	33,950	33,950	(2,175)	-6.0%	33,950	-	-	-	
1002 Office of the President	772,562	993,210	220,648	28.6%	1,015,602	835,602	-	180,000	1,015,602	243,040	31.5%		1,015,602	-	-	-		
1086 Audit & Compliance	167,200	153,794	(13,406)	-8.0%	156,124	146,124	-	10,000	156,124	(11,076)	-6.6%		156,124	-	-	-		
1050 Ombudsman	18,220	7,130	(11,090)	-60.9%	24,705	19,305	-	5,400	24,705	6,485	35.6%		24,705	-	-	-		
1085 Title IX	103,250	81,429	(21,821)	-21.1%	174,305	112,225	-	62,080	174,305	71,055	68.8%		174,305	-	-	-		
TOTAL OFFICE OF THE PRESIDENT				1,061,232	1,235,563	174,331	16.4%	1,370,737	1,113,257	-	257,480	1,370,737	309,505	29.2%	1,370,737	-	-	-
ACADEMIC AFFAIRS DIVISION																		
OFFICE OF THE EXEC. VICE PRESIDENT & PROVOST																		
1003 Office of the Provost Academic Affairs	7,834,071	1,198,381	(6,635,690)	-84.7%	6,866,832	4,908,757	1,217,800	740,275	6,866,832	(967,239)	-12.3%		6,866,832	-	-	-		
1004 College of Engineering	2,127,559	3,094,534	966,975	45.4%	2,716,636	2,595,136	-	121,500	2,716,636	589,077	27.7%		2,716,636	-	-	-		
1005 College of Innovation & Technology	2,066,671	2,396,971	330,300	16.0%	2,348,516	2,215,516	-	133,000	2,348,516	281,845	13.6%		2,348,516	-	-	-		
1006 General Education	1,695,105	2,079,081	383,976	22.7%	1,940,239	1,829,239	-	111,000	1,940,239	245,134	14.5%		1,940,239	-	-	-		
Sub-Total OF THE OFFICE OF THE EXEC.				13,723,406	8,768,967	(4,954,439)	-36.1%	13,872,223	11,548,648	1,217,800	1,105,775	13,872,223	148,817	1.1%	13,872,223	-	-	-
ACADEMIC AFFAIRS - VICE PROVOST																		
1011 Registrar	387,082	253,273	(133,809)	-34.6%	483,327	347,790	34,020	105,787	487,597	100,515	26.0%		483,327	-	4,270	-		
1009 Assessment & Instruction	226,180	200,342	(25,838)	-11.4%	648,338	498,688	12,000	149,650	660,338	434,158	192.0%		648,338	-	-	-		
1010 Assessment & Instruction	247,973	217,537	(30,436)	-12.3%	-	-	-	-	-	(247,973)	-100.0%		-	-	-	-		
1012 Academic Support Services	1,003,829	738,991	(264,838)	-26.4%	731,706	534,284	24,000	339,395	897,679	(106,150)	-10.6%		731,706	-	165,973	-		
1089 Library	-	0	0		254,979	74,460	-	180,519	254,979	254,979			254,979	-	-	-		
1090 Disabilities	-	0	0		26,000	-	-	26,000	26,000	26,000			26,000	-	-	-		
1091 Career	-	0	0		75,696	17,696	-	58,000	75,696	75,696			75,696	-	-	-		
1007 Labs	354,014	181,758	(172,256)	-48.7%	-	-	-	-	-	(354,014)	-100.0%		-	-	-	-		
Sub-Total Academic Services				2,219,078	1,591,900	(627,178)	-28.3%	2,220,046	1,472,918	58,020	859,351	2,402,289	183,211	8.3%	2,220,046	-	170,243	-
ENROLLMENT & STUDENT DEVELOPMENT																		
1014 Enrollment Services	1,017,760	994,283	(23,477)	-2.3%	1,273,309	317,709	-	955,600	1,273,309	255,549	25.1%		1,273,309	-	-	-		
1015 Admissions	1,247,473	868,863	(378,610)	-30.4%	995,120	665,716	107,625	221,779	995,120	(252,353)	-20.2%		995,120	-	-	-		
1017 International Students	166,581	158,221	(8,360)	-5.0%	184,593	76,413	36,180	77,000	189,593	23,012	13.8%		184,593	-	5,000	-		
1016 Financial Aid	431,757	402,073	(29,684)	-6.9%	451,182	364,282	10,400	205,911	580,593	148,836	34.5%		451,182	-	129,411	-		
Sub-Total Enrollment & Student Development				2,863,571	2,423,441	(440,130)	-15.4%	2,904,204	1,424,120	154,205	1,460,290	3,038,615	175,044	6.1%	2,904,204	-	134,411	-

Master Board Book - 3. Finance and Facilities

For BOT Approval

Florida Polytechnic University																
FY 2018-19 Budget Request (all Funds)																
													FY 2018-19 Operating Budget Prop			
Cost Center Hierarchy Code	2017-2018 Operating Budget ALL SOURCES BUDGET	2017-2018 EXPENSES, COMMITMENT & OBLIGATION AS OF 04/12/2018	2017-2018 Operating Budget VARIANCE (Actual as of 4-12-18 vs Budget)	Variance %	FY 2018-19 Operating Budget E&G Fund 101 Budget	FY 2018-19 Operating Budget Salary & Benefit Budget NON-OPS+NEW POSITIONS	FY 2018-19 Operating Budget OPS Budget	FY 2018-19 Operating Budget EXPENSE BUDGET	FY 2018-19 Operating Budget Request - ALL Sources	FY 2018-19 Budget Increase/(Decrease) over FY 2017-2018 Budget	Variance %	"REQUESTED" Positions (COUNT OF NEW POSITIONS)	E&G FUND 101	FIPR FUND 102	FEES FUND 105	AUXILIARIES FUND 104
STUDENT DEVELOPMENT																
1018 Student Development	483,420	352,209	(131,211)	-27.1%	377,498	236,058	27,360	114,080	377,498	(105,922)	-21.9%		377,498	-	-	-
1018 Student Development	15,050	13,687	(1,363)	-9.1%	-	-	-	91,375	91,375	76,325	507.1%		-	-	91,375	-
1018 Student Development	170,576	140,505	(30,071)	-17.6%	-	-	-	-	-	(170,576)	-100.0%		-	-	-	-
1018 Student Development	278,886	216,715	(62,171)	-22.3%	-	-	-	305,289	305,289	26,403	9.5%		-	-	305,289	-
1018 Student Development	223,489	132,986	(90,503)	-40.5%	-	82,529	149,760	210,000	442,289	218,800	97.9%		-	-	442,289	-
1014 Enrollment Services	10,000	20,326	10,326	103.3%	-	-	-	50,000	50,000	40,000	400.0%		-	-	50,000	-
Sub-Total Student Development	1,181,421	876,428	(304,993)	-25.8%	377,498	318,587	177,120	770,744	1,266,451	85,030	7.2%		377,498	-	888,953	-
RESEARCH																
1021 Entrepreneurship	433,111	363,747	(69,364)	-16.0%	263,572	175,272	30,000	58,300	263,572	(169,539)	-39.1%		263,572	-	-	-
1022 Grants & Contracts	230,360	337,185	106,825	46.4%	200,083	175,083	-	25,000	200,083	(30,277)	-13.1%		200,083	-	-	-
1049 Health Informatics	426,505	404,377	(22,128)	-5.2%	442,284	335,284	100,000	7,000	442,284	15,779	3.7%		442,284	-	-	-
1056 AMI	-	-	-		500,000	246,000	54,000	200,000	500,000	500,000			500,000	-	-	-
1061 Research Programs	-	0	0		-	-	-	-	-	-			-	-	-	-
1084 Applied Economic Analysis	75,000	0	(75,000)	-100.0%	75,000	43,418	-	31,582	75,000	-	0.0%		75,000	-	-	-
Subtotal Research	1,164,976	1,105,309	(59,667)	-5.1%	1,480,939	975,057	184,000	321,882	1,480,939	315,963	27.1%		1,480,939	-	-	-
TOTAL DIVISION OF ACADEMIC AFFAIRS	21,152,452	14,766,046	(6,386,406)	-30.2%	20,854,910	15,739,330	1,791,145	4,518,042	22,060,516	908,064	4.3%		20,854,910	-	1,193,607	-
1020 FIPR Institute	3,012,470	2,698,287	(314,183)	-10.4%	-	1,465,349	204,012	1,449,200	3,118,561	106,091	3.5%		-	2,945,111	-	173,450
ADVANCEMENT DIVISION																
1035 University Relations	1,435,905	1,053,737	(382,168)	-26.6%	1,883,917	784,397	-	1,099,520	1,883,917	448,012	31.2%		1,883,917	-	-	-
1036 External Relations	291,364	165,031	(126,333)	-43.4%	-	-	-	-	-	(291,364)	-100.0%		-	-	-	-
1037 Government Affairs	332,141	285,768	(46,373)	-14.0%	188,983	168,983	-	20,000	188,983	(143,158)	-43.1%		188,983	-	-	-
1034 Development	1,245,766	1,234,594	(11,172)	-0.9%	1,232,276	1,003,724	41,472	187,080	1,232,276	(13,490)	-1.1%		1,232,276	-	-	-
TOTAL ADVANCEMENT DIVISION	3,305,176	2,739,131	(566,045)	-17.1%	3,305,176	1,957,104	41,472	1,306,600	3,305,176	0	0.0%		3,305,176	-	-	-
FINANCE & ADMINISTRATION																
1058 Office of the CFO	336,202	365,286	29,084	8.7%	354,723	299,923	41,040	13,760	354,723	18,521	5.5%		354,723	-	-	-
1057 Central Administration	1,378,153	1,142,568	(235,585)	-17.1%	1,250,000	-	-	1,335,000	1,335,000	(43,153)	-3.1%		1,250,000	-	85,000	-
1059 Risk Management	75,857	64,493	(11,364)	-15.0%	100,000	-	-	100,000	100,000	24,143	31.8%		100,000	-	-	-
1027 Enterprise Systems	2,706,349	2,188,511	(517,838)	-19.1%	1,175,292	355,212	-	2,290,080	2,645,292	(61,057)	-2.3%		1,175,292	-	-	-
1024 Facilities & Safety Services	6,048,548	2,898,125	(3,150,423)	-52.1%	3,040,283	669,550	-	5,440,733	6,110,283	61,735	1.0%		3,040,283	-	-	-

Master Board Book - 3. Finance and Facilities

For BOT Approval

Florida Polytechnic University																
FY 2018-19 Budget Request (all Funds)																
													FY 2018-19 Operating Budget Prop			
Cost Center Hierarchy Code	2017-2018 Operating Budget ALL SOURCES BUDGET	2017-2018 EXPENSES, COMMITMENT & OBLIGATION AS OF 04/12/2018	2017-2018 Operating Budget VARIANCE (Actual as of 4-12-18 vs Budget)	Variance %	FY 2018-19 Operating Budget E&G Fund 101 Budget	FY 2018-19 Operating Budget Salary & Benefit Budget NON-OPS+NEW POSITIONS	FY 2018-19 Operating Budget OPS Budget	FY 2018-19 Operating Budget EXPENSE BUDGET	FY 2018-19 Operating Budget Request - ALL Sources	FY 2018-19 Budget Increase/(Decrease) over FY 2017-2018 Budget	Variance %	"REQUESTED" Positions (COUNT OF NEW POSITIONS)	E&G FUND 101	FIPR FUND 102	FEES FUND 105	AUXILIARIES FUND 104
1019 Environmental Health & Safety	210,016	174,463	(35,553)	-16.9%	212,764	129,764	-	83,000	212,764	2,748	1.3%		212,764	-	-	-
1026 Public Safety & Police	982,850	995,483	12,633	1.3%	960,496	891,868	-	147,234	1,039,102	56,252	5.7%		960,496	-	-	78,607
1032 Human Resources	589,899	500,222	(89,677)	-15.2%	626,208	486,180	38,189	101,840	626,208	36,309	6.2%		626,208	-	-	-
1028 Procurement	327,270	314,572	(12,698)	-3.9%	355,422	320,144	-	35,278	355,422	28,152	8.6%		355,422	-	-	-
Sub-total Finance & Administration	12,655,144	8,643,724	(4,011,420)	-31.7%	8,075,189	3,152,642	79,229	9,546,925	12,778,796	123,652	1.0%		8,075,189	-	85,000	78,607
Finance & Accounting																
1029 Bursar	100,354	53,009	(47,345)	-47.2%	103,289	35,176	20,800	47,313	103,289	2,935	2.9%		103,289	-	-	-
1023 Finance & Administration		158,431	158,431		529,762	453,682	-	201,080	654,762	654,762			529,762	-	-	-
1023 Finance & Administration	523,122	400,395	(122,727)	-23.5%	-	408,544	-	35,200	443,744	(79,378)	-15.2%		-	-	-	443,744
1030 Budget	247,826	229,119	(18,707)	-7.5%	248,444	241,444	-	7,000	248,444	618	0.2%		248,444	-	-	-
1031 Finance & Accounting	1,077,531	1,316,032	238,501	22.1%	561,837	532,712	-	32,275	564,987	(512,544)	-47.6%		561,837	-	-	500
Sub-Total Finance & Accounting	1,948,833	2,156,987	208,154	52.7%	1,443,333	1,671,559	20,800	322,868	2,015,227	66,394	3.4%		1,443,333	-	-	444,244
Business Services																
Auxiliary: Bookstore	7,180	7,350	170	2.4%	-	-	-	27,660	27,660	20,480	285.2%		-	-	-	27,660
Auxiliary: Campus Mail	2,365	915	(1,450)	-61.3%	-	-	-	600	600	(1,765)	-74.6%		-	-	-	600
Auxiliary: Copy Center	3,980	1,424	(2,556)	-64.2%	-	-	8,840	1,160	10,000	6,020	151.3%		-	-	-	10,000
Auxiliary: Campus Ding	2,522,575	2,538,858	16,283	0.6%	-	254,652	-	2,460,800	2,715,452	192,877	7.6%		-	-	-	2,715,452
Auxiliary: Parking & Transportation	237,677	154,468	(83,209)	-35.0%	-	117,308	17,680	122,300	257,288	19,611	8.3%		-	-	-	257,288
Auxiliary: Poly Card	20,400	837	(19,563)	-95.9%	-	-	-	4,000	4,000	(16,400)	-80.4%		-	-	-	4,000
Auxiliary: Housing	-	78,756	78,756		-	-	-	112,756	112,756	112,756			-	-	-	112,756
Auxiliary: Concessions	4,400	14,175	9,775	222.2%	-	-	-	21,000	21,000	16,600	377.3%		-	-	-	21,000
Auxiliary: Rebates	-	-	-		-	-	-	-	-	-	0.0%		-	-	-	-
Sub-Total Business Services	2,798,577	2,796,782	(1,795)	-0.1%	-	371,960	26,520	2,750,276	3,148,756	350,179	12.5%		-	-	-	3,148,756
TECHNOLOGY SERVICES																
1043 Technology Services	1,625,123	1,142,631	(482,492)	-29.7%	984,470	427,470	-	607,000	1,034,470	(590,653)	-36.3%		984,470	-	-	-
1045 Administrative Computing	1,653,439	819,017	(834,422)	-50.5%	1,203,613	1,015,713	-	187,900	1,203,613	(449,826)	-27.2%		1,203,613	-	-	-
1044 User Services	1,063,806	832,815	(230,991)	-21.7%	931,522	672,910	89,856	461,423	1,224,189	160,383	15.1%		931,522	-	-	-
1041 Technology Services	369,135	257,429	(111,706)	-30.3%	901,445	346,945	-	654,760	1,001,705	632,570	171.4%		901,445	-	100,260	-
Sub-Total Department of Technology Services	4,711,503	3,051,892	(1,659,611)	-35.2%	4,021,050	2,463,038	89,856	1,885,083	4,463,977	(273,526)	-5.8%		4,021,050	-	100,260	-
ADMINISTRATION DIVISION	22,114,057	16,649,386	(5,464,672)	-24.7%	13,539,572	7,659,199	216,405	14,505,152	22,406,755	266,698	1.2%		13,539,572	-	185,260	3,671,606
GENERAL COUNSEL DIVISION																

Master Board Book - 3. Finance and Facilities

For BOT Approval

Florida Polytechnic University																
FY 2018-19 Budget Request (all Funds)																
													FY 2018-19 Operating Budget Prop			
Cost Center Hierarchy Code	2017-2018 Operating Budget ALL SOURCES BUDGET	2017-2018 EXPENSES, COMMITMENT & OBLIGATION AS OF 04/12/2018	2017-2018 Operating Budget VARIANCE (Actual as of 4-12-18 vs Budget)	Variance %	FY 2018-19 Operating Budget E&G Fund 101 Budget	FY 2018-19 Operating Budget Salary & Benefit Budget NON-OPS+NEW POSITIONS	FY 2018-19 Operating Budget OPS Budget	FY 2018-19 Operating Budget EXPENSE BUDGET	FY 2018-19 Operating Budget Request - ALL Sources	FY 2018-19 Budget Increase/(Decrease) over FY 2017-2018 Budget	Variance %	"REQUESTED" Positions (COUNT OF NEW POSITIONS)	E&G FUND 101	FIPR FUND 102	FEES FUND 105	AUXILIARIES FUND 104
1033 General Counsel	827,951	789,999	(37,952)	-4.6%	800,727	575,227	-	225,500	800,727	(27,224)	-3.3%		800,727	-	-	-
TOTAL GENERAL COUNSEL DIVISION	827,951	789,999	(37,952)	-4.6%	800,727	575,227	-	225,500	800,727	(27,224)	-3.3%		800,727	-	-	-
Salary Increases	470,763		(470,763)		414,000	414,000			414,000	(56,763)	-12.1%		414,000			
FIPR Capital Project	165,000															
Auxiliary Capital Project	1,602,773															
FIPR	290,789															
ARC - Capital Project									5,000,000							
Grants & Contracts									1,654,569							
PECO	7,000,000								7,000,000							
Financial Aid									7,000,000							
TOTAL BUDGET REQUEST	61,038,788	38,897,707	(13,082,520)	-7.2%	40,319,071	28,923,466	2,253,033	22,295,923	74,164,991	1,504,196	2.5%		40,319,071	2,945,111	1,378,867	3,845,056
REVENUES/ALLOCATIONS																
Appropriation - Operating Funds	36,473,591								37,180,747							
Lottery Funds	243,148								290,790							
Tuition	2,368,638								2,659,113							
FIPR	2,548,023								2,744,690							
FIPR Shared Service	200,421								200,421							
Carry Forward	5,659,107								4,982,667							
Carry Forward -- ARC									5,000,000							
Fees	991,731								1,181,222							
Auxiliary	5,698,372								4,664,672							
Grants & Contracts	500,000								1,654,569							
Financial Aid									7,000,000							
PECO	7,000,000								7,000,000							
TOTAL REVENUES	61,683,031								74,558,891							

For BOT Approval

[illegible]

For BOT Approval

[illegible]

For BOT Approval

Used BUDGET by Fund Sources			
CARRY FORWARD FUND 107	Other Restricted Fund	Financial Aid	PECO Fund
-	-	-	
-	-	-	
-	-	-	
-	-	-	
4,540,000	-	-	
-	-	-	
100,000	25,000	-	
-	-	-	
-	-	-	
-	2,650	-	
100,000	27,650	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
-	-	-	
50,000	-	-	
-	-	-	
292,667	-	-	
-	-	-	
342,667	-	-	
4,982,667	27,650	-	

For BOT Approval

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FY 2017-18 v

COST CENTER HIERARCHY	Cost Center Hierarchy Code
BOARD OF TRUSTEES	1001 Board of Trustees
TOTAL OF BOARD OF TRUSTEES	TOTAL OF BOARD OF TRUSTEES
OFFICE OF PRESIDENT	
Office of the President	1002 Office of the President
Audit & Compliance	1086 Audit & Compliance
Ombudsman	1050 Ombudsman
Title IX	1085 Title IX
TOTAL OFFICE OF THE PRESIDENT	TOTAL OFFICE OF THE PRESIDENT
ACADEMIC AFFAIRS DIVISION	ACADEMIC AFFAIRS DIVISION
OFFICE OF THE EXEC. VICE PRESIDENT	OFFICE OF THE EXEC. VICE PRESIDENT & PROVOST
Office of the Provost Academic Affairs	1003 Office of the Provost Academic Affairs
College of Engineering	1004 College of Engineering
College of Innovation & Technology	1005 College of Innovation & Technology
General Education	1006 General Education
Sub-Total OF THE OFFICE OF THE EXEC. VICE PRESIDENT& PROVOST	Sub-Total OF THE OFFICE OF THE EXEC. VICE PRESIDENT& PROVOST
ACADEMIC AFFAIRS - VICE PROVOST	ACADEMIC AFFAIRS - VICE PROVOST
Registrar	1011 Registrar
Institutional Effectiveness / SACS	1009 Assessment & Instruction
Institutional Research	1010 Assessment & Instruction
Academic Support Services	1012 Academic Support Services
Library	1089 Library
Disabilities	1090 Disabilities

Career	1091 Career
Labs	1007 Labs
Sub-Total Academic Services	Sub-Total Academic Services
<hr/>	
ENROLLMENT & STUDENT DEVELOPMENT	ENROLLMENT & STUDENT DEVELOPMENT
Enrollment Services	1014 Enrollment Services
Admissions	1015 Admissions
International Students(Check!!!)	1017 International Students
Financial Aid Fee	1016 Financial Aid
Sub-Total Enrollment & Student Development	Sub-Total Enrollment & Student Development
<hr/>	
STUDENT DEVELOPMENT	STUDENT DEVELOPMENT
Student Development	1018 Student Development
Student Development -Orientation	1018 Student Development
Student Development - Health Services	1012 Academic Support Services
Student Development - Student Government	1018 Student Development
Student Development -Athletics	1018 Student Development
Application Fee	1014 Enrollment Services
Sub-Total Student Development	Sub-Total Student Development
<hr/>	
RESEARCH	RESEARCH
Industry Partnerships Entrepreneurship	1021 Entrepreneurship
Grants & Contracts	1022 Grants & Contracts
Research (Health Informatics)	1049 Health Informatics
Industry Partnerships	1056 AMI
Research Program	1061 Research Programs
Applied Economic Analysis (FPLI)	1084 Applied Economic Analysis
Subtotal Research	Subtotal Research
<hr/>	
TOTAL DIVISION OF ACADEMIC AFFAIRS	TOTAL DIVISION OF ACADEMIC AFFAIRS
<hr/>	

FIPR Institute	1020 FIPR Institute
ADVANCEMENT DIVISION	ADVANCEMENT DIVISION
Marketing & Communications	1035 University Relations
External Relations	1036 External Relations
Government Affairs	1037 Government Affairs
Advancement	1034 Development
TOTAL ADVANCEMENT DIVISION	TOTAL ADVANCEMENT DIVISION
FINANCE & ADMINISTRATION	FINANCE & ADMINISTRATION
Office of the CFO	1058 Office of the CFO
Central Administration	1057 Central Administration
Risk Management	1059 Risk Management
Special Projects / ERP	1027 Enterprise Systems
Facilities & Safety Services	1024 Facilities & Safety Services
Environmental Health & Safety	1019 Environmental Health & Safety
Public Safety & Police	1026 Public Safety & Police
Human Resources	1032 Human Resources
Procurement	1028 Procurement
Sub-total Finance & Administration	Sub-total Finance & Administration
University Bursar Office	Finance & Accounting
University Bursar Office	1029 Bursar
Finance & Admin	1023 Finance & Administration
Finance Auxiliary	1023 Finance & Administration
Budget	1030 Budget
Finance & Accounting	1031 Finance & Accounting
Sub-Total Finance & Accounting	Sub-Total Finance & Accounting
Business Services	Business Services

Auxiliary: Bookstore	Auxiliary: Bookstore
Auxiliary: Campus Mail	Auxiliary: Campus Mail
Auxiliary: Copy Center	Auxiliary: Copy Center
Auxiliary: Campus Ding	Auxiliary: Campus Ding
Auxiliary: Parking & Transportation	Auxiliary: Parking & Transportation
Auxiliary: Poly Card	Auxiliary: Poly Card
Auxiliary: Housing	Auxiliary: Housing
Auxiliary: Concessions	Auxiliary: Concessions
Auxiliary: Rebates	Auxiliary: Rebates
Sub-Total Business Services	Sub-Total Business Services
TECHNOLOGY SERVICES	TECHNOLOGY SERVICES
Information Security	1043 Technology Services
Administrative Computing	1045 Administrative Computing
User Services	1044 User Services
Technology Fee	1041 Technology Services
Sub-Total Department of Technology Services	Sub-Total Department of Technology Services
TOTAL FINANCE & ADMINISTRATION DIVISION	TOTAL FINANCE & ADMINISTRATION DIVISION
GENERAL COUNSEL DIVISION	GENERAL COUNSEL DIVISION
General Counsel	1033 General Counsel
TOTAL GENERAL COUNSEL DIVISION	TOTAL GENERAL COUNSEL DIVISION
TOTAL BUDGET REQUEST	TOTAL BUDGET REQUEST

Florida Polytechnic University

s FY 2018-19 Budgeted FTE (all Funds)

SELF-BALANCING WORKTAG	FY 2017-18 FTE	FY 2018-19 FTE	FY 2018-19 FTE Increase/(Decrease) over FY 2017-2018 FTE	Variance %
	4.00	6.47	2.47	61.8%
	1.00	1.00	-	0.0%
		0.20	0.20	
	1.00	1.00	-	0.0%
	6.00	8.67	2.67	44.5%

OVOST

	54.00	33.00	(21.00)	-38.9%
	17.00	24.11	7.11	41.8%
	18.00	20.29	2.29	12.7%
	20.90	22.00	1.10	5.3%
	109.90	99.40	(10.50)	-9.6%

	4.00	4.00	-	0.0%
	1.00	4.00	3.00	300.0%
	2.00		(2.00)	-100.0%
	6.50	6.00	(0.50)	-7.7%
		1.00	1.00	
			-	

		0.25	0.25	
	5.00		(5.00)	-100.0%
	18.50	15.25	(3.25)	-17.6%
<hr/>				
	1.00	3.00	2.00	200.0%
	10.00	10.00	-	0.0%
	1.00	1.00	-	0.0%
	3.00	5.00	2.00	66.7%
	15.00	19.00	4.00	26.7%
<hr/>				
	3.50	3.40	(0.10)	-2.9%
Orientation			-	
Health Services	1.00	1.00	-	0.0%
Student Government	0.50		(0.50)	-100.0%
Athletics	1.00	1.60	0.60	60.0%
Application Fees			-	
	6.00	6.00	-	0.0%
	2.00	3.00	1.00	50.0%
	1.00	2.00	1.00	100.0%
	2.00	1.98	(0.02)	-1.0%
		1.00	1.00	
			-	
			-	
	5.00	7.98	2.98	59.6%
<hr/>				
	154.40	147.63	(6.77)	-4.4%
<hr/>				

	14.00	17.00	3.00	21.4%
	8.00	9.00	1.00	12.5%
	1.50		(1.50)	-100.0%
	2.50	1.00	(1.50)	-60.0%
	11.40	9.80	(1.60)	-14.0%
	23.40	19.80	(3.60)	-15.4%
	2.00	1.82	(0.18)	-9.0%
			-	
			-	
	4.00	3.00	(1.00)	-25.0%
	8.00	8.50	0.50	6.3%
	1.00	1.50	0.50	50.0%
	16.00	13.00	(3.00)	-18.8%
	5.00	6.00	1.00	20.0%
	3.00	3.00	-	0.0%
	39.00	36.82	(2.00)	-5.1%
	2.00	0.65	(1.35)	-67.5%
		4.75	4.75	
		0.98	0.98	
	2.00	2.00	-	0.0%
	9.60	6.00	(3.60)	-37.5%
	13.60	14.38	0.78	5.7%

Bookstore			-	
Campus Mail			-	
Copy Center			-	
Dining	3.25	2.50	(0.75)	-23.1%
Parking	0.75	1.60	0.85	113.3%
Poly Card			-	
Housing			-	
Concessions			-	
			-	
	4.00	4.10	0.10	2.5%
	4.00	4.00	-	0.0%
	10.00	11.00	1.00	10.0%
	10.00	9.00	(1.00)	-10.0%
	2.00	3.00	1.00	50.0%
	26.00	27.00	1.00	3.8%
	82.60	82.30	(0.30)	-0.4%
	4.50	4.93	0.43	9.6%
	4.50	4.93	0.43	9.6%
	284.90	280.33	(4.57)	-1.6%

AGENDA ITEM: VIII

**Florida Polytechnic University
Board of Trustees
Finance and Facilities Committee
May 22 & 23, 2018**

Subject: Contracts for Review and Approval

Proposed Committee Action

Recommend approval of contracts in excess of \$500,000 to the Board of Trustees.

Background Information

Review and disclosure of new contracts over \$200,000 and less than \$500,000 and review and approval of new contracts over \$500,000 as of April 30, 2018.

Report of existing and active procurement contracts in excess of \$200,000 with spend-to-date as of as of April 30, 2018.

Supporting Documentation:

1. List of contracts for disclosure between \$200,000 and \$500,000.
2. Contracts for approval in excess of \$500,000.
3. List describing the status of all active contracts in excess of \$200,000

Prepared by: Mark Mroczkowski

Florida Polytechnic University**Contracts for disclosure between \$200,000 and \$500,000****Approximate Spend to Date****May-18**

Vendor	Contract Type	Start Date	End Date	*Original Amt	Spend thro (4/30/2018)
Elliance, Inc.	Creative Services (Creative & Graphic Design, Marketing and Advertising, PR & Communications, Videography & Photography)	3/19/2018	3/18/2023	375,000	-
Indie Atlantic LLC	Creative Services (Videography & Photography)	7/1/2018	6/30/2023	375,000	-
Potthast Studios, Inc.	Creative Services (Videography & Photography)	4/24/2018	4/23/2023	375,000	2,353
S3Media Group	Creative Services (Creative & Graphic Design, Marketing and Advertising, PR & Communications)	3/20/2018	3/19/2023	375,000	-
Tinsley Creative	Creative Services (Creative & Graphic Design, Marketing and Advertising, PR & Communications, Videography & Photography)	3/15/2018	3/14/2023	375,000	6,025

*Estimated amounts include initial 2-year term plus three 1-year renewals

4/30/2018

Florida Polytechnic University
Contracts for approval in excess of \$500,000
May-18

Vendor	Contract Type	Start Date	End Date	*Original Amt
Clark Nikdel Inc	Creative Services (Creative & Graphic Design, Marketing and Advertising, PR & Communications)	7/1/2018	6/30/2023	1,500,000

*Estimated amounts include initial 2-year term plus three 1-year renewals

4/25/2018

AGREEMENT

This Agreement (the “Agreement”) is made and entered into on the date fully executed by both parties below (the “Effective Date”) by and between The Florida Polytechnic University Board of Trustees (“University”), whose principal business address is 4700 Research Way, Lakeland, Florida 33805-8531 and Clark, Nikdel, Powell (Firm”), with a principal business address of 72 4th Street NW, Winter Haven, FL 33881.

RECITALS

WHEREAS, University has requested proposals to provide a pool of pre-qualified firms with whom the University may contract for creative services on an as-needed basis (“Services”), pursuant to ITN-18003 (“Competitive Solicitation”); and,

WHEREAS, Firm submitted a Proposal for the provision of the Services (“Proposal”), certain terms of which were negotiated with University; and,

WHEREAS, University desires Firm to provide the Services as more particularly described herein; and

NOW THEREFORE, in consideration of the mutual covenants of the parties set forth in this Agreement, the parties agree as follows:

A. GENERAL TERMS

- 1. Recitals.** The above recitals are true and correct and incorporated herein.
- 2. Term.** The term of this Agreement shall be from the date of the signing of this Agreement by both parties with an initial period of two (2) years and an option to renew services for three (3) additional one (1) year periods.
- 3. Contract.** University grants Firm the opportunity to provide Services on an as needed basis by the University and in accordance with:
 - a. Contract amount shall not exceed (\$1,500,000.00) for the length of the contract including any renewals.

- b. Scope of Services:
 - 1) Marketing and Advertising Services: web development services for desktop and mobile sites and mobile applications; and advertising services including social media marketing, search engine marketing, search engine optimization, media negotiations, ad placement and planning;
 - 2) Public relations and communication services including copy writing/editing, distribution, onsite management if necessary;
 - 3) Creative and graphic design for media such as print, billboards, posters, promotional collateral, websites, social media.
- c. Exhibit “I”, Competitive Solicitation ITN 18-003 (“ITN”) attached and incorporated by reference.
- d. Exhibit “II”, Firm’s Solicitation Response attached and by reference; and any addenda thereto.
- e. In the event of conflict between or among terms and conditions in documents pertaining to the Services, such documents govern in the following order of precedence: First, this document; Second, the Competitive Solicitation; and Third, Firm’s Solicitation Response. All provisions of this Agreement will be considered as prepared through the joint efforts of the Parties and will not be construed against either Party as a result of the preparation or drafting thereof. No consideration will be given or presumption made on the basis of who drafted any particular provision of this Agreement.

4. Payment/Fees.

- a. Payment: Firm must submit bills for compensation for services or expenses in sufficient detail for a pre-and post-audit. Firm is responsible for any taxes due under this Agreement. University will make within 30 days of receipt of a proper invoice. If University does not issue payment within 30 days of receipt of a proper invoice, University will pay to Firm, an interest penalty at the rate established pursuant to section 55.03(1) Florida Statutes, if the interest exceeds \$1.00. Contractors experiencing payment problems may contact the Vendor Ombudsman at (863) 874-8402. University may make payment to Firm via the University’s EFT/ACH

payment process. Firm must provide the necessary information to University upon request.

- b. Fees: Fees for services shall be in accordance with Exhibit II, Tab D, "Pricing for Services".
- 5. Travel.** All travel costs are inclusive in rate as stated on Exhibit II, Tab D, "Pricing for Services."
- 6. Indemnification by University.** Nothing in this Agreement may be construed as an indemnification of the Firm by the University or as a waiver of sovereign immunity.
- 7. Termination.**
 - a. Termination at Will. This Agreement may be terminated by University by providing written notice to Firm of such intent to terminate at least 10 days prior to the effective date of such termination.
 - b. Termination for Cause. Notwithstanding the provisions of subsection 6.A. above, University may, upon 5 days' written notice to Firm set forth with specificity the basis for the termination to terminate this Agreement for Cause. For purposes of this Agreement, "cause" is defined as Firm's failure to perform the Services within the time specified herein or any extension thereof or Firm's failure to adhere to any of the terms of this Agreement.
 - c. If this Agreement is terminated, University will only be liable for payment of goods received and services rendered prior to the date of termination and accepted by University.
- 8. Insurance.** Firm will have and maintain types and amounts of insurance that at a minimum cover the Firm's (or subcontractor's) exposure in performing this Agreement. University is insured, and will provide its Certificate of Insurance upon request; University is not required to obtain additional insurance for this Agreement.
- 9. Force Majeure.** Neither party will be deemed to be in default of its obligations hereunder if and so long as it is prevented from performing such obligations by an act of war or terrorism, hurricane, tornado, fire, or other catastrophic natural event or act of God.
- 10. Compliance with Laws.** Firm must comply with all laws, ordinances, codes, rules, regulations, and licensing requirements that are applicable to the conduct of its business,

including those of federal, state, and local agencies having jurisdiction and/or authority over it.

11. Independent Contractor. Firm is retained by University only for those purposes and to the extent set forth in this Agreement, and Firm's relation to University will, during the term of this Agreement, be that of independent contractor and no partnership nor joint venture relationship is contemplated. Firm is not and may not be considered as having an employee status.

12. Prohibitions. Unless expressly and specifically authorized in writing by the University in advance, Firm is prohibited from engaging in any of the following:

- a. incurring any debt or obligation on behalf of University;
- b. entering into any contract, arrangement, or transaction which binds University to any extent or creates any obligation on University; and/or
- c. utilizing University's name, credit, reputation, good-will, resources, and/or assets for any purpose without the prior and explicit written approval of University.

13. Indemnification. Firm is responsible for its performance under this Agreement. Firm agrees to release, indemnify, defend and hold harmless Florida Polytechnic University, the University Board of Trustees, the Florida Board of Governors, the State of Florida and their respective trustees, officers, employees and agents of and from any and all liability, fines, taxes, suits, claims, demands and actions, costs, attorney's fees and expenses of any kind or nature whatsoever for any loss of life, personal, bodily or economic injury or damage or loss to property arising out of the negligent acts, errors or omissions of Firm, its officers, agents, employees and contractors; and from and against any orders, judgments or decrees which may be entered pursuant thereto. This provision survives the termination of this Agreement.

14. Amendment. This Agreement and any documents incorporated specifically by reference represent the entire agreement between the parties. This Agreement may only be amended by written amendments duly executed by the parties hereto.

15. Notices. Any notice to either party hereunder must be in writing and signed by the party giving it, and served: a) by hand; b) through the United States postal service, postage prepaid, registered or certified, return receipt requested; c) through expedited mail or

package service, if a receipt showing the delivery has been retained, and addressed as follows, or d) via e-mail:

To UNIVERSITY:

Florida Polytechnic University
Address: 4700 Research Way
Lakeland, FL 33805-8531

Attn: Procurement Department
Email: procurement@floridapoly.edu

To FIRM:

Clark Nikdel Powell
Address: 72 4th Street NW
Winter Haven, FL 33881

Attn: Alex Nikdel
Email: alex@cnpagency.com

CONTRACT MANAGER:

Attn: Marketing Department
Email: marketing@floridapoly.edu

Notice is effective upon receipt, except if notice is by e-mail, notice is effective upon acknowledgement of receipt by the party to be noticed.

- 16. Assignment.** This Agreement may not be assigned by Firm without the express written consent of University and any attempt to do so will be void. This Agreement is binding upon and inure to the benefit of the parties hereto.
- 17. Conflicts of Interest.** Acceptance of this Agreement certifies that Firm is aware of the requirements of Chapter 112, Florida Statutes and in compliance with the requirements of Chapter 112, Florida Statutes and other laws and regulations concerning conflicts of interests in dealing with entities of the State of Florida. Firm certifies that its directors and/or principal officers are not employed and/or affiliated with the University unless a current Conflict of Interest (Report of Outside Activity/Employment) form has been completed, executed by such director or officer and approved in accordance with applicable University policies or rules. Violation of this section by Firm is a ground for cancellation of this Agreement.
- 18. Work for Hire.** Any work specifically created for the University under this Agreement by the Firm or anyone working on behalf of Firm (the term *Firm* encompasses both) is considered a “work for hire.” All designs, prints, paintings, artwork, sketches, etchings, drawings, writings, photographs, or any other work or material or property produced, developed or fabricated and any other property created hereunder, including all material

incorporated therein and all preliminary or other copies thereof, (the "Materials") are and remain the property of the University, and, unless otherwise specifically set forth herein, are considered specially ordered for the University as a "work made for hire," or, if for any reason held not to be a "work for hire," the Firm who created, produced, developed or fabricated the Materials hereunder assigns all of his/her right, title and interest in the Materials to the University. The University owns all right, title and interest in the Materials. The Firm agrees upon request to execute any documents necessary to perfect the transfer of such title to the University. The Materials must be to the University's satisfaction and are subject to the University's approval. The Firm bears all risk of loss or damage to the Materials until the University has accepted delivery of the Materials. The University is entitled to return, at the Firm's expense, any Materials which the University deems to be unsatisfactory. On or before completion of the Firm's services hereunder, the Firm must furnish the University with valid and adequate releases necessary for the unrestricted use of the Materials for advertising or trade purposes, including model and property releases relating to the Materials and releases from any persons whose names, voices or likenesses are incorporated or used in the Materials. The Firm hereby represents and warrants that the Materials may be used or reproduced for advertising or trade purposes or any commercial purposes without violating any laws or the rights of any third parties and that no third party has any rights in, to, or arising out of, or in connection with the Materials, including without limitation any claims for fees, royalties or other payments. The provisions of paragraph 12 (indemnification) of this Agreement expressly apply to these regarding (a) the performance or non-performance of the University's order by the Firm, (b) the use or reproduction in any manner, whatsoever, or (c) any breach or alleged breach of any of the Firm's agreements or representations and warranties herein.

19. Public Records, Contract for Services: Compliance with section 119.0701, Florida Statutes. IF THE CONTRACTOR HAS QUESTIONS REGARDING THE APPLICATION OF CHAPTER 119, FLORIDA STATUTES, TO THE CONTRACTOR'S DUTY TO PROVIDE PUBLIC RECORDS RELATING TO THIS CONTRACT, CONTACT THE CUSTODIAN

**OF PUBLIC RECORDS AT: (863) 583-9070, ogc@floridapoly.edu,
Florida Polytechnic University at Polk State College, Attention: General
Counsel 3433 Winter Lake Road, Lakeland, FL 33805.**

To the extent that Contractor meets the definition of “contractor” under Section 119.0701, Florida Statutes, in addition to other contract requirements provided by law, Contractor must comply with public records laws, including the following provisions of Section 119.0701, Florida Statutes:

1. Keep and maintain public records required by the public agency to perform the service.
2. Upon request from the public agency's custodian of public records, provide the public agency with a copy of the requested records or allow the records to be inspected or copied within a reasonable time at a cost that does not exceed the cost provided in this chapter or as otherwise provided by law.
3. Ensure that public records that are exempt or confidential and exempt from public records disclosure requirements are not disclosed except as authorized by law for the duration of the contract term and following completion of the contract if the contractor does not transfer the records to the public agency.
4. Upon completion of the contract, transfer, at no cost, to the public agency all public records in possession of the contractor or keep and maintain public records required by the public agency to perform the service. If the contractor transfers all public records to the public agency upon completion of the contract, the contractor must destroy any duplicate public records that are exempt or confidential and exempt from public records disclosure requirements. If the contractor keeps and maintains public records upon completion of the contract, the contractor must meet all applicable requirements for retaining public records. All records stored electronically must be provided to the public agency, upon request from the public agency's custodian of public records, in a format that is compatible with the information technology systems of the public agency.

A request to inspect or copy public records relating to a public agency's contract for services must be made directly to the public agency. If the public agency does not possess

the requested records, the public agency must immediately notify the contractor of the request, and the contractor must provide the records to the public agency or allow the records to be inspected or copied within a reasonable time.

If a contractor does not comply with the public agency's request for records, the public agency may enforce the contract provisions in accordance with the contract.

20. Civil Rights. The Firm and any subcontractors must abide by the requirements of 41 CFR §§ 60-1.4(a), 60-300.5(a) and 60-741.5(a) prohibiting discrimination against qualified individuals based on their status as protected veterans or individuals with disabilities, and prohibit discrimination against all individuals based on their race, color, religion, sex, sexual orientation, gender, identity, or national origin. Moreover, these regulations require that covered prime contractors and subcontractors take affirmative action to employ and advance in employment individuals without regard to race, color, religion, sexual orientation, gender identity, national origin, protected veteran status or disability.

21. Governing Law. This Agreement and any amendments to it are governed by the laws of the State of Florida and venue of any actions arising out of this Agreement must be in the state courts in Polk County, Florida.

FPU and CLARK NIKDEL POWELL
ITN 18-003

The parties have caused this Agreement to be executed by signing below.

FIRM: Clark, Nikdel, Powell

THE FLORIDA POLYTECHNIC
UNIVERSITY BOARD OF TRUSTEES

Sign: _____

Sign: _____

Print _____

Print: _____

Title: _____

Title: _____

Date: _____

Date: _____

Approved as to form and legality

By:  _____

FPU Attorney

4-26-18

FPU and CLARK NIKDEL POWELL
ITN 18-003

EXHIBIT I
TO INDEPENDENT CONTRACTOR AGREEMENT

ITN 18-003 – CREATIVE SERVICES
(Attached)

FPU and CLARK NIKDEL POWELL
ITN 18-003

EXHIBIT II
TO INDEPENDENT CONTRACTOR AGREEMENT
CLARK NIKDEL POWELL PROPOSAL
(Attached)

Florida Polytechnic University**All active contracts in excess of \$200,000****May-18**

Vendor	Contract Type	Start Date	End Date	Original Amt	Spend
Ardaman & Associates Inc	Leaching Study - Water - Deep Injection Well	10/25/2016	7/25/2018	\$ 234,839	34,461
Barnes & Noble Booksellers USA Inc	Bookstore Services	5/12/2014	5/11/2019	250,000	227,841
Bright House Networks LLC	High Speed Communications Service	10/28/2013	10/27/2023	1,444,400	340,265
Clark Nikdel Inc	Creative Services	2/25/2014	2/24/2019	As budget allowed	545,112
Clarke Environmental Mosquito Management Inc	Mosquito Control Services	7/1/2016	6/30/2021	222,915	95,535
Compass Group USA Inc (Chartwells)	Dining Services	5/1/2017	6/30/2027	15,000,000	2,071,218
Creative Enterprise Solutions LLC	University Ticketing System	1/13/2017	1/31/2020	341,838	140,603
Hellmuth Obata and Kassabaum Inc	HOK - Applied Research Center	10/1/2017	5/30/2022	2,762,795	102,930
Indie Atlantic LLC	Creative Services	2/25/2014	2/24/2019	As budget allowed	244,845
International Business Machines Corporation	IBM Implementation Services - Workday Student	5/15/2017	11/15/2018	2,584,494	117,526
Lakeland Regional Medical Center	Student Health Care Services	8/20/2014	8/20/2019	275,000	242,851
Liberty Lawn Care LLC	Grounds Maintenance	1/28/2016	1/27/2019	1,376,379	819,272
Presidio Networked Solutions Inc	Cisco SmartNet; Network equipment repair and maintenance	12/15/2017	6/30/2019	219,536	211,811
Ricoh USA Inc	Printers/Copy Service	8/1/2014	6/30/2019	359,009	196,357
SalesForce	Customer Relationship Management Software	6/20/2013	2/19/2019	360,766	360,766
Super Transportation of Florida LLC	TransDev Services Inc - Student Transportation Services	8/12/2016	7/31/2018	As budget allowed	221,483
Tucker Hall Inc	Creative Services	6/5/2014	6/4/2019	As budget allowed	155,367
WFF Facility Services	Custodial Services	1/25/2016	1/24/2019	831,528	448,439
Workday Inc	Workday Student (Subscription & Delivery Assurance)	7/29/2016	7/28/2021	1,371,867	337,120
Workday Inc	Workday HR Finance (Subscription & Delivery Assurance (Renewal)	4/30/2015	4/29/2021	2,132,537	1,064,187
Workday Inc.	Workday Training (All subscriptions)	4/30/2015	4/29/2018	220,380	220,380

NOTES

1. As budget allowed means there was no firm fixed Total Value for the Agreement, only estimates based on budget availability.
2. Continuing Service Contracts for architectural, engineering, & construction services are based on multiple releases for minor projects and are limited to \$2 million

AGENDA ITEM: IX.

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 22, 2018**

Subject: Legislative Budget Request for 2019-20

Proposed Committee Action

- A. Recommend approval of the **2019-20** Operating Budget Request to the Board of Trustees.
- B. Recommend approval of the **2019-20** Capital Improvement Plan to the Board of Trustees.

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 20, 2018. The Board of Governors will meet on September 13, 2018 to approve the initial State University System LBR comprising some of the items from among LBRs of the 12 public universities in Florida. The BOG estimates a submission date around October 15, 2018 to the Governor and Legislature.

The Board of Governors has requested universities submit requests for the following priority components:

A. Operating Budget Submission:

- 1. Shared System Resources- Consideration will be given to initiatives that allow for greater efficiencies through shared system resources or are a system-wide need. All initiatives that impact the SUS should be vetted through the appropriate university council (CAVP, CAFA, CSA) before being submitted to the Board Office on July 20, 2018.
- 2. Other unique university initiatives that will be a priority for the LBR year and are tied to the universities' strategic plan and work plan will be due from the institutions on July 20th.

3. University Efficiencies- An update on university efficiencies describing three of the top efficiencies initiated within the last year (due July 20th).

B. Fixed Capital Outlay Submission:

Universities must submit five-year Capital Improvement Plans by August 1, 2018.

1. Maintenance Projects
 - a. Funding for Remodeling/Renovation/Maintenance/Repair will be requested from PECO pursuant to formula as required by Section 1013.64(1)(a), Florida Statutes
2. System and Continuation Projects
 - a. Projects funded by the Legislature in the amount and in the year as last included on the Board adopted three year list.
 - b. Projects funded by the Legislature, but not on the Board adopted three year list.
 - c. Projects that require additional funding to complete.
3. Renovation Projects
 - a. Utilities/infrastructure/capital renewal/roofs needs
 - b. Renovation and Remodeling projects to meet current space needs, Structural/Mechanical repairs, replacement of existing facilities that have a survey recommendation. (major named projects)
4. Strategic Projects
 - a. Land or Building Acquisition in accordance with university board of trustees adopted master plans.
 - b. New facilities, as needed to meet instructional and support space needs.
5. Legislative Authorizations
 - a. Required legislative authorizations will be requested for externally funded projects as proposed by the universities, in accordance with Section 1010.62 and 1013.78, Florida Statutes

Supporting Documentation:

2019-20 Operating Budget Request
2019-20 Capital Improvement Plan

Prepared by: Dr. Terry Parker, Provost / Dr. Randy Avent, President / Kathy Mizereck, AVP Government Relations



FLORIDA POLYTECHNIC
UNIVERSITY

Legislative Budget Request

Terry Parker, Kathy Mizereck, Randy Avent

May 22, 2018



The LBR must consistently position Florida Poly for excellence AND!! Perception of excellence

- **What do we need**

- Funds to:
- Build new programs
- Put Space in place
- Build reputation
- Attract Students
- OVERALL FULFILL OUR MISSION

Priority Order for the Request:

1. Graduate Program Growth
2. The Three Year Pathway
3. Outreach to underserved populations
4. Advanced Mobility Institute

- **How do we maintain excellence??**

- Requests must be carefully planned to have an achievable outcome
- Budgets for requests must be easily justified
- Requests must align with mission
- Support for the request must be based on quality and politics
- Identify credible champions to help us with the request



LBR: Graduate Program Growth at Florida Poly

- Request for Operating funds to support building a graduate program.
- Core Elements of the idea:
 - This is the next logical step for Florida Poly as it “grows up”
 - Use existing MS degrees in Engineering and Computer Science
 - *Tracks in Robotics, Control Systems, Logistics, Big Data Analytics, add ~two more tracks*
 - Students are provided with support for their degree (tuition and stipend)
 - *Thesis projects to be aligned with Florida Industry (~1/2) or Federal funding initiatives (~1/2)*
 - State support for students during the AY, for faculty time in the summer
 - Industry aligned theses supported for summer effort from student (~15k per student contributed by industry)
 - Industry aligned Students spend significant time (likely summer) with the company



LBR: Graduate Program Growth at Florida Poly(page 2)

- **Core elements (continued)**
 - Federal aligned Students work with faculty to develop capacity in support of federal funding initiatives
 - Intent is to start to have federal funding for research in support of graduate students
 - Target building to a steady cohort of 40 incoming students per year
 - Use some of funding to broaden degrees to include sustainability (food, energy, water), energy sciences
- **Core Benefit to Poly**
 - Provides avenue to grow graduate program that is “attached” to Florida industry and also to federal funding
 - Provides mechanism to support faculty research in summer with students
 - Provides tuition flow in terms of graduate students



LBR: Graduate Program Growth at Florida Poly (page 3)

- **Budget, \$2,500,000 Recurring**
 - 40 students, 3 post docs, equipment graduate director, misc support
- **Challenges**
 - Identifying industries that will routinely participate
- **Supporting constituencies**
 - Likely legislature if convinced that we target the right industry,
 - Industries that believe they will benefit
- **BOG status**
 - Likely supportive, tie to Florida industry critical
- **Benefit to State**
 - Graduates aligned with Florida industry
 - Direct support of Florida industry
 - Opens pathway for federal funding at FPU (this builds reputation for FPU and state)



LBR: Accelerated Graduation Pathways for STEM Students

- Request **OPERATING** funds to open a three year Graduation pathway for a cohort of STEM students
 - Target audiences: students with AP credit that can complete a STEM degree in three years
- **Core Idea**
 - Cohort that grows to be ~100 students, Honors admissions criteria
 - Broaden course delivery in terms of timing to use summers, provide schedule flexibility to capitalize on AP credits
 - Provide schedule enhancements (freshman enter at summer C), two May-mesters) and “please grow up” experiences (required two internships, one per summer). Likely will have to use some of the third year summer to get students to complete.



LBR: Enhanced Graduation Pathways for STEM Students (page 2)

- **Core Benefit to Poly:**
 - Unique graduation pathway:
 - Attractive to highly talented students
 - Will enhance our reputation as innovative
 - Because of high entrance standards, positions us to gain reputation with industry as being a great Florida source of talent

- **Budget, \$2,250,000**
 - Faculty to provide off cycle courses, admin support, summer support for faculty teaching, operations support



LBR: Enhanced Graduation Pathways for STEM Students (page 3)

- **Challenges**

- Providing a rich enough experience to make up for a lost year of growing up, getting sequencing right, providing high quality internships

- **Supporting constituencies**

- Likely legislature if convinced that we will credibly deliver this to students
- Industry that will benefit along the way from intern style students, Industry that will hire these graduates

- **BOG status**

- Likely supportive

- **Benefit to State**

- Graduates aligned with Florida industry
- Direct support of Florida industry



LBR: Outreach to underserved populations in support of STEM degrees

- **Request OPERATING funds to provide a series of one week experiences for underserved high school students**
- **Core Idea**
 - A series of one week residential outreach programs to high school students that represent underserved populations and that promotes STEM degrees
 - Use Curriculum developed for 2018 with Polk state (STEAM Bootcamp)
- **Core Benefit to Poly:**
 - Provides a branded outreach program that should help us recruit students
 - A tangible effort at outreach to help with STEM and Diversity



LBR: Outreach to underserved populations in support of STEM degrees (page 2)

- **Budget, \$750,000 recurring**
 - Supports faculty summer time, admin support student housing, chaperones, misc expenses
- **Challenges**
 - Getting through all of the details, might need to partner with Polk state because of their deep experience
- **Supporting constituencies**
 - Legislature, others that support having Higher Ed more strongly serve the state
- **BOG status**
 - In principle supportive
- **Benefit to State**
 - Directly addresses bringing students from underserved populations into the STEM fields



The Advanced Mobility Institute

- **Budget, \$3,500,000 Recurring**
 - 20 students, 5 post docs, 5 visitors, equipment, director, misc support, faculty summer support
 - **Challenges**
 - Identifying industries that will routinely participate
 - **Request for funds to support continued operation of the Advanced Mobility Institute**
 - **This is “Research Institute” style effort**
 - Justification is a combination of the students produced and the research output from the effort
 - **Core Elements of the idea:**
 - Research Institute that supports Autonomous Vehicle Testing in collaboration with SUNTRAX
 - The Institute will support between 10 and 20 graduate students that are pursuing their degrees
 - Institute “output” will be graduate students and targeted applied research focused on autonomous vehicle testing
-



The Advanced Mobility Institute (page 2)

- **Core Benefit to Poly:**
 - Provides a “research based” branding for attracting students and faculty
 - Provides beginnings of a “program of excellence” where we can be recognized
- **Budget, ~\$3,500,000 recurring**
 - 10 to 20 graduate students
 - Faculty support to advise these students
 - 3 to 5 post doctorate associates
 - 3 to 5 visiting researchers from national labs or corporations
 - A director
 - Specialized equipment
- **Challenges**
 - Solidifying relationships and credibility in a fast moving new field



The Advanced Mobility Institute(page 3)

- **Supporting constituencies**
 - Potentially FDOT, elements of the legislature
- **BOG status**
 - In principle supportive but key Governors would need to be convinced that Poly is ready for this
 - We must use state funds to lead to significant federal funds
- **Benefit to the State**
 - Brings an emerging industry to Florida
 - Provides technical expertise to support FDOT Suntrax



**Capital Improvement Plan
LBR 2019-2020**

**Capital Improvement Plan 1
LBR 2019-2020**

PECO-ELIGIBLE PROJECT REQUESTS

CITF PROJECT REQUESTS

1 of 25

REQUESTS FROM OTHER STATE SOURCES

[illegible]

REQUESTS FROM NON-STATE SOURCES, INCLUDING DEBT

	Project	Year 1	Year 2	Year 3	Year 4	Year 5
TOTAL		0	0	0	0	0

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

Page 3 of 25

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

AGENCY PRIORITY 1
 DATE BLDG PROGRAM
 APPROVED 05.23.2018

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 May 2018, 100+ companies (industry partners) have signed on to partner with the University. The partners are expecting to work with our faculty and students on research problems that can help them grow Florida's economy. These partners and more to come, along with our faculty and students must have sufficient research space and access to technology that high-tech industries demand of their research partners.

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.

STATISTICAL JUSTIFICATION

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

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

Page 4 of 25

GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR No. **1208**

CIP-3, B - PROJECT DESCRIPTION						Applied Research Center			
Facility/Space	Net Area	Net to Gross	Gross Area	Unit Cost	Construction	Assumed	Occupancy		
Type	(NASF)	Conversion	(GSF)	(Cost/GSF)*	Cost	Bid Date	Date		
Teaching Labs	7,000	1.4	9,800	376	3,684,800				
Research Labs	32,000	1.4	44,800	386	17,292,800				
Office/Computer	21,500	1.4	30,100	331	9,963,100				
Campus Support	286	1.4	400	282	112,913				
Totals	60,786		85,100		31,053,613				
*Apply Unit Cost to total GSF based on primary space type						Space Detail for Remodeling Projects			
						BEFORE		AFTER	
Remodeling/Renovation						Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
Total Construction - New & Rem./Renov.					31,053,613	Total	0	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS				ESTIMATED COSTS					
	Funded to	FY 2019-20							
	Date	Year 1	Year 2	Year 3	Year 4	Year 5		Funded & In CIP	
1. BASIC CONSTRUCTION COSTS									
a. Construction Cost (from above)	8,060,000	22,993,613						\$	31,053,613
Add'l/Extraordinary Const. Costs								\$	-
b. Environmental Impacts/Mitigation								\$	-
c. Site Preparation	50,000							\$	50,000
d. Landscape/Irrigation		25,000						\$	25,000
e. Plaza/Walks		75,000						\$	75,000
f. Roadway Improvements								\$	-
g. Parking ___ spaces		1,000,000						\$	1,000,000
h. Telecommunication	120,000							\$	120,000
i. Electrical Service	175,000							\$	175,000
j. Water Distribution	120,000							\$	120,000
k. Sanitary Sewer System	125,000							\$	125,000
l. Chilled Water System	175,000							\$	175,000
m. Storm Water System	150,000							\$	150,000
n. Energy Efficient Equipment								\$	-
Total Construction Costs	8,975,000	24,093,613	0	0	0	0	0	\$	33,068,613
2. OTHER PROJECT COSTS									
a. Land/existing facility acquisition								\$	2,600,000
b. Professional Fees	2,600,000							\$	2,600,000
c. Fire Marshall Fees		7,250						\$	7,250
d. Inspection Services		40,000						\$	40,000
e. Insurance Consultant		23,200						\$	23,200
f. Surveys & Tests		50,000						\$	50,000
g. Permit/Impact/Environmental Fees		8,700						\$	8,700
h. Artwork		29,000						\$	29,000
i. Moveable Furnishings & Equipment		2,000,000						\$	2,000,000
j. Project Contingency	425,000	445,000						\$	870,000
Total - Other Project Costs	3,025,000	2,603,150	-	0	0	0	0	\$	5,628,150
ALL COSTS 1+2	12,000,000	26,696,763	0	0	0	0	0	\$	38,696,763

Appropriations to Date			PECO ask	Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount		Source	Fiscal Year	Amount	
PECO	2016-17	5,000,000		CRYFWD	2016-17	5,000,000	
PECO	2017-18	2,000,000					
PECO	2018-19	-					
TOTAL		7,000,000	26,696,763	TOTAL		5,000,000	38,696,763

CIP-3

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: \$ 38,696,763
 Previous Funding (State): \$ 7,000,000
 University Contribution: \$ 5,000,000
 Current Request: \$ 26,696,763
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University has increased as the university developed. This will lead to more students graduating with degrees in high-tech fields. These graduates will earn salaries higher than average wages, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The ARC will provide research space for faculty which gives graduate students opportunities beyond the limited opportunities currently available to engage in research in the Innovation, Science and Technology (IST) building. We anticipate that additional graduate students will get research experience as a result of building the Applied Research Center (ARC). The ARC will attract major private sector research companies looking to take advantage of the university's graduate students. While the number is undetermined at this time, Florida Polytechnic University currently has no research space in which to collaborate on applied research projects with industry partners.

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

Explanation:

We anticipate an additional \$20 M in research funding and 5-10 patents in the short term. Already, we have freshmen students who are being assisted with filing provisional patents.

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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students and faculty in those programs engage in "applied research" which is a major focus of the institution.

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

Explanation:

Florida Polytechnic University began educating students in the Fall of 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The capacity of the university to collaborate with more industry partners will lead to internships and jobs for its students. The ARC will help with recruiting additional partners. Many of our 89 existing partners have already expressed their interest in providing internships for Florida Polytechnic University students. Therefore we expect that many of the additional partners will also provide internships for students.

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

Explanation:

Currently, we are converting classroom space to research space which creates two negative outcomes. First, the conversion of classroom space reduces the intended capacity of the IST for educating students. Second, the converted classroom space is not ideal for use as research space. Therefore, the ARC will provide appropriate space for applied research and free up space in the IST for academic instruction. This increases the number of students that can be educated in those high-tech fields important to Florida's development as a leader in STEM education. The research conducted will lead to commercialization of some of the outcomes from that research.

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

Explanation: None

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:

Not applicable. The first phase of the campus was completed in 2014.

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 May 2018, 50+ companies have relationships with the University. The companies 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 affiliations.

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

Page 8 of 25

AGENCY Florida Polytechnic University
 BUDGET ENTITY SUS
 PROJECT TITLE Student Achievement Center

AGENCY PRIORITY 2
 DATE BLDG PROGRAM
 APPROVED 05.23.2018

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 immediately 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.

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

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GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR I **1210**

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	1.4	3,500	325	1,137,500		
Office Computer	5,000	1.4	7,000	331	2,317,000		
Audit/Exhibit	32,000	1.4	44,800	329	14,739,200		
Study	1,200	1.4	1,680	298	500,640		
Campus Support	286	1.4	400	282	112,913		
Totals	40,986		57,380		18,807,253		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					18,807,253	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS				ESTIMATED COSTS			
	Funded to						
1. BASIC CONSTRUCTION COSTS	<u>Date</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>	<u>Funded & In CIP</u>
a.Construction Cost (from above)			4,137,600	13,541,220	1,128,433		\$ 18,807,253
Add'l/Extraordinary Const. Costs							
b.Environmental Impacts/Mitigation							\$ -
c.Site Preparation			25,000				\$ 25,000
d.Landscape/Irrigation					12,500		\$ 12,500
e.Plaza/Walks					37,500		\$ 37,500
f.Roadway Improvements							\$ -
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							\$ -
Total Construction Costs	0	0	5,155,600	13,541,220	1,178,433	0	\$ 19,875,253
2. OTHER PROJECT COSTS							
a.Land/existing facility acquisition							\$ -
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					564,218		\$ 564,218
Total - Other Project Costs	0	0	1,125,475	45,000	1,578,718	0	\$ 2,749,193
ALL COSTS 1+2	0	0	6,281,075	13,586,220	2,757,151	0	\$ 22,624,446

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	22,624,446

CIP-3

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: Student Achievement Center
 Total Project Cost: \$ 22,624,446
 Previous Funding (State): \$ 0
 University Contribution: \$ 0
 Current Request: \$ 22,624,446
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University will increase as the university develops. This will lead to more students graduating with degrees in high-tech fields. These graduates will earn salaries higher than average wages, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The SAC will provide student services space and instructional support, which gives all students opportunities beyond the limited opportunities currently available, to engage in learning and study activity in the Innovation, Science and Technology (IST) building. We anticipate that additional students will get enhanced academic experience as a result of building the Student Achievement Center (SAC). The SAC will attract major private sector companies looking to take advantage of the university's student assembly spaces, and to schedule weekend training opportunities in the auditorium and meeting spaces. While the number is undetermined at this time, Florida Polytechnic University currently has limited space in which to collaborate on tutoring, student engagement with support staff, and direct contact with registrar, student health, counseling, bursar, and financial aid.

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

Explanation:

We anticipate an additional \$20 M in research funding and 5-10 patents in the short term. Already, we have several students who are being assisted with filing provisional patents. The academic support will be in the SAC.

4. X 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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students in the programs engage in both research and academics ... a major focus of the institution.

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

Explanation:

Florida Polytechnic University began educating students in 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The SAC will help with retention of students for our industry partners. Therefore, we expect that many of the additional partners will also provide internships for students.

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

Explanation:

Currently, we are occupying academic office space for collaboration rooms and occupying temporary facilities for student support, which creates two negative outcomes. First, the conversion of the space forces use of the Polk State College office space. Second, the temporary office spaces in Housing 2 implies lack of concern for student services. Therefore, the SAC will provide appropriate space for both student services and staff offices, and it will free up space in the IST for faculty and academic support. It increases the number of students that can be served or counseled in those high-tech fields important to Florida's development as a leader in STEM education. The service conducted will lead to academic success for students.

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

Explanation:

Initial \$5M was donated for student wellness and success. A portion of the money was expended for room in Housing 2 – a public, private partnership. The remainder of the monies and new funds will help supplement the project.

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:

Not applicable. The first phase of the campus was completed in 2014.

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 in real-world issues of high importance to its citizens. Success of the students is paramount to retention and the university mission of education. The University is at the forefront of an emerging trend among STEM institutions to supply the expertise and emerging 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 student and faculty growth, the expectation is that we must begin developing collaborative methods for student success and support for the students. The students are expected to work with the faculty and industry partners on real world problems, which can help them grow Florida's economy. The students must have sufficient space and access to technology, which high-tech industries demand of the student interns.

Space is needed to meet the demand for hosting industry groups to gather for conferences and training, as well as national and international meetings that bring money from around the world to Florida. The intellectual talent will be available to partners in Florida, leading to an increased likelihood that solutions to problems will be generated by the students.

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 partners 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 support student success is crucial to the university's mission and is a significant part of the foundation for creating Florida Polytechnic University.

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

Page 13 of 25

AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Faculty Staff Office BuildingAGENCY PRIORITY 3

DATE BLDG PROGRAM

APPROVED 05.23.2018

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

The Technology Exhibition Hall will house the exhibition hall, campus support services and offices. It is a component of the original 2005 Master Plan for the University. The University has very limited access to exhibit spaces. Campus support service spaces are almost non-existent on the JDA Campus. Currently, University personnel are housed on the JDA Campus in the Innovation, Science & Technology Building, Technology Admissions Center, the Wellness Center Phase 1 and the Student Housing 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 Technology Exhibition Hall will house the main exhibition space, campus support services, meeting spaces and administrative offices. 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, exhibition space, campus support and office spaces. STEM organizations and industry related companies have already approached the University about hosting scientific meetings and conferences. The construction of a Technology Exhibition Hall will free up space in other campus facilities for such endeavors.

One of the University's primary objectives is to develop relationships with industry in teaching and research. The proposed facility supports Florida Poly's ability to do so.

STATISTICAL JUSTIFICATION

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

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

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GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR No. **1211**

CIP-3, B - PROJECT DESCRIPTION		Faculty/Staff Office Building					
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date
Office Computer	30,000	1.4	42,000	331	13,902,000		
Audit/Exhibit	4,000	1.4	5,600	329	1,842,400		
Campus Support	4,786	1.4	6,700	282	1,889,400		
Space Detail for Remodeling Projects							
				BEFORE		AFTER	
				Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
Totals	38,786		54,300		17,633,800		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					17,633,800	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS		ESTIMATED COSTS					
		Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5
1. BASIC CONSTRUCTION COSTS							
a. Construction Cost (from above)					2,750,000	11,293,800	3,590,000
Add'l/Extraordinary Const. Costs							
b. Environmental Impacts/Mitigation							\$ -
c. Site Preparation					25,000		\$ 25,000
d. Landscape/Irrigation					12,500		\$ 12,500
e. Plaza/Walks					37,500		\$ 37,500
f. Roadway Improvements							\$ -
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							\$ -
Total Construction Costs		0	0	0	3,830,500	11,293,800	3,590,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition							\$ -
b. Professional Fees					1,000,000	546,347	\$ 1,546,347
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							529,014 \$ 529,014
Total - Other Project Costs		0	0	0	1,022,475	591,347	1,543,514
ALL COSTS 1+2		0	0	0	4,852,975	11,885,147	5,133,514

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	21,871,636

CIP-3

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: Faculty/Staff Office Building
 Total Project Cost: \$ 21,871,636
 Previous Funding (State): \$ 0
 University Contribution: \$ 0
 Current Request: \$ 21,871,636
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University will increase to 2,300 as the university develops, and more faculty are hired into the new programs. This will lead to more students graduating with degrees in high-tech fields, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The Faculty Staff Office Building and training facilities will provide space for more faculty which giving students more opportunities for curriculum. We anticipate that additional students will get new experiences in emerging technologies, as a result of building the Faculty Staff Office Building (FSO). The training area in the building will attract major private sector research companies looking to take advantage of the university's graduating students.

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

Explanation:

Coupled with the Applied Research Center the Faculty Staff Office Building can help provide the additional \$20 M in research funding and the 5-10 patents in the short term.

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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students and faculty in those programs engage in "applied research" which is a major focus of the institution. Staff and faculty support only leads to improved programs in STEM programs.

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

Explanation:

Florida Polytechnic University began educating students in the Fall of 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The capacity of the university to collaborate with more industry partners will lead to internships and jobs for its students. The FSO will help with recruiting additional faculty and partners. Many of the more than 100 partners have already expressed their interest in providing internships for Florida Polytechnic University students. Expanded faculty can help mentor those students.

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

Explanation:

Currently, we are converting office space to tutoring space, which creates a negative outcome for faculty and staff. The converted classroom space is not ideal for use as tutoring space. Therefore, the FSO training space will provide appropriate space for student and staff instruction assistance.

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

Explanation: \$5M has been donated to the project through private donations.

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:

Not applicable. The first phase of the campus was completed in 2014, with no significant additions since that time, other than P3 Housing.

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. The University is at the forefront of an emerging trend among STEM institutions to supply the expertise and collaborative Faculty mentoring opportunities that are vital to high-tech companies. Florida Polytechnic outcomes 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 May 2018, 50+ companies have relationships with the University. The companies are expecting to work with our faculty and students on problems that can help them grow Florida's economy. These partners and more to come, along with our faculty and students must have sufficient mentoring and office space, with access to technology which high-tech industries demand of partners.

Space is also needed to meet the demand for hosting industry research groups as well as national and international meetings that bring money from around the world to Florida. The FSO will provide for much needed appropriate faculty and staff office support.

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 partners and University faculty mentors, 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, having 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 house faculty and staff, and provide training areas, is crucial to the university's mission and is a significant part of the foundation for creating Florida Polytechnic University.

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

Florida Polytechnic University				2019-2020					
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 Amount *	Source
1- FPU	Parking Structure 1	156,000	600-Car Parking Structure 1	Lakeland	\$11,099,800	DSO	05.23.2018	\$90,000	Bond Funds
2- FPU	Parking Structure 2	149,500	600-Car Parking Structure 2	Lakeland	\$10,061,750	DSO	05.23.2018	\$90,000	Bond Funds
3- FPU	Res Hall 3	134,400	350-bed Residential Housing	Lakeland	\$25,980,518	DSO	05.23.2018	\$180,000	Bond Funds
4- FPU	Res Hall 4	134,400	350-bed Residential Housing	Lakeland	\$25,980,518	DSO	05.23.2018	\$180,000	Bond Funds
Subtotal					\$73,122,586			\$540,000	
Courtelis Matching Fund									
	Private Contribution	115,889	IST Buiding & Site Infrastructure	Lakeland	\$10,634,192	CFDC	10.24.12 *	\$315,000	PO+M & Carry Forward
	Private Contribution	39,955	Wellness Center	Lakeland	\$3,500,000	LFDC	10.24.12 *	\$130,000	PO+M & Auxilliary
Subtotal					\$14,134,192			\$445,000 *	
* Transferred from USFP									

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

Page 19 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Parking Structure 1 & 2AGENCY PRIORITY 5

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 1,200 spaces would be met by the project in two phases of 600 each, with shared ramps. The program requires the university to also investigate adjacent alternate use spaces in order to maximize infrastructure investment.

To support the development of the university transportation alternates have been studied. The need for parking structures is documented in a study prepared for the university by Tim Haas Associates, and will be included in the Master Plan Update.

STATISTICAL JUSTIFICATION

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

April 2012

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

Page 20 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1212

CIP-3, B - PROJECT DESCRIPTION							
600-Car Parking Structure 1							
Facility/Space	Net Area	Net to Gross	Gross Area	Unit Cost	Construction	Assumed	Occupancy
Type	(NASF)	Conversion	(GSF)	(Cost/GSF)*	Cost	Bid Date	Date
Parking	120,000	1.3	156,000	60	9,360,000		
			0		0	Space Detail for Remodeling Projects	
			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							
a. Construction Cost (from above)			\$9,360,000				\$9,360,000
Add'l/Extraordinary Const. Costs							
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							
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

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

Page 21 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1213

CIP-3, B - PROJECT DESCRIPTION							
600-Car Parking Structure 2							
Facility/Space	Net Area	Net to Gross	Gross Area	Unit Cost	Construction	Assumed	Occupancy
Type	(NASF)	Conversion	(GSF)	(Cost/GSF)*	Cost	Bid Date	Date
Parking	115,000	1.3	149,500	60	8,970,000		
			0		0	Space Detail for Remodeling Projects	
			0		0		
			0		0		
			0		0		
			0		0		
Totals	115,000		149,500		8,970,000		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					8,970,000	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							
a. Construction Cost (from above)				\$8,970,000			\$8,970,000
Add'l/Extraordinary Const. Costs							
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							
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		0	TOTAL		0	\$10,061,750

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

Page 22 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Residence Hall 3AGENCY PRIORITY 6

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 2019-20 academic year to over 1,481 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.

STATISTICAL JUSTIFICATION

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

STATE UNIVERSITY SYSTEM
CIP-3, SHORT-TERM PROJECT EXPLANATIONPage 23 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1214

CIP-3, B - PROJECT DESCRIPTION Residential Housing 3 - PPP							
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	90,000	1.4	126,000	160	\$20,160,000		
350 bed Unit			0		\$0		
Living Learning	6,000	1.4	8,400	160	\$1,344,000		
			0		\$0		
			0		\$0		
Totals	<u>96,000</u>		<u>134,400</u>		<u>\$21,504,000</u>		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>\$21,504,000</u>	Total	<u>0</u>
						Total	<u>0</u>

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS							
ESTIMATED COSTS							
1. BASIC CONSTRUCTION COSTS	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
a. Construction Cost (from above)				\$17,472,000			\$21,504,000
Add'l/Extraordinary Const. Costs							
b. Environmental Impacts/Mitigation				\$0			\$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			\$0
g. Parking <u>260</u> 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			\$0
Total Construction Costs	\$0	\$0	\$0	\$19,249,000	\$0	\$0	\$23,281,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition				\$0			\$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			\$0
i. Moveable Furnishings & Equipment				\$1,050,000			\$1,050,000
j. Project Contingency				\$0			\$0
Total - Other Project Costs	\$0	\$0	\$0	\$2,699,518	\$0	\$0	\$2,699,518
ALL COSTS 1+2	\$0	\$0	\$0	\$21,948,518	\$0	\$0	\$25,980,518

Appropriations to Date
Source Fiscal Year AmountProject Costs Beyond CIP Period
Source Fiscal Year AmountTotal Project In
CIP & BeyondTOTAL \$0TOTAL \$0\$25,980,518

CIP-3

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

Page 24 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Residence Hall 4AGENCY PRIORITY 7

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 2020-21 academic year to over 1,617 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 fourth 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.

STATISTICAL JUSTIFICATION

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

STATE UNIVERSITY SYSTEM
CIP-3, SHORT-TERM PROJECT EXPLANATIONPage 25 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1215

CIP-3, B - PROJECT DESCRIPTION Residential Housing 4 - PPP							
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	90,000	1.4	126,000	160	\$20,160,000		
350 bed Unit			0		\$0		
Living Learning	6,000	1.4	8,400	160	\$1,344,000		
			0		\$0		
			0		\$0		
Totals	<u>96,000</u>		<u>134,400</u>		<u>\$21,504,000</u>		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>\$21,504,000</u>	Total	<u>0</u>
						Total	<u>0</u>

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS							
ESTIMATED COSTS							
1. BASIC CONSTRUCTION COSTS	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
a. Construction Cost (from above)						\$17,472,000	\$21,504,000
Add'l/Extraordinary Const. Costs							
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	\$0
g. Parking <u>260</u> 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	\$0
Total Construction Costs	\$0	\$0	\$0	\$0	\$0	\$19,249,000	\$23,281,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition						\$0	\$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	\$0
i. Moveable Furnishings & Equipment						\$1,050,000	\$1,050,000
j. Project Contingency						\$0	\$0
Total - Other Project Costs	\$0	\$0	\$0	\$0	\$0	\$2,699,518	\$2,699,518
ALL COSTS 1+2	\$0	\$0	\$0	\$0	\$0	\$21,948,518	\$25,980,518

Appropriations to Date
Source Fiscal Year AmountProject Costs Beyond CIP Period
Source Fiscal Year AmountTotal Project In
CIP & BeyondTOTAL \$0TOTAL \$0\$25,980,518

CIP-3



**Capital Improvement Plan
LBR 2019-2020**

Capital Improvement Plan 2 LBR 2019-2020

4700 RESEARCH WAY
LAKELAND, FL 33805-8531



PECO-ELIGIBLE PROJECT REQUESTS

CITF PROJECT REQUESTS

1 of 25

REQUESTS FROM OTHER STATE SOURCES

Priority No	Project	Year 1	Year 2	Year 3	Year 4	Year 5	Academic or Other Programs to Benefit from Projects	Net Assignable Square Feet (NASF)	Gross Square Feet (GSF)	Project Cost	Project Cost Per GSF (Proj. Cost/GSF)
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TOTAL		0	0	0	0	0					

REQUESTS FROM NON-STATE SOURCES, INCLUDING DEBT

	Project	Year 1	Year 2	Year 3	Year 4	Year 5	Academic or Other Programs to Benefit from Projects	Net Assignable Square Feet (NASF)	Gross Square Feet (GSF)	Project Cost	Project Cost Per GSF (Proj. Cost/GSF)	Expected Source of Funding (if known)	Master Plan Approval Date
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TOTAL		0	0	0	0	0							

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

Page 3 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Applied Research CenterAGENCY PRIORITY 1

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 May 2018, 100+ companies (industry partners) have signed on to partner with the University. The partners are expecting to work with our faculty and students on research problems that can help them grow Florida's economy. These partners and more to come, along with our faculty and students must have sufficient research space and access to technology that high-tech industries demand of their research partners.

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.

STATISTICAL JUSTIFICATION

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

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

Page 4 of 25

GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR No. **1209**

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	1.4	9,800	376	3,684,800		
Research Labs	32,000	1.4	44,800	386	17,292,800		
Office/Computer	21,500	1.4	30,100	331	9,963,100		
Campus Support	286	1.4	400	282	112,913		
Totals	60,786		85,100		31,053,613		
*Apply Unit Cost to total GSF based on primary space type						Space Detail for Remodeling Projects	
						BEFORE	AFTER
						Space Type	Net Area (NASF)
						Space Type	Net Area (NASF)
Remodeling/Renovation						0	
Total Construction - New & Rem./Renov						31,053,613	
						Total	0
						Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS			ESTIMATED COSTS				
	Funded to	FY 2019-20					
	Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
1. BASIC CONSTRUCTION COSTS							
a.Construction Cost (from above)	23,560,000	7,493,613					\$ 31,053,613
Add'l/Extraordinary Const. Costs							
b.Environmental Impacts/Mitigation							
c.Site Preparation	50,000						\$ 50,000
d.Landscape/Irrigation		25,000					\$ 25,000
e.Plaza/Walks		75,000					\$ 75,000
f.Roadway Improvements							\$ -
g.Parking ____ spaces		1,000,000					\$ 1,000,000
h.Telecommunication	120,000						\$ 120,000
i.Electrical Service	175,000						\$ 175,000
j.Water Distribution	120,000						\$ 120,000
k.Sanitary Sewer System	125,000						\$ 125,000
l.Chilled Water System	175,000						\$ 175,000
m.Storm Water System	150,000						\$ 150,000
n.Energy Efficient Equipment							\$ -
Total Construction Costs	24,475,000	8,593,613	0	0	0	0	\$ 33,068,613
2. OTHER PROJECT COSTS							
a.Land/existing facility acquisition							
b.Professional Fees	2,600,000						\$ 2,600,000
c.Fire Marshall Fees	7,250						\$ 7,250
d.Inspection Services	40,000						\$ 40,000
e.Insurance Consultant	23,200						\$ 23,200
f.Surveys & Tests	50,000						\$ 50,000
g.Permit/Impact/Environmental Fees	8,700						\$ 8,700
h.Artwork	29,000						\$ 29,000
i.Moveable Furnishings & Equipment		2,000,000					\$ 2,000,000
j.Project Contingency	640,000	230,000					\$ 870,000
Total - Other Project Costs	3,398,150	2,230,000	0	0	0	0	\$ 5,628,150
ALL COSTS 1+2	27,873,150	10,823,613	0	0	0	0	\$ 38,696,763

Appropriations to Date			PECO Ask	Project Costs Beyond CIP Period			Total Project In CIP & Beyond
Source	Fiscal Year	Amount		Source	Fiscal Year	Amount	
PECO	2016-17	5,000,000		CRYFWD	2016-17	5,000,000	
PECO	2017-18	2,000,000					
PECO	2018-19	-		CRYFWD	2018-19	15,873,150	
TOTAL		7,000,000	10,823,613	TOTAL		20,873,150	38,696,763

CIP-3

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: \$ 38,696,763
 Previous Funding (State): \$ 7,000,000
 University Contribution: \$ 20,873,150
 Current Request: \$ 10,823,613
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University has increased as the university developed. This will lead to more students graduating with degrees in high-tech fields. These graduates will earn salaries higher than average wages, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The ARC will provide research space for faculty which gives graduate students opportunities beyond the limited opportunities currently available to engage in research in the Innovation, Science and Technology (IST) building. We anticipate that additional graduate students will get research experience as a result of building the Applied Research Center (ARC). The ARC will attract major private sector research companies looking to take advantage of the university's graduate students. While the number is undetermined at this time, Florida Polytechnic University currently has no research space in which to collaborate on applied research projects with industry partners.

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

Explanation:

We anticipate an additional \$20 M in research funding and 5-10 patents in the short term. Already, we have freshmen students who are being assisted with filing provisional patents.

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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students and faculty in those programs engage in "applied research" which is a major focus of the institution.

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

Explanation:

Florida Polytechnic University began educating students in the Fall of 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The capacity of the university to collaborate with more industry partners will lead to internships and jobs for its students. The ARC will help with recruiting additional partners. Many of our 89 existing partners have already expressed their interest in providing internships for Florida Polytechnic University students. Therefore we expect that many of the additional partners will also provide internships for students.

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

Explanation:

Currently, we are converting classroom space to research space which creates two negative outcomes. First, the conversion of classroom space reduces the intended capacity of the IST for educating students. Second, the converted classroom space is not ideal for use as research space. Therefore, the ARC will provide appropriate space for applied research and free up space in the IST for academic instruction. This increases the number of students that can be educated in those high-tech fields important to Florida's development as a leader in STEM education. The research conducted will lead to commercialization of some of the outcomes from that research.

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

Explanation: None

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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:

Not applicable. The first phase of the campus was completed in 2014.

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 May 2018, 50+ companies have relationships with the University. The companies 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 affiliations.

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

Page 8 of 25

AGENCY Florida Polytechnic University
 BUDGET ENTITY SUS
 PROJECT TITLE Student Achievement Center

AGENCY PRIORITY 2
 DATE BLDG PROGRAM
 APPROVED 05.23.2018

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 immediately 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.

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

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GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR I **1210**

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	1.4	3,500	325	1,137,500		
Office Computer	5,000	1.4	7,000	331	2,317,000		
Audit/Exhibit	32,000	1.4	44,800	329	14,739,200		
Study	1,200	1.4	1,680	298	500,640		
Campus Support	286	1.4	400	282	112,913		
Totals	40,986		57,380		18,807,253		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					18,807,253	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS				ESTIMATED COSTS			
	Funded to						
1. BASIC CONSTRUCTION COSTS	<u>Date</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>	<u>Funded & In CIP</u>
a.Construction Cost (from above)			4,137,600	13,541,220	1,128,433		\$ 18,807,253
Add'l/Extraordinary Const. Costs							
b.Environmental Impacts/Mitigation							\$ -
c.Site Preparation			25,000				\$ 25,000
d.Landscape/Irrigaiton					12,500		\$ 12,500
e.Plaza/Walks					37,500		\$ 37,500
f.Roadway Improvements							\$ -
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							\$ -
Total Construction Costs	0	0	5,155,600	13,541,220	1,178,433	0	\$ 19,875,253
2. OTHER PROJECT COSTS							
a.Land/existing facility acquisition							\$ -
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					564,218		\$ 564,218
Total - Other Project Costs	0	0	1,125,475	45,000	1,578,718	0	\$ 2,749,193
ALL COSTS 1+2	0	0	6,281,075	13,586,220	2,757,151	0	\$ 22,624,446

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	22,624,446

CIP-3

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: Student Achievement Center
 Total Project Cost: \$ 22,624,446
 Previous Funding (State): \$ 0
 University Contribution: \$ 0
 Current Request: \$ 22,624,446
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University will increase as the university develops. This will lead to more students graduating with degrees in high-tech fields. These graduates will earn salaries higher than average wages, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The SAC will provide student services space and instructional support, which gives all students opportunities beyond the limited opportunities currently available, to engage in learning and study activity in the Innovation, Science and Technology (IST) building. We anticipate that additional students will get enhanced academic experience as a result of building the Student Achievement Center (SAC). The SAC will attract major private sector companies looking to take advantage of the university's student assembly spaces, and to schedule weekend training opportunities in the auditorium and meeting spaces. While the number is undetermined at this time, Florida Polytechnic University currently has limited space in which to collaborate on tutoring, student engagement with support staff, and direct contact with registrar, student health, counseling, bursar, and financial aid.

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

Explanation:

We anticipate an additional \$20 M in research funding and 5-10 patents in the short term. Already, we have several students who are being assisted with filing provisional patents. The academic support will be in the SAC.

4. X 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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students in the programs engage in both research and academics ... a major focus of the institution.

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

Explanation:

Florida Polytechnic University began educating students in 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The SAC will help with retention of students for our industry partners. Therefore, we expect that many of the additional partners will also provide internships for students.

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

Explanation:

Currently, we are occupying academic office space for collaboration rooms and occupying temporary facilities for student support, which creates two negative outcomes. First, the conversion of the space forces use of the Polk State College office space. Second, the temporary office spaces in Housing 2 implies lack of concern for student services. Therefore, the SAC will provide appropriate space for both student services and staff offices, and it will free up space in the IST for faculty and academic support. It increases the number of students that can be served or counseled in those high-tech fields important to Florida's development as a leader in STEM education. The service conducted will lead to academic success for students.

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

Explanation:

Initial \$5M was donated for student wellness and success. A portion of the money was expended for room in Housing 2 – a public, private partnership. The remainder of the monies and new funds will help supplement the project.

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:

Not applicable. The first phase of the campus was completed in 2014.

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 in real-world issues of high importance to its citizens. Success of the students is paramount to retention and the university mission of education. The University is at the forefront of an emerging trend among STEM institutions to supply the expertise and emerging 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 student and faculty growth, the expectation is that we must begin developing collaborative methods for student success and support for the students. The students are expected to work with the faculty and industry partners on real world problems, which can help them grow Florida's economy. The students must have sufficient space and access to technology, which high-tech industries demand of the student interns.

Space is needed to meet the demand for hosting industry groups to gather for conferences and training, as well as national and international meetings that bring money from around the world to Florida. The intellectual talent will be available to partners in Florida, leading to an increased likelihood that solutions to problems will be generated by the students.

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 partners 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 support student success is crucial to the university's mission and is a significant part of the foundation for creating Florida Polytechnic University.

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

Page 13 of 25

AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Faculty Staff Office BuildingAGENCY PRIORITY 3

DATE BLDG PROGRAM

APPROVED 05.23.2018

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

The Technology Exhibition Hall will house the exhibition hall, campus support services and offices. It is a component of the original 2005 Master Plan for the University. The University has very limited access to exhibit spaces. Campus support service spaces are almost non-existent on the JDA Campus. Currently, University personnel are housed on the JDA Campus in the Innovation, Science & Technology Building, Technology Admissions Center, the Wellness Center Phase 1 and the Student Housing 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 Technology Exhibition Hall will house the main exhibition space, campus support services, meeting spaces and administrative offices. 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, exhibition space, campus support and office spaces. STEM organizations and industry related companies have already approached the University about hosting scientific meetings and conferences. The construction of a Technology Exhibition Hall will free up space in other campus facilities for such endeavors.

One of the University's primary objectives is to develop relationships with industry in teaching and research. The proposed facility supports Florida Poly's ability to do so.

STATISTICAL JUSTIFICATION

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

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

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GEOGRAPHIC LOCATION: **Florida Polytechnic University - Lakeland FL**COUNTY: **Polk**PROJECT BR No. **1211**

CIP-3, B - PROJECT DESCRIPTION		Faculty/Staff Office Building					
Facility/Space Type	Net Area (NASF)	Net to Gross Conversion	Gross Area (GSF)	Unit Cost (Cost/GSF)*	Construction Cost	Assumed Bid Date	Occupancy Date
Office Computer	30,000	1.4	42,000	331	13,902,000		
Audit/Exhibit	4,000	1.4	5,600	329	1,842,400		
Campus Support	4,786	1.4	6,700	282	1,889,400		
Space Detail for Remodeling Projects							
				BEFORE		AFTER	
				Space Type	Net Area (NASF)	Space Type	Net Area (NASF)
Totals	38,786		54,300		17,633,800		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					17,633,800	Total	0

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS				ESTIMATED COSTS			
		Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5
1. BASIC CONSTRUCTION COSTS							
a. Construction Cost (from above)					2,750,000	11,293,800	3,590,000
Add'l/Extraordinary Const. Costs							
b. Environmental Impacts/Mitigation							\$ -
c. Site Preparation					25,000		\$ 25,000
d. Landscape/Irrigation					12,500		\$ 12,500
e. Plaza/Walks					37,500		\$ 37,500
f. Roadway Improvements							\$ -
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							\$ -
Total Construction Costs		0	0	0	3,830,500	11,293,800	3,590,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition							\$ -
b. Professional Fees					1,000,000	546,347	\$ 1,546,347
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
i. Moveable Furnishings & Equipment							\$ 1,000,000
j. Project Contingency							\$ 529,014
Total - Other Project Costs		0	0	0	1,022,475	591,347	1,543,514
ALL COSTS 1+2		0	0	0	4,852,975	11,885,147	5,133,514

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	21,871,636

CIP-3

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: Faculty/Staff Office Building
 Total Project Cost: \$ 21,871,636
 Previous Funding (State): \$ 0
 University Contribution: \$ 0
 Current Request: \$ 21,871,636
 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@FloridaPoly.edu

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:

The number of students attending Florida Polytechnic University will increase to 2,300 as the university develops, and more faculty are hired into the new programs. This will lead to more students graduating with degrees in high-tech fields, thus helping to increase the economic health of the State of Florida.

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

Explanation:

The Faculty Staff Office Building and training facilities will provide space for more faculty which giving students more opportunities for curriculum. We anticipate that additional students will get new experiences in emerging technologies, as a result of building the Faculty Staff Office Building (FSO). The training area in the building will attract major private sector research companies looking to take advantage of the university's graduating students.

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

Explanation:

Coupled with the Applied Research Center the Faculty Staff Office Building can help provide the additional \$20 M in research funding and the 5-10 patents in the short term.

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:

Florida Polytechnic University is a 100% STEM University so all degree programs address Areas of Strategic Emphasis. Students and faculty in those programs engage in "applied research" which is a major focus of the institution. Staff and faculty support only leads to improved programs in STEM programs.

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

Explanation:

Florida Polytechnic University began educating students in the Fall of 2014. Therefore there has been not enough time to generate results or data to serve as the basis for any of its programs to be classified as preeminent or be included in the state's Performance Funding Model.

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

Explanation:

The capacity of the university to collaborate with more industry partners will lead to internships and jobs for its students. The FSO will help with recruiting additional faculty and partners. Many of the more than 100 partners have already expressed their interest in providing internships for Florida Polytechnic University students. Expanded faculty can help mentor those students.

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

Explanation:

Currently, we are converting office space to tutoring space, which creates a negative outcome for faculty and staff. The converted classroom space is not ideal for use as tutoring space. Therefore, the FSO training space will provide appropriate space for student and staff instruction assistance.

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

Explanation: \$5M has been donated to the project through private donations.

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:

Not applicable. The first phase of the campus was completed in 2014, with no significant additions since that time, other than P3 Housing.

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. The University is at the forefront of an emerging trend among STEM institutions to supply the expertise and collaborative Faculty mentoring opportunities that are vital to high-tech companies. Florida Polytechnic outcomes 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 May 2018, 50+ companies have relationships with the University. The companies are expecting to work with our faculty and students on problems that can help them grow Florida's economy. These partners and more to come, along with our faculty and students must have sufficient mentoring and office space, with access to technology which high-tech industries demand of partners.

Space is also needed to meet the demand for hosting industry research groups as well as national and international meetings that bring money from around the world to Florida. The FSO will provide for much needed appropriate faculty and staff office support.

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 partners and University faculty mentors, 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, having 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 house faculty and staff, and provide training areas, is crucial to the university's mission and is a significant part of the foundation for creating Florida Polytechnic University.

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

Florida Polytechnic University

2019-2020

Univ.	Project Title	GSF	Brief Description of Project	Project Location	Project Amount*	Funding Source	Estimated Month	Estimated Annual Amount For	
							Of Board	Operational & Maintenance Costs	Source
							Approval Request	Amount *	
1- FPU	Parking Structure 1	156,000	600-Car Parking Structure 1	Lakeland	\$11,099,800	DSO	05.23.2018	\$90,000	Bond Funds
2- FPU	Parking Structure 2	149,500	600-Car Parking Structure 2	Lakeland	\$10,061,750	DSO	05.23.2018	\$90,000	Bond Funds
3- FPU	Res Hall 3	134,400	350-bed Residential Housing	Lakeland	\$25,980,518	DSO	05.23.2018	\$180,000	Bond Funds
4- FPU	Res Hall 4	134,400	350-bed Residential Housing	Lakeland	\$25,980,518	DSO	05.23.2018	\$180,000	Bond Funds
Subtotal					\$73,122,586			\$540,000	
Courtelis Matching Fund									
	Private Contribution	115,889	IST Buiding & Site Infrastructure	Lakeland	\$10,634,192	CFDC	10.24.12 *	\$315,000	PO+M & Carry Forward
	Private Contribution	39,955	Wellness Center	Lakeland	\$3,500,000	LFDC	10.24.12 *	\$130,000	PO+M & Auxilliary
Subtotal					\$14,134,192			\$445,000 *	
* Transferred from USFP									

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

Page 19 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Parking Structure 1 & 2AGENCY PRIORITY 5

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 1,200 spaces would be met by the project in two phases of 600 each, with shared ramps. The program requires the university to also investigate adjacent alternate use spaces in order to maximize infrastructure investment.

To support the development of the university transportation alternates have been studied. The need for parking structures is documented in a study prepared for the university by Tim Haas Associates, and will be included in the Master Plan Update.

STATISTICAL JUSTIFICATION

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

April 2012

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

Page 20 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1212

CIP-3, B - PROJECT DESCRIPTION							
600-Car Parking Structure 1							
Facility/Space	Net Area	Net to Gross	Gross Area	Unit Cost	Construction	Assumed	Occupancy
Type	(NASF)	Conversion	(GSF)	(Cost/GSF)*	Cost	Bid Date	Date
Parking	120,000	1.3	156,000	60	9,360,000		
			0		0	Space Detail for Remodeling Projects	
			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							
a. Construction Cost (from above)			\$9,360,000				\$9,360,000
Add'l/Extraordinary Const. Costs							
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							
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

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

Page 21 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No. 1213

CIP-3, B - PROJECT DESCRIPTION							
600-Car Parking Structure 2							
Facility/Space	Net Area	Net to Gross	Gross Area	Unit Cost	Construction	Assumed	Occupancy
Type	(NASF)	Conversion	(GSF)	(Cost/GSF)*	Cost	Bid Date	Date
Parking	115,000	1.3	149,500	60	8,970,000		
			0		0	Space Detail for Remodeling Projects	
			0		0		
			0		0		
			0		0		
			0		0		
Totals	115,000		149,500		8,970,000		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					8,970,000	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							
a. Construction Cost (from above)				\$8,970,000			\$8,970,000
Add'l/Extraordinary Const. Costs							
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							
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		0	TOTAL		0	\$10,061,750

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

Page 22 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Residence Hall 3AGENCY PRIORITY 6

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 2019-20 academic year to over 1,481 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.

STATISTICAL JUSTIFICATION

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

STATE UNIVERSITY SYSTEM
CIP-3, SHORT-TERM PROJECT EXPLANATIONPage 23 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1214

CIP-3, B - PROJECT DESCRIPTION Residential Housing 3 - PPP							
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	90,000	1.4	126,000	160	\$20,160,000		
350 bed Unit			0		\$0		
Living Learning	6,000	1.4	8,400	160	\$1,344,000		
			0		\$0		
			0		\$0		
Totals	<u>96,000</u>		<u>134,400</u>		<u>\$21,504,000</u>		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>\$21,504,000</u>	Total	<u>0</u>
						Total	<u>0</u>

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS							
ESTIMATED COSTS							
1. BASIC CONSTRUCTION COSTS	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
a. Construction Cost (from above)				\$17,472,000			\$21,504,000
Add'l/Extraordinary Const. Costs							
b. Environmental Impacts/Mitigation				\$0			\$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			\$0
g. Parking <u>260</u> 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			\$0
Total Construction Costs	\$0	\$0	\$0	\$19,249,000	\$0	\$0	\$23,281,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition				\$0			\$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			\$0
i. Moveable Furnishings & Equipment				\$1,050,000			\$1,050,000
j. Project Contingency				\$0			\$0
Total - Other Project Costs	\$0	\$0	\$0	\$2,699,518	\$0	\$0	\$2,699,518
ALL COSTS 1+2	\$0	\$0	\$0	\$21,948,518	\$0	\$0	\$25,980,518

Appropriations to Date
Source Fiscal Year AmountProject Costs Beyond CIP Period
Source Fiscal Year AmountTotal Project In
CIP & BeyondTOTAL \$0TOTAL \$0\$25,980,518

CIP-3

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

Page 24 of 25AGENCY Florida Polytechnic UniversityBUDGET ENTITY SUSPROJECT TITLE Residence Hall 4AGENCY PRIORITY 7

DATE BLDG PROGRAM

APPROVED 05.23.2018

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 2020-21 academic year to over 1,617 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 fourth 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.

STATISTICAL JUSTIFICATION

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

STATE UNIVERSITY SYSTEM
CIP-3, SHORT-TERM PROJECT EXPLANATIONPage 25 of 25

GEOGRAPHIC LOCATION: Florida Polytechnic University - Lakeland FL

COUNTY: Polk

PROJECT BR No.: 1215

CIP-3, B - PROJECT DESCRIPTION Residential Housing 4 - PPP							
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	90,000	1.4	126,000	160	\$20,160,000		
350 bed Unit			0		\$0		
Living Learning	6,000	1.4	8,400	160	\$1,344,000		
			0		\$0		
			0		\$0		
Totals	<u>96,000</u>		<u>134,400</u>		<u>\$21,504,000</u>		
*Apply Unit Cost to total GSF based on primary space type							
Remodeling/Renovation							
Total Construction - New & Rem./Renov.					<u>\$21,504,000</u>	Total	<u>0</u>
						Total	<u>0</u>

CIP-3, C - SCHEDULE OF PROJECT COMPONENTS							
ESTIMATED COSTS							
1. BASIC CONSTRUCTION COSTS	Funded to Date	Year 1	Year 2	Year 3	Year 4	Year 5	Funded & In CIP
a. Construction Cost (from above)						\$17,472,000	\$21,504,000
Add'l/Extraordinary Const. Costs							
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	\$0
g. Parking <u>260</u> 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	\$0
Total Construction Costs	\$0	\$0	\$0	\$0	\$0	\$19,249,000	\$23,281,000
2. OTHER PROJECT COSTS							
a. Land/existing facility acquisition						\$0	\$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	\$0
i. Moveable Furnishings & Equipment						\$1,050,000	\$1,050,000
j. Project Contingency						\$0	\$0
Total - Other Project Costs	\$0	\$0	\$0	\$0	\$0	\$2,699,518	\$2,699,518
ALL COSTS 1+2	\$0	\$0	\$0	\$0	\$0	\$21,948,518	\$25,980,518

Appropriations to Date
Source Fiscal Year AmountProject Costs Beyond CIP Period
Source Fiscal Year AmountTotal Project In
CIP & BeyondTOTAL \$0TOTAL \$0\$25,980,518

CIP-3

AGENDA ITEM: X

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 22, 2018**

Subject: Foundation Action Items

Proposed Committee Action

Recommend approval of the following items to the Board of Trustees:

1. Recognize and confirm current Florida Polytechnic University Foundation, Inc. Board Members
2. Florida Polytechnic University Foundation 2018-19 Budget
3. Accept \$25K Avent Family Foundation Endowed Scholarship
4. Accept \$26K Chess Club Endowed Scholarship
5. Accept \$50K Boring Business Solutions Naming Opportunity
6. Accept \$100K The Gidel Family Foundation Endowed President's Fund

Background Information

Mr. Kevin Aspegren will review the six action items pertaining to the Foundation.

Supporting Documentation:
PowerPoint Presentation

Prepared by: Kevin Aspegren, Vice President of Advancement



FLORIDA POLYTECHNIC
UNIVERSITY

Foundation Action Items

Kevin J. Aspegren

May 22, 2018



Foundation Board Member Confirmation

- **Senate Bill 4 signed into law March 11, 2018**

Ford Heacock, Chair	Alice Hunt, Vice Chair
Ralph Allen	Todd Baylis
David Mann	Gregory Fancelli
Dr. Sijo Parekattil	Rob Kincart
Blake Paul	Shelley Robinson
Loretta Sanders	Lauren Schwenk
Donna Slyster	Vic Story
Seretha Tinsley Don Wilson- BoT Appointee	Dr. Michael Tolentino Kathryn Mizerek- President Appointee

**Action – Board of Trustees Recognize & Confirm
Current Florida Polytechnic University Foundation,
Inc Board Members**



Foundation Budget 2018-19

- **The Florida Polytechnic University Foundation, Inc 2018-19 Budget was unanimously approved by the Foundation Board of Directors April 5, 2018**
- **The Budget included a \$1M scholarship goal**
- **The \$1M scholarship budget line item is not a commitment to the university**

Action – Board of Trustees Approve the Florida Polytechnic University Foundation 2018-19 Budget



Avent Family Foundation Endowed Scholarship

- **\$25,000 Endowed Scholarship - First Generation in College Students Underrepresented Groups**
- **Gift agreement accepted by Florida Polytechnic University Foundation, Inc.**
- **Gift Agreement forwarded and accepted by President Randy K. Avent**

**Action – Board of Trustee Accept \$25K
Avent Family Foundation Endowed Scholarship**



Chess Club Endowed Scholarship

- **\$26,000 Endowed Scholarship**
- **Gift agreement accepted by Florida Polytechnic University Foundation, Inc.**
- **Executed Gift Agreement forwarded and accepted by President Randy K. Avent**

**Action – Board of Trustee Accept \$26K
Chess Club Endowed Scholarship**



Boring Business Solutions Naming Opportunity

- **\$50,000 Naming opportunity for three printing/copy labs in the IST Building**
- **Gift agreement accepted by Florida Polytechnic University Foundation, Inc.**
- **Executed Gift Agreement forwarded and accepted by President Randy K. Avent**

**Action – Board of Trustee Accept \$50K Boring
Business Solutions Naming Opportunity**



The Gidel Family Foundation Endowed President's Fund

- **\$100,000 The Gidel Family Foundation President's Endowed Fund to be used for President's priorities and discretion**
- **Gift agreement accepted by Florida Polytechnic University Foundation, Inc.**
- **Executed Gift Agreement forwarded and accepted by President Randy K. Avent**

**Action – Board of Trustee Accept \$100K
The Gidel Family Foundation
Endowed President's Fund**

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION
BUDGET WORKSHEET

BUDGET ACCOUNT/DESCRIPTION		FY 17/18 BUDGET	FY 18/19 BUDGET	BUDGET INCREASE/ (DECREASE) OVER PRIOR YEAR	
				\$	%
SALARIES AND BENEFITS					
600000	SALARY	226,856	311,533	84,677	37.33%
600000	BENEFITS & TAXES	206,713	174,951	(31,762)	-15.37%
	TOTAL SALARIES & BENEFITS	433,569	486,485	52,916	12.20%
CONTRACTUAL SERVICES (710000-719999)					
700000	ACCOUNTING/BANKING SERVICES	17,500	20,125	2,625	15.00%
700000	CONSULTING SERVICES	252,000	252,000	0	0.00%
700000	OTHER CONTRACTUAL SERVICES	-	10,000	10,000	
	TOTAL CONTRACTUAL SERVICES	269,500	282,125	12,625	4.68%
SCHOLARSHIPS (750000-759999)					
700000	FINANCIAL AID/SCHOLARSHIPS/STIPENDS	2,617,394	1,000,000	(1,617,394)	-61.79%
	TOTAL SCHOLARSHIPS	2,617,394	1,000,000	(1,617,394)	-61.79%
TRAVEL EXPENSES (770000-779999)					
700000	TRAVEL	25,992	37,290	11,298	43.47%
	TOTAL TRAVEL	25,992	37,290	11,298	43.47%
OTHER OPERATING EXPENSES (790000-799999)					
700000	MEMBERSHIPS/SUBSCRIPTIONS & DUES	-	9,000	9,000	
700000	PROFESSIONAL LICENSES	1,801	1,891	90	5.00%
700000	RENTALS SPACE/EQUIPMENT	19,000	19,950	950	5.00%
700000	PRINTING & REPRODUCTION	16,625	17,456	831	5.00%
700000	POSTAGE/COURIER SERVICES	4,750	4,988	238	5.00%
700000	OTHER OPERATING EXPENSES	59,632	62,614	2,982	5.00%
700000	INSURANCE	4,000	4,200	200	5.00%
700000	FOOD & BEVERAGES HUMAN CONSUMPTION	187,103	196,458	9,355	5.00%
700000	ENTERTAINMENT EXPENSE	61,750	66,338	4,588	7.43%
700000	MEETING PROGRAM EXPENSE		9,000		
	TOTAL OTHER OPERATING EXPENSES:	354,661	391,895	37,233	10.50%
	TOTAL	3,701,116	2,197,794	(1,503,323)	-40.62%

AGENDA ITEM: XII.

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 22, 2018**

Subject: Consideration and approval of anticipated use of University resources 2018-19

Proposed Committee Action

Approval of estimated resources to be provided to the Florida Polytechnic University Foundation for the 2018-19 fiscal year.

Background Information

Section 1004.28(3), Florida Statutes, requires the Board of Trustees (Trustees) to prescribe by rule any conditions with which a university direct support organization (DSO) must comply in order to use property, facilities, or personal services and such rules must provide for budget and audit review and oversight by the Trustees. David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will provide the Committee with an estimate of costs relating to the use property, facilities, and personal services provided to the Florida Polytechnic University Foundation for the 2018-19 fiscal year.

Supporting Documentation: Supporting documentation located in the presentation prepared for the Finance and Facilities Committee.

Prepared by: Finance personnel.

**Estimated Resources
Provided by the University to the Foundation
For the Fiscal Year Ending 6/30/19**

Staff Name	Title	
Kevin Aspegren*	VP, Advancement/Foundation CEO	
Kim Kennedy	Executive Asst to VP Advancement	
Cynthia Alexander	AVP, Advancement	
Robert Kennedy	Director, Development	
Maureen Bowling	Assistant Director, Development	
Vacant	Assistant Director, Development	
Rebekah Bishop	Donors Relations Associate	
D'Linda Oliver	Data Analyst	
Laura Schumacher	Research Associate, Advancement	
Lidia Vigil	Events & Annual Giving Coordinator	
Derek Horton	AVP, Fin & Admin/Foundation Treasurer	
Regina Siewert	Director, Budget	
John Sprenkle	Director, Finance & Accounting	
Andrew Strazi	Director, Reporting & Analytics	
Larry Locke	Financial Analyst	
Emily Gerrard	A/P Coordinator	
Walter Mackoon	Accounting Coordinator	
Jill Hernandez	Assistant Director, Treasury Mgmt	
Regina Delulio*	General Counsel	
Total Estimated Personal Service Costs		220,481 A
Total Estimated Space and Property		<u>12,404 B</u>
Total Estimated Resources to be provided		<u>\$ 232,885</u>

A- Based on anticipated effort ranging from 5 - 20 percent of total time.

B - Based on square footage of office space at Poly South used.

* Foundation directly pays personal service costs for employee.

Source: Estimate prepared by University Accounting & Finance



FLORIDA POLYTECHNIC
UNIVERSITY

Board of Trustees Academic & Student Affairs Committee Meeting

Tuesday, May 22, 2018

2:15 PM-3:15 PM

(or upon conclusion of previous Committee meeting)

Joker Marchant Stadium

2301 Lakeland Hills Blvd.

Lakeland, FL 33805

Dr. Richard Hallion, Vice Chair
Bob Stork
Dr. Adrienne Perry

Philip Dur
Travis Hills

Henry McCance
Dr. Jim Dewey

AGENDA

- | | |
|--|--------------------------|
| I. Call to Order | Dick Hallion, Vice Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Dick Hallion, Vice Chair |
| IV. Approval of the February 28, 2018 Minutes
Action Required | Dick Hallion, Vice Chair |
| V. 2016-18 Academic & Student Affairs Committee Work Plan Review | Dick Hallion, Vice Chair |
| VI. Provost Report | Dr. Terry Parker |
| A. Four Year Graduation Improvement Plan
Action Required | |
| B. Approval of Name Change on Two Undergraduate Degrees
Action Required | |
| C. New Degrees over Next Three Years
Action Required | |
| D. Faculty Handbook Revision
Action Required | |
| E. Highlights from Career Services and the Inaugural Curriculum
Advisory Board | Dr. Kathryn Miller |
| F. Accreditation Board for Engineering & Technology (ABET) | Dr. Tom Dvorske |
| VII. Closing Remarks and Adjournment | Dick Hallion, Vice Chair |

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
ACADEMIC AND STUDENT AFFAIRS COMMITTEE
MEETING MINUTES**

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

**February 28, 2017 @ 10:30 AM
*or upon the conclusion of the previous meeting***

I. Call to Order

Committee Vice -Chair Richard Hallion called the Academic and Student Affairs Committee meeting to order at 10:05 a.m.

II. Roll Call

Maggie Mariucci called the roll: Vice-Chair Richard Hallion, Trustee Henry McCance, Trustee Bob Stork, Trustee Philip Dur, Trustee Jim Dewey, and Trustee Jacob Livingston were present (Quorum).

Other trustees present: Board Chair Frank Martin, Trustee Louis Saco, Trustee Cliff Otto, Trustee Gary Wendt, and Trustee Mark Bostick.

Staff present: President Randy Avent, Dr. Terry Parker, Mr. Mark Mroczkowski, Mr. Kevin Aspegren, Ms. Gina DeIulio, and Ms. Maggie Mariucci were present.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee Gary Wendt made a motion to approve the Academic and Student Affairs Committee meeting minutes of December 6, 2017. Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2016-2018 Academic and Student Affairs Committee Work Plan Review

The Work Plan was reviewed below with the Provost's Report.

VI. Provost's Report

Dr. Terry Parker reviewed committee Work Plan items.

Dr. Parker reported on the status of ABET Accreditation. ABET is the accreditation agency for engineering and technology degrees. July 2019 is the earliest timeframe for receiving approval. This would include back accreditation to include May 2018 graduates. President Randy Avent stated that the ABET accreditation process could not start until SACSCOC accreditation was complete. Trustee Philip Dur suggested that the University should position itself aggressively to attract major donors that require ABET accredited engineers and their programs.

The University will be hiring a Director of Teaching and Learning to help Florida Poly improve the classroom experience and facilitate long-term planning. Three candidates have been selected to interview for the position.

Admissions has received 1,321 applications and has admitted 587 students. Provost Parker reviewed admissions data as compared to previous years. The quality of students applying has improved. Trustee Hallion remarked on the rising ACT/SAT and GPA's of admitted students.

Block tuition has been removed from the SUS plan; their focus will be on achieving a four-year graduation rate. Trustee Livingston stated from a student perspective, most students are motivated to graduate in four years due to scholarship retention requirements and prospective job opportunities.

Dr. Parker presented a report on degree offerings. The University currently offers six undergraduate degrees. Degrees will be expanded in the future. Concentrations are being added and modified to current degree programs. Trustee Dur encourages consideration of additional degree offerings in Aerospace, and Naval and Marine engineering.

Dr. Parker reported on the status of Industry Partnerships and the different types of partnerships.

VII. Rename Degree: Master of Science in Innovation to Master of Science in Computer Science

Trustee Philip Dur made a motion to approve the renaming of the degree: Master of Science in Innovation and Technology to Master of Science in Computer Science. Trustee Gary Wendt seconded the motion; a vote was taken, and the motion passed unanimously.

VIII. Student Government Association (SGA) Report

Trustee Jacob Livingston, SGA President presented a report on the Student Government Association (SGA). The branches of SGA were explained along with the corresponding budget and activities offered.

IX. Student Development Update

Mr. Scott Rhodes presented a report on Student Development. He reported on the various programs the Student Development department oversees, including the newly opened Student Development Center building.

X. 2018-2019 Academic Calendar

Ms. Dahl Grayckowski presented the 2018-2019 academic calendar.

Trustee Gary Wendt made a motion to approve the 2018-2019 Academic Calendar. Trustee Jacob Livingston seconded the motion; a vote was taken and the motion passed unanimously.

XI. United Faculty of Florida, Florida Poly Chapter Remarks

Dr. Richard Matyi, President of the Florida Poly Chapter, United Faculty of Florida, read brief comments to the Board of Trustees regarding collective bargaining.

XII. Closing Remarks and Adjournment

With no further business to discuss, the Academic and Student Affairs Committee meeting adjourned at 11:45 a.m.

Florida Polytechnic University
Academic and Student Affairs Committee
Work Plan 2016-2018

March 15, 2017	June 7-8, 2017	September 13, 2017	December 6, 2017
<ul style="list-style-type: none"> • Faculty hiring program • Differentiating programs (entrepreneurship, health informatics, other initiatives) 	<ul style="list-style-type: none"> • Existing degree improvements • Admissions: the admission profile of the future 	<ul style="list-style-type: none"> • New degrees and changes to existing degrees • Student life: the experience beyond the classroom 	<ul style="list-style-type: none"> • Student success and retention: measures and next steps
February 28, 2018	May 22-23, 2018	September 12, 2018	December 5, 2018
<ul style="list-style-type: none"> • Degree Programs • Differentiating programs (entrepreneurship, health informatics, other initiatives) 	<ul style="list-style-type: none"> • Existing degree improvements • Admissions: the admission profile of the future 	<ul style="list-style-type: none"> • New degrees and changes to existing degrees • Student life: the experience beyond the classroom 	<ul style="list-style-type: none"> • Student success and retention: measures and next steps

AGENDA ITEM: VI.

**Florida Polytechnic University
Finance and Facilities Committee
Board of Trustees
May 22, 2018**

Subject: Provost's Report

Proposed Committee Action

Recommend approval of the following items to the Board of Trustees:

1. Four year graduation improvement plan
2. Rename the degree "Data Analytics" to be "Data Science"
3. Rename the degree "Science and Technology Management" to "Business Analytics"
4. Develop a new degree titled "Engineering Mathematics"
5. Develop a new degree titled "Engineering Physics"
6. Develop a new degree titled "Environmental Engineering"
7. Revised Faculty Handbook

Background Information

Provost Parker will provide information pertaining to the seven proposed action items. He will also provide information on Admissions, student and faculty diversity, graduate programs, technology and pedagogy.

Dr. Kathryn Miller will provide highlights from Career Services and the Inaugural Curriculum Advisory Board. Dr. Tom Dvorske will present an update on ABET accreditation.

Supporting Documentation:

PowerPoint Presentation; Four Year Graduation Rate Improvement Plan; revised Faculty Handbook.

Prepared by: Dr. Terry Parker, Provost / Dr. Kathryn Miller / Dr. Tom Dvorske



FLORIDA POLYTECHNIC
UNIVERSITY

Provost's Report

Terry Parker

May 22, 2018



A status update on the Work Plan

- **Work Plan Items**

- Admissions and Financial Aid
 - Admissions, current status
 - Financial aid, current status
- Student Services
 - Presentation from K. Miller on Career Services and Academic Success Center
- Block Tuition: This has changed into a four year graduation rate requirement plan
 - Summary of this plan
- Degree Program Additions and Faculty Hiring budget
 - Degree approvals for today
 - Faculty Hiring status to date



A status update on the Work Plan

- **Work Plan Items (part II)**

- Student and Faculty Diversity
 - Short Report on Status
- Graduate programs
 - Change in curriculum
 - Forecast for improved class in the fall
- Technology and Pedagogy
 - Redoing search for Director for Teaching and Learning

- **Other items for today**

- Faculty Handbook Changes for Approval
- Update on ABET, Dr. Tom Dvorske
- Update on Career Center and Academic Success Center, Dr. Kathryn Miller

- **Quick notes**

- Note admissions slide at end



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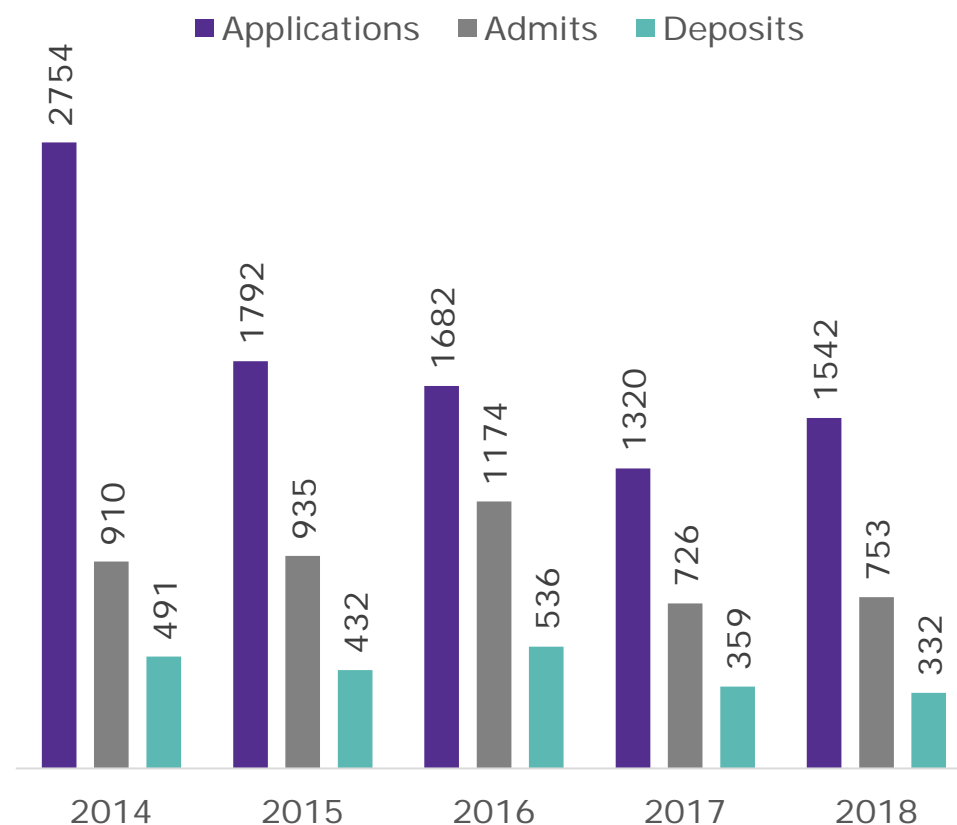
Admissions Summary

- Applicant “quality” still high for Deposits to date:

	2016-17 cycle	2017-18 cycle
ACT Mean	27.6	29.5
SAT Mean	1273	1300

- Incoming class size
 - Target ~400
 - Forecast ~375
 - Actively working on transfers
 - Adding Assistant Vice Provost of Admissions and Financial Aid

Admissions Comparison: First Week of May

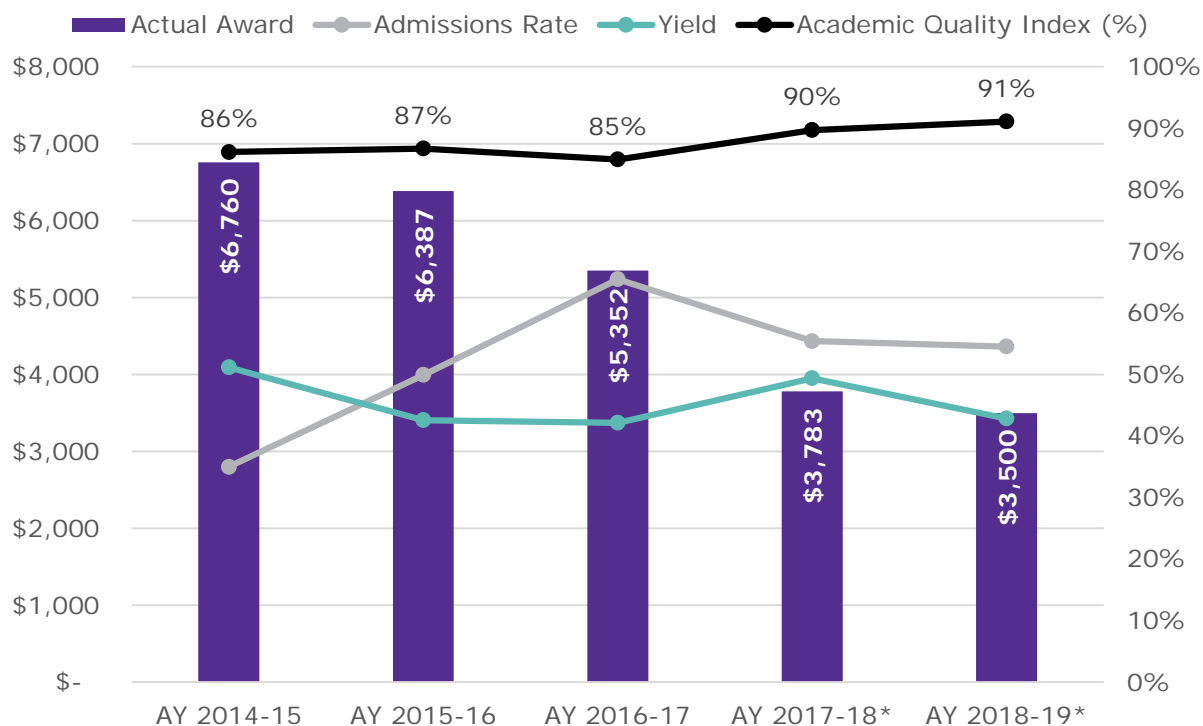




Florida Poly is evolving from aid based admission to reputation admission

- **Average institutional aid has dropped significantly since 2014**
- **Financial aid offers are for four years**
- **Student "Quality" has increased as institutional aid has decreased**
- **Federal aid:**
 - 30% Undergraduates get Pell Grant
 - 19% Undergraduates with Federal Student Loans
- **Use of Florida state aid....**
 - 48% Undergraduates receive Bright Futures Aid
 - Pell Eligible students may receive Florida State Assistance Grant (FSAG)

Average Award compared to Admissions and Yield Rate



*Projected Financial Aid

Notes:

- (1) Average Award: Average foundation-sponsored scholarships and university waivers awarded to a student during the academic year (fall, spring, summer).
- (2) Academic Quality Index: Sum of (ACT/30) + (SAT/1200) + (HS GPA/4.00).



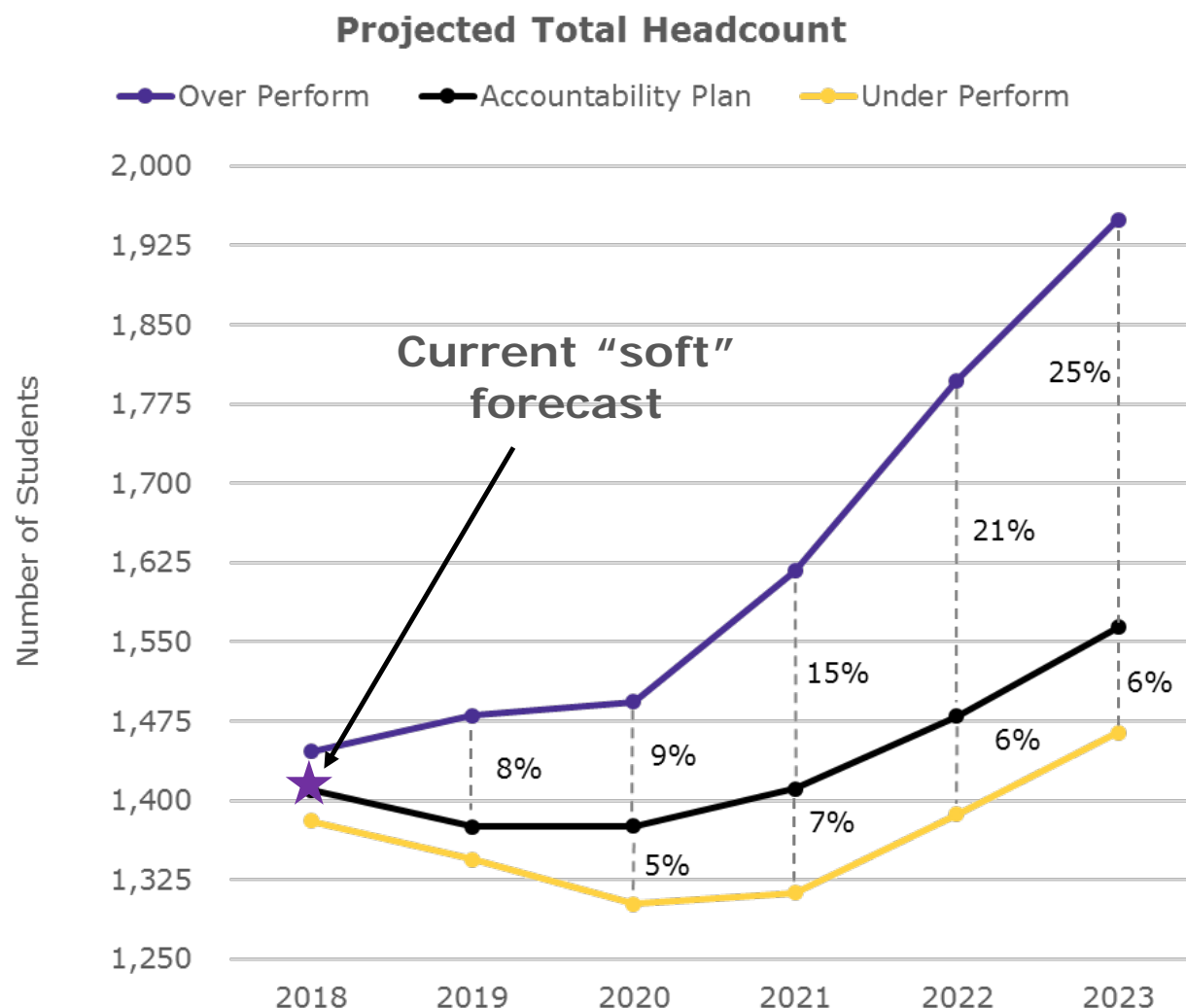
Student body size relies on cumulative admission and retention performance

- **Student Body size depends on**

- FTIC admits
- Transfers
- New Grad Students
- Retention
- Graduation

- **Modeling scenarios**

- Underperform, expected, or over-perform for admissions
- Flat or improving retention





Timely Graduation Plan

- **Incentives for timely graduation**
 - Academic
 - Academic Success Center focused on advising EVERY student on their best pathway to graduation
 - Policy: Demand based registration
 - Provides seats for on-track classes based on need not teaching capacity
 - Policy: Trailer sections
 - Provides off cycle delivery of “gateway” courses to allow students to recover from class withdrawals and failures
 - Policy: Summer session
 - Summer delivery of courses arranged to provide a pathway to “catch-up” for students that get off track
 - Curricular
 - Near common freshman year allows students to delay major choice with little consequence in terms of “wasted” credits
 - **Financial aid program to enable full time students with financial need to take at least 15 credit hours in the fall and spring semesters**
 - Financial
 - Aid packages incentivize students to limit work during the school year to 20 hours or less
 - Moving to an active program to file a FAFSA application
 - Institutional aid
 - Foundation Scholarships and Institutional Aid produce a discount rate of over 50%
-



Board Approval of the Four Year Graduation Improvement Plan

- **Background Information:**
 - Presented in Provost Report
- **Formal Plan included in supplemental materials as part of the board packet**
 - At the end of the presentation materials for the Academic and Student Affairs Committee
- **Proposed Committee action**
 - Approve the Four Year Graduation Improvement Plan



Degree Programs: Additions and Changes

- **Formal BOT approval requests for name changes**
 - Rename the degree “Data Analytics” to be “Data Science”
 - *Aligns degree name with mainstream institutions*
 - *Concentrations have been modified to meet broader marketability (Big Data Analytics, Internet of Things, Health Informatics)*
 - *Requires no change in CIP code*
 - Rename the degree “Science and Technology Management” to “Business Analytics”
 - *Aligns the degree name with the degree content*
 - *Concentrations have been modified to meet broader marketability (Logistics & Supply Chain Management, Intelligent Mobility, Quantitative Economics and Econometrics)*
 - *Requires no change in CIP code*



Board Approval of Degree Name Changes

- **Background Information:**
 - Presented in Provost Report
- **Proposed Committee actions (separate vote on each action):**
 - Rename the degree "Data Analytics" to be "Data Science"
 - Rename the degree "Science and Technology Management" to "Business Analytics"



Degree Program Additions

- **Degree Development and approval Process is:**
 - Discussion with Council of Academic Vice Presidents (CAVP) within the State University System
 - Results in a recommendation regarding the program
 - **Approval to proceed to develop the degree by Board of Trustees**
 - Full degree development and comment by University Curriculum
 - Full degree Approval of Degree by University Board of Trustees
- **We have proposed and received positive recommendations from the CAVP regarding:**
 - Bachelor of Science in Engineering Mathematics
 - Bachelor of Science in Engineering Physics
 - Bachelor of Science in Environmental Engineering
- **We are formally requesting approval to proceed to develop the curriculum in support of these degrees**



Board Approval to develop detailed curriculum for the proposed new degrees

- **Background Information:**
 - Presented in Provost Report
- **Proposed Committee actions (separate vote on each action):**
 - Approval to develop new degree titled “Engineering Mathematics”
 - Approval to develop new degree titled “Engineering Physics”
 - Approval to develop new degree titled “Environmental Engineering”



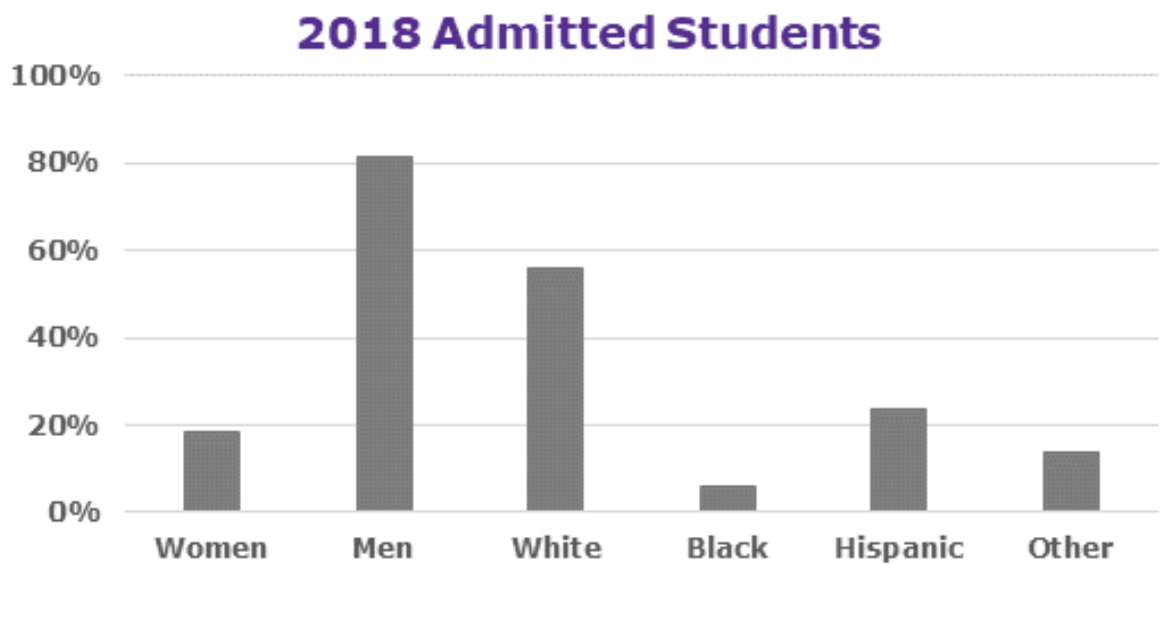
Faculty Hiring Status

Position	Resumes Reviewed	Phone Interviews	On Site Interviews	Offers made	Offers accepted	Offers accepted forecast
Computer Engineering	58	5	3	1	1	1
Mathematics	85	17	2	1		0
Computer Science	97	13	7	1	1	2
Mechanical Engineering	151	15	7	2	1	3
English	60	8	2	1	1	1
DA&STM	132	12	9	5	1	1
Electrical Engineering						1
Total						9



Florida Poly is attracting students that have significant choice in terms of college attendance

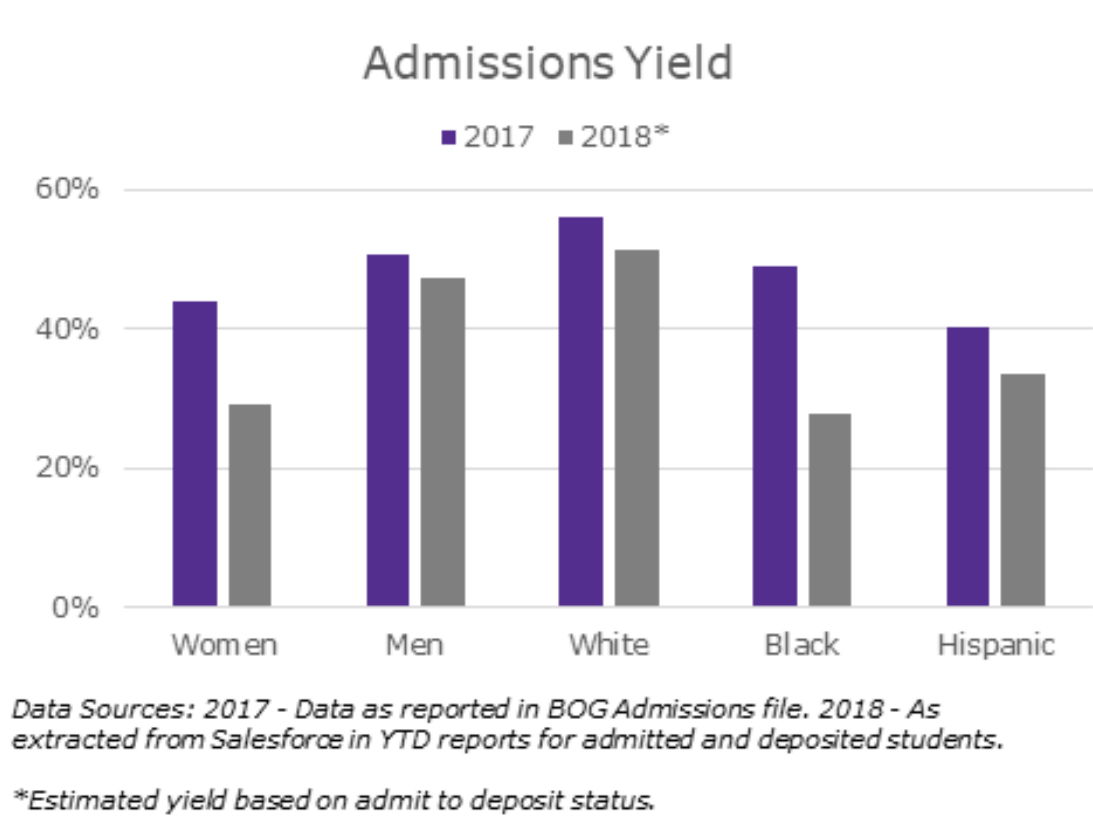
- The campus demographic is strongly influenced by our admitted student pool
 - Our admitted student pool is dominantly Male and White





Florida Poly is attracting students that have significant choice in terms of college attendance

- The admitted student pool for Fall 2018 has higher standardized test scores and high school GPAs
 - As test scores and GPAs rise, the Yield falls
 - The decline in yield is larger for admitted Women and Black students



The Message is: Incoming Student Quality is up, we will have to work in the coming year to improve diversity in the 2019 entering student class



Graduate programs

- Names now aligned with programs
- Curriculum reconfigured to be 24 units course work, 6 units thesis hours
- Admission changed to “match” advisor to student when admitted
- Aid added in to the system to help build program
- Projecting ~20 new students in the program in the fall



Graduate Programs Snapshot

Concentration	New	Cont.	Inter-national (Cont)	Domestic (Cont)	Women (Cont)	Under-represented	2018 Grads
CS (CS)	3	0	1 (0)	2 (Poly)	0	0	2 (1F)
CS(DA/LA)	5	7	1 (4)	4 (3)	1 (3)	0 (1)	2 (1F)
CS(HI)	1	0	1	0	0	0	1
ENG(EE)	3	2	3 (2)	0 (0)	2 (0)	0 (0)	3
ENG(Robotics)	8	0	0	8	1	5	0
TOTALS	20	9	12	17	6	6	8

- 2018-19 Enrollment = 29 (vs. 17 for 2017-18, **a 71% increase**)
- 59% domestic, 41% international
- 21% female
- 21% under-represented



Technology and Pedagogy

- **Restarted search for Director of Teaching and Learning**
- **Over summer investing in technology that supports instruction**
- **Glass boards and projectors**
- **Opening one new CPU lab, refreshing one other**
- **Opening a new circuits/cyber security lab**
- **Move infrastructure for all labs to support 24 students**



Changes to the Faculty Handbook

- **The faculty handbook is a Board approved document that describes the committee structure and formally recognizes the faculty assembly**
- **Change this year**
 - Multiple small or editorial changes to bring the handbook up to date
 - Changes to reflect the new Director and Department Chair structure
 - Changes to committees to reflect the move to department representation
- **Board materials include: navigation document, redline of handbook, clean copy of revised handbook**
- **An agenda item will request formal approval of the changes to the handbook**



Board Approval of Faculty Handbook Changes

- **Background Information:**
 - Presented in Provost Report
- **Formal changes included in supplemental materials as part of the board packet**
 - At the end of the presentation materials for the Academic and Student Affairs Committee
 - Three parts:
 - *Navigation for changes in the faculty handbook*
 - *Faculty Handbook Redline to show changes*
 - *Faculty Handbook with changes incorporated*
 - Proposed approval is of the faculty handbook with changes incorporated
- **Proposed Committee action**
 - Approve the New Edition of the Faculty Handbook



The Key Messages for Today

- **Admissions and Financial Aid**
 - FPU is moving toward reputation based admission
 - Incoming class quality quite high
 - Financial aid declining with careful discipline
- **Four year graduation plan**
 - Waiting on legislation
 - Plan developing for new, small increment scholarship aid
- **Degree Program Additions**
 - Two name changes requested
 - Three preliminary degree approvals requested
- **Student and Faculty Diversity**
 - Improving student diversity continues to be a challenge
 - Degree additions should help diversity
- **Graduate Programs**
 - Reconfigured curriculum
 - Reconfigured admissions
 - Expecting ~20 new graduate students in the fall
- **Technology and Pedagogy**
 - Restarting Director of Teaching and Learning Search
 - Investing in technology to support instruction
- **Faculty Handbook changes**



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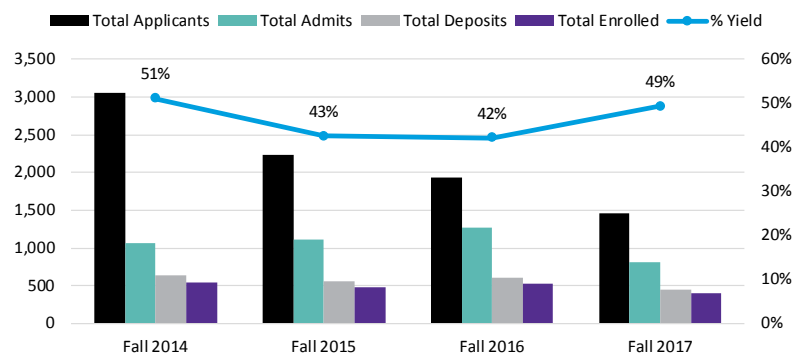
Supporting Data Slides

May 22, 2018

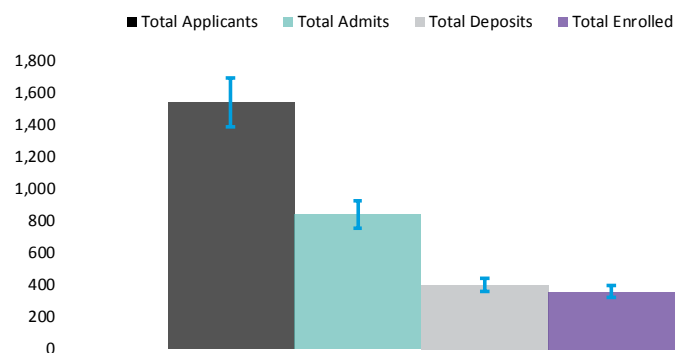


Admissions Scorecard: Historical and Forecast Data

Summary by Term



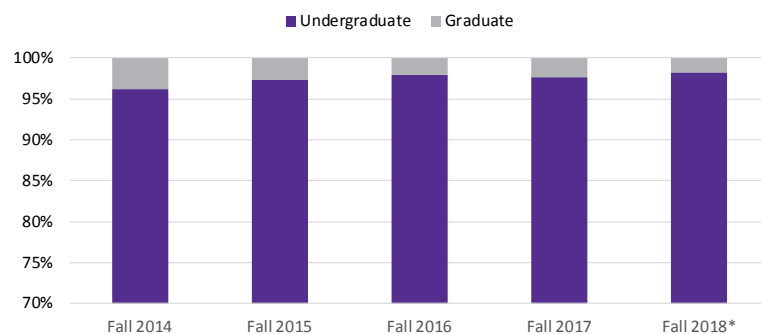
Fall 2018 (Projected with 10% Standard Error)



Key Definitions:

- **Total Applicants:** all applications received for which an application fee has been paid.
- **% Yield:** The percentage of admitted students who enroll (matriculate).

Admits by Level

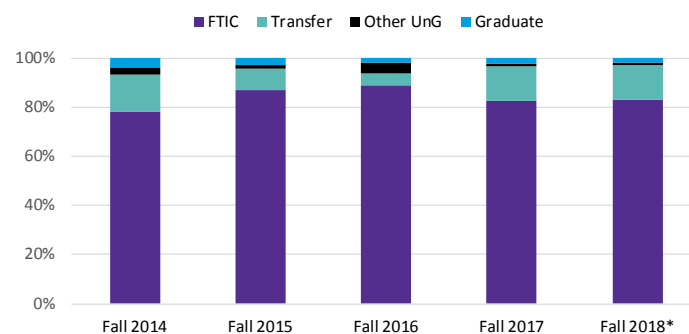


*Projected

Key Definitions:

- **FTIC:** An entering freshman or a first year student entering with less than 12 hours of post-high school college credit.
- **Transfer:** Undergraduate student who previously attended and earned credit at a postsecondary degree program, and subsequently enrolled in an undergraduate program at the University.
- **Other Undergraduates (UnG):** Other undergraduate students enrolled at the University. Includes second bachelors, high school dual-enrolled, and unclassified undergraduates.

Admits by Student Type

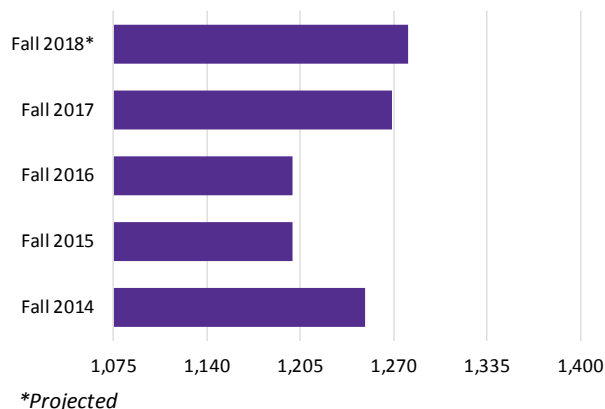


*Projected

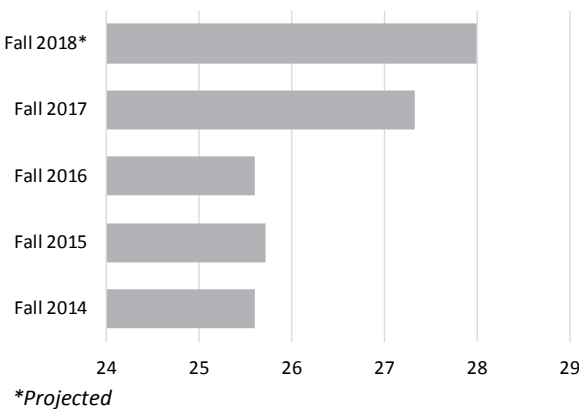


Admissions Scorecard: Historical and Forecast Data

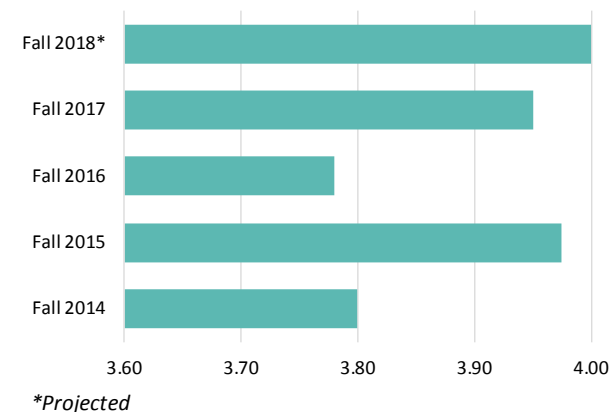
Average SAT (Enrolled)



Average ACT (Enrolled)



Average HS GPA (Enrolled)



Notes: Test scores and HS Grade Point Average (GPA) shown for FTIC only.

	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018*
Total Applicants	3,054	2,239	1,935	1,465	1,540
Total Admits	1,069	1,118	1,267	812	840
Total Deposits	640	558	613	444	404
Total Enrolled	547	476	534	401	360
% Yield	51%	43%	42%	49%	43%
Average SAT	1,250	1,200	1,200	1,269	1,280
Average ACT	26	26	26	27	28
Average HS GPA	3.80	3.98	3.78	3.95	4.00

	AY 2014-15	AY 2015-16	AY 2016-17	AY 2017-18*	AY 2018-19*
Market Award	\$ 5,000	\$ 5,300	\$ 5,000	\$ 3,500	\$ 3,500
Actual Award	\$ 6,760	\$ 6,387	\$ 5,352	\$ 3,783	
Discount Rate (All UG Students)	125%	122%	100%	80%	67%

*Projected does not include summer



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Highlights from Career Services and the Inaugural Curriculum Advisory Board

Kathryn Miller, EdD, JD

May 22, 2018



Academic Support Services is a Critical Part of Academic Affairs

- **Academic Support Services Functional areas are:**
 - Library
 - Health and Mental Health Services
 - Career Services
 - Academic Success Center
 - Disability Services
 - Total Staff is 8.25 FTE
- **Today's report is on:**
 - Career Services
 - Brief report on our Inaugural Curriculum Board Meeting held on April 11th



Career Development

Florida Polytechnic University Graduates are Developing a Brand...

1. Internship Experience
2. Technical Expertise
3. Focus on the Future







Gabriela Martinez • 1st

System Engineer at Millennium Engineering
Indialantic, Florida

[Message](#)

[More...](#)

Motivated, exceptionally disciplined Mechanical Engineering recent grad with cross disciplinary concentration in Motion Intelligence (allows students advantage of selecting courses from both the



William Brickner • 1st

Associate Engineer at SpaceX
Greater Denver Area





[Message](#)

[More...](#)

I'm interested in a career where I am innovating. Currently to build



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John McCormack • 1st Android Developer II at Intrepid Pursuits Everett, Massachusetts	Kristopher Kindle • 1st Business Intelligence Analyst at Accusoft Lakeland, Florida	Joshua Barnes • 1st Project Manager at 360 Quote LLC Nashville, Tennessee	Inna Kravchunovska • 1st Cyber Security Consultant at Booz Allen Washington D.C. Metro Area
Message More...	Message More...	Message More...	Message More...



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Wyatt Roach • 1st

Electronics Engineer Associate at Lockheed Martin
Melbourne, Florida Area




Andre Goode • 1st






Incoming Software Engineer at Disney
Orlando, Florida Area




Michelle Culbert • 1st

COO/Co-Founder of Instalist and Incoming Lockheed
ELDP Asc.



 Home
  My Network
  Jobs
  Messaging
  No





Kyra Thompson • 1st


Apprentice Engineer II at DENSO


Lakeland, Florida Area

[Message](#)
[More...](#)

 **DENSO**

 **Florida Polytechnic University**

 **See contact info**

 **See connections (225)**

I am a senior Mechanical Engineering student at Florida Polytechnic University with courses focused on materials and manufacturing processes. Nearly 2 years of engineering experience through a variety of internships ranging from Structural Engineering to Materials Engineering.

Seeking professional contacts and connections for post-graduation career.



Career Development--Prepare

- **Tech-IT-Out on-campus conference**
- **Career Development Workshop Series**
 - Over 200 unique students in attendance
 - Connects students with resources and learning opportunities focused on career communication
 - Identifying employment opportunities
 - Interviewing Skills
 - Succeeding on the job
 - Salary negotiation



Career Development--Prepare

- **Guided Internship Course**
- **Professional Skills embedded within Curriculum**
 - Group Work (KGI Profiles)
 - Presentation experience
- **Career Day**
 - A day dedicated to learning about STEM professions



Career Development -- Connect

- **Individualized Recruiting**
- **Advising**
- **Career and Internship Fair**
 - 2016: 13 companies
 - 2017: 26 companies
 - 2018: 50 companies



Career Development--CI

- **Continuous Improvement**
 - Handshake Platform
 - Curriculum Integration
 - First Year Experience course
 - Additional opportunities
 - Campus Connections
 - HR review of resumes
 - “Field Trips”



Graduated Seniors *(sneak peek...)*

- Self-Reported Employment offers
- Information gathered from “Graduation Application”
- The majority of salaries reported range between \$50,000 to \$70,000 annually

Abacode	Grote	Propak Software
Accusoft	Integrated Supply Network	Publix Super Markets, Inc.
Ball Aerospace	IronRock Software	RELX Group
Booz Allen Hamilton	Jabil	Saddle Creek Logistics Services
Charles Schwab & Co., Inc.	JBT Aerotech	SEAD Software (2)
Chastain-Skillman	John Bean Technologies	Sherwin-Williams
Cognitive Performance Group	John Jerue Truck Broker, Inc.	Sofidel America (2)
Colorado Boxed Beef Company	Lakeland Regional Medical Center	Stratus Cube
CPI Group	Lecesse Construction	StratusCube LLC (2)
Cutrale Citrus Juices, USA	Lockheed Martin (6)	Superion
Draken International	Lynx transportation	Texas Instruments (2)
Duke Energy	Mitsubishi Hitachi Power Systems Americas	The Walt Disney Company
General Electric Aviation	Northrop Grumman (3)	United States Department of Defense
General Electric Healthcare	PACS Harmony	Universal Studios Florida
Geospace Labs	Pennoni Associates	



Upcoming Career Events

- **Friday, October 19, 2018:
Career Day**
- **Fall 2018:
LEAD@Florida Poly**
 - Leadership Certificate Program
 - Four Components
 - Skill building
 - Involvement
 - Commitment
 - Documentation
- **Tuesday, February 19, 2019:
Career and Internship Fair**



Curriculum Advisory Board

Experienced and innovative professionals provide advice on curriculum and student-focused learning opportunities, with the goal of helping Florida Polytechnic University become a world-renowned, workforce-ready “University of Innovation”.



Curriculum Advisory Board Meeting

LIST OF MEMBERS

NAME	ADVISORY BOARD	COMPANY	TITLE
Luis Campano	DA	Jerue Logistics Solutions, LLC	President
Greg Larson	DA	Valpak	Engineering and Operational Analysis Manager
Jason Witty	DA	Southern Glazer's Wine & Spirits	VP of Operations
Nicholas Brawand, Ph.D.	DSBA	Personal Appointment	Decision Science Consultant
Chris Oliver	ECE	NBC Universal Parks and Resorts	VP - Engineering and Safety
Robert Sottolare, PhD	ECE	Army Research Laboratory	Human Research & Engineering Directorate, Associate Director for Training Technology
Neal Finkelstein, PhD	ECE	Army Research Laboratory	Chief Engineer
Victor Buonamia	ECE	People, Technology and Processes LLC	CEO/President
John Harris	ECE	UF - Department of Electrical and Computer Engineering	Professor and Chair
John Pierce	ECE	JL Marine Systems	Senior Electrical Engineer
Captain Etz	ECE	NAWCTSD	Commanding Officer
David Wright	ECE	Nielsen Company	Engineering Leader, Audience Measurement
Sanjukta Bhanja, PhD	ECE	USF, Electrical Engineering	Professor
Susan Gorman	ECE/CS	Accusoft	VP of Engineering
Jantzen Maynard	ME	JL Marine Systems	Product Design Engineer
Matthew Johnson	ME	Lockheed Martin	Program Manager
Andrew Knutson	ME	National Aeronautics and Space Administration	Chief, Partnership Development Office
Jihua 'Jari' Gou, PhD	ME	UCF, Mechanical and Aerospace Engineering	Graduate Program Director, Director Composite Materials & Structures Laboratory
Jaime Dorfman	ME	The Walt Disney Company	Product Integrity Engineer
Bart Gasiorowski, MBA	CS	Global Security Solutions	VP
Lydia Chicles	CS	BOLDI Technologies + PockitApp Strategic Partnerships	CEO
Tracey Birch	CS	Sofwerx	Senior Software Developer/Project Manager
Paul Varcholik, PhD	CS	UCF, Florida Interactive Entertainment Academy	Professor and Chair
Joshua Watson	CS	IronRock Software, Inc.	Founder & CEO
Regine Bonneau	CS	RB Advisory LLC	Founder & CEO
Elbert Perez	CS	Doghead Simulations	CTO
Nandini Ramakrishna	CS	CISpro	CEO
D'Yanna Craighead	CS	Walt Disney Parks and Resorts	Manager of Technology for Guest Experience







CAB—Key Takeaways

- **The importance of diversity in STEM education**
- **The value of human factors in the workplace:**
 - Leadership
 - Collaboration
 - Problem-Solving
 - Self-starters
- **Multiple very targeted recommendations on curriculum improvements**



FLORIDA POLYTECHNIC
UNIVERSITY

**Accreditation Board for
Engineering & Technology
(ABET)**

Dr. Tom Dvorske

May 22, 2018



ABET Accreditation

- **Multiple “commissions”**
 - CAC: Computing Accreditation Commission
 - Computer Science
 - EAC: Engineering Accreditation Commission
 - Electrical, Computer, Mechanical Engineering
 - ETAC: Engineering Technology Accreditation Commission
 - ASAC: Applied Science Accreditation Commission

- **Supported by multiple member societies**
 - E.g. ASME, IEEE, CSAB, etc.

- **Program-specific accreditation**
 - Intended to establish a “quality standard” for the degrees that are reviewed
 - Used as a pathway for professional licensure



Program-Specific

- **Evaluation Teams Examine 8 Criteria**
 - Students
 - Program Educational Objectives
 - Student Outcomes
 - Continuous Improvement
 - Curriculum
 - Faculty
 - Facilities (& equipment)
 - Institutional Support
 - Program-specific criteria, if applicable
- **Evaluation Team includes**
 - a Chair
 - a lead evaluator (usually representing a member society)
 - and two supporting evaluators
 - Our Team Chairs
 - CAC: Dr. Timothy McGuire, Sam Houston State University, Texas
 - EAC: C. Steven Lingafelt, Electrical Engineer from IBM
 - PEVs not yet assigned



ABET Timeline

Date	Activity
October 1, 2017	Submitted Readiness Review
December 2017	Permission to Request Evaluation
January 31, 2018	Submitted RFE plus transcripts
April 2018	ABET Assigned Team Chairs
May 11, 2018	Curriculum Advisory Board Meetings for each program
July 1, 2018	Self-Studies Due
October 2018	On-site Visits Oct 7 – 9, 2018 CAC Oct 21 – 23, 2018 EAC
Summer 2019	Decision



The self study and onsite visit focus on the curriculum and if it is effective

- **The self study, key attributes**
 - Must show alignment between PEOs and SOs.
 - Must show alignment between courses and SOs.
 - Must show clear evidence of ongoing improvement efforts
 - Strong contribution from faculty
- **Onsite visit**
 - Interviews with faculty and students
 - Examination of evidence from courses, presentation on overall curriculum
 - Program evaluator is a subject matter expert in the field
- **Areas of strength for us**
 - Advising
 - Strong continuous improvement activity
- **Activity that we must complete**
 - Reallocation of first floor space in support of program needs
 - Serious assessment of equipment and its linkage to the curriculum and outcomes



Final Notes

- **Curriculum Advisory Board**
 - Established for all programs (including DSBA programs)
 - Met May 11th
 - Chief order of business: review ***Program Educational Objectives***
- **Members include industry and academic leaders from**
 - US Army Research Lab,
 - Accusoft,
 - JL Marine Systems,
 - NASA,
 - Disney,
 - UCF, USF, UF
 - and many others.
 - Nearly 30 participants.
- **Chief Takeaways...**
 - Strong Curricula all around
 - Plenty of actionable feedback



Faculty Handbook Changes for 2018-2019

Process Note

The Faculty via the faculty governing body reviewed the 2017-2018 faculty handbook and brought suggested revisions and comments to the Academic Policy and Procedure Committee on March 20, 2018.

Subsequently, members of the Faculty Assembly, the APPC chair and committee members, met with the Provost to review and discuss proposed changes. Changes were made in the Handbook and the APPC met again on May 9, 2018 to review and recommend to the Provost, President and Board of Trustees the 2018-2019 edition of the Faculty Handbook.

This document provide quick navigation to all revisions and corrections, with exception to minor formatting changes.

Faculty Handbook Revision Guide

- Page 6, last paragraph
- Page 7, mission, vision, goals—pending BOT approval
- Page 8, sections 1.4, 1.5
- Page 14, section 3.4
- Page 16, section 3.6.2
- Page 21, sections 4.1 and 4.2
- Page 22, section 4.2.2
- Page 24, section 4.4.2
- Page 25, section 4.4.3 and 4.5
- Page 26, section 4.5 (cont.), 4.5.2, 4.5.3
- Page 28, section 4.8
- Page 30, section 5.2.1
- Page 69, section 7.7 and 7.8
- Page 70, section 7.8 (cont.), and 7.11
- Page 73, section 7.17
- Page 74, section 7.21
- Page 75, section 7.23.1
- Appendix A Substantive changes include those to
 - Page 81 Undergraduate Curriculum Committee
 - Page 82 Graduate Studies Committee
 - Page 89 University Edison Review Committee (eliminated)
 - Page 94 University Employee Activities Committee (newly added)
- Appendix A—all other changes are title corrections
- Page 96 to End: Florida Polytechnic University Faculty Assembly Constitution and Bylaws

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I. GENERAL INFORMATION

1.1 FOREWORD

The purpose of the Faculty Handbook is to provide information, as well as sources of information, which faculty find beneficial. The Handbook describes the University's history, vision and mission, and defines the university's principles of governance. In addition, the Handbook describes the role of faculty government and various sources of authority from which delegations may flow. Faculty responsibilities, academic operating policies, university-wide and employment policies and regulations, and other policies are addressed within the document. In addition to consulting this Handbook, every faculty member should familiarize him/herself with the University Academic Catalog and Student Handbook.

This Handbook provides general references and links throughout to the University's regulations, policies, and guidelines for your convenience. Where appropriate, this document links to original source material (e.g., law, rule, regulation, policy, etc.) to ensure accuracy. While language included in the Handbook is intended to be current and accurate, in all cases the most current University regulation, policy, or guideline as adopted by the Board of Trustees or University and available on the University's website shall govern.

This revised Faculty Handbook is the result of the work of many people, including those appointed by the Provost and serving on the Academic Policies & Procedures Committee (APPC). The Handbook is subject to revision, which will typically only occur once annually. Recommendations by faculty members for making this Handbook more useful may be submitted in writing to the Provost and/or the University Academic Policies & Procedures Committee. Corrections and additions to the Faculty Handbook may be made to the current version as needed by the Office of the General Counsel. Substantive changes to the Faculty Handbook typically will be developed by the APPC in conjunction with the Provost and in all cases require Board of Trustees approval.

A copy of the current Faculty Handbook is available on the University website [[LINK UPON POSTING](#)].

This Faculty Handbook is not a contract, either expressed or implied, between any faculty member or employee and Florida Polytechnic University. The language used in the Florida Polytechnic University Faculty Handbook does not constitute legal terms and conditions of employment, and if any policy or practice described herein is inconsistent with federal law, state law or existing Collective Bargaining Agreement, such policy or practice is superseded by the applicable law or agreement.

1.2 HISTORY OF FLORIDA POLY

Florida Polytechnic University grew out of the University of South Florida. In 2008, the Florida Board of Governors authorized the conversion of the University of South Florida (USF) branch campus in Lakeland, Florida, to USF Polytechnic and it was given a separate operating budget within the University of South Florida system.

In 2011, USF Polytechnic submitted a request to the Board of Governors to separate from the University of South Florida and become an independent, stand-alone university within the State University System. At its November 2011 meeting, the Board of Governors voted to grant the request and make USF Polytechnic independent, contingent upon it meeting specified criteria. The approval from the Board of Governors was subject to a three-to-five year process that required USF Polytechnic to continue as part of the University of South Florida System until certain benchmarks, designated by the Board of Governors, were achieved.

However, Senate Bill 1994 was introduced in 2012 that immediately created Florida Polytechnic as an independent university; it was signed into law on April 20, 2012, creating the 12th university in the State University System of Florida.

The law established Florida Polytechnic University as the state's only polytechnic university and required that it develop new academic programs in the fields of science, technology, engineering and mathematics (STEM).

On April 24, 2014, Dr. Randy K. Avent was selected by the Florida Polytechnic University Board of Trustees to be Florida Polytechnic University's first President. The University President, as Chief Executive Officer, reports directly to the Board of Trustees. The Board of Trustees, which established the powers and duties of the president by Resolution 2014-01, approved his contract on May 15, 2014.

Florida Polytechnic University officially welcomed its inaugural class of 554 students on August 25, 2014 when classes began for the Fall 2014 semester. The students included 394 freshmen, 134 transfer students, and 26 graduate students. Ninety-seven percent of the students were Florida residents.

The University was granted ~~the status initial accreditation of candidacy~~ by the Southern Association of Colleges and Schools Commission on Colleges on June 17th, 2016~~7~~ to award bachelor and master level degrees.

1.3 MISSION, VISION, & GUIDING PRINCIPLES

Mission Statement:

The mission of Florida Polytechnic University is to prepare 21st century learners in advanced fields of science, technology, engineering, and mathematics (STEM) to become innovative problem-solvers and high-tech professionals through interdisciplinary teaching, leading-edge research and collaborative local, regional and global partnerships.

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Vision Statement:

Florida Polytechnic University will be a world-renowned "University of Innovation" for producing a dynamic pool of info-tech talent with real-world solutions and the capacity to lead global high-tech industries through customized undergraduate and graduate STEM-enriched academic curriculum, operating space and facilities, entrepreneurial research and interactive business industry partnerships.

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Strategic Plan Goals

1. Core STEM education in emerging technologies
2. Applied research
3. Strong industry collaborations
4. Efficient operational structures

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Guiding Principles/Core Values

- ❖ **CONTINUOUS INNOVATION:** Facilitate ongoing innovation and discovery, both in and out of the classroom, through a learning process that fully integrates science, technology, engineering, mathematics, and applied research in collaboration with industry.
- ❖ **EMPOWERMENT:** Embrace open-minded cultural difference and diversity to encourage, reward, and recognize faculty, staff, and students to explore, experiment, and solve problems for the benefit of their community and the world.
- ❖ **RESPONSIVENESS:** Constantly respond to new technological designs, scientific discoveries, and changing student needs by adopting technological trends and real-world innovations.
- ❖ **COLLABORATION:** Foster multidisciplinary learning opportunities by actively facilitating and engaging faculty, students, and industry partners in collaborative research and projects.
- ❖ **COURAGE:** Encourage and support a trailblazing spirit in students, faculty, and staff to experience a new and innovative academic endeavor by keeping an open mind to new ideas, solutions, and possibilities.

1.4 ACCREDITATION

Florida Polytechnic University was granted ~~the status of candidacy~~accreditation by the Southern Association of Colleges and Schools Commission on Colleges on June 1~~5~~⁷, 201~~6~~⁷ to award bachelor and master level degrees. For information contact the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4558.

~~Florida Polytechnic University will undergo a SACSCOC Initial Accreditation Committee Visit February 13-16, 2017. The SACSCOC Visiting Committee will review the University's Compliance Certification for Initial Accreditation. The SACSCOC policy is that if an institution submits a successful Compliance Certification that is approved by the SACSCOC Board at any point in a given year, the decision of the Board is retroactive to January of that calendar year.~~

1.5 UNIVERSITY ORG CHART

The Florida Polytechnic University organizational charts may be referenced on the university website at: ~~<https://floridapolytechnic.org/wp-content/uploads/FL-Poly-Org-Chart-9.7-6.20.16-Titles-Only.pdf>~~

II. PRINCIPLES FOR UNIVERSITY GOVERNANCE

The distinctive mission of technology-rich, industry-inspired education in advanced STEM fields through interdisciplinary learning, applied research, and interactive collaboration with high-tech industry partners of Florida Polytechnic University can best be achieved through cooperation, collaboration, and consultation among the membership of the entire university community. Achievement of that mission requires an understanding and commitment to the formal and informal collaborative decision processes by which the university conducts its work, maintains its standards, and responds to external feedback.

Central to effective and efficient university governance is open consultation, communication, and participation in decisions and decision-making bodies. An understanding of the responsibilities and limitations of authority by all members of the university community is also essential. Success of the university depends on collegial relationships and mutual respect among the faculty, staff, students, administrative officers, and representatives of external entities. All members of the university community must be accountable for their designated roles and responsibilities. Adhering to policies and procedures is essential to achieving the vital mission and goals of the university.

Florida Polytechnic recognizes the value of diverse opinions in decision making and pursues its mission in an atmosphere of shared governance and open communication. Faculty and staff are involved in policy formation; faculty hold the primary implementation role in the learning, research, and service missions of the university. Faculty and staff also recognize their shared accountability for the performance of the university in carrying out its mission. In the spirit of promoting effective governance of the university, the following principles relative to members of the university community are adopted.

SHARED GOVERNANCE PRINCIPLES

AUTHORITY

Ultimate authority for governance of the university is vested by the State of Florida in the Board of Governors, the Board of Trustees, and further delegated by the board to the president. The president exercises that authority through the vice presidents / provosts, directors, and other officials of the administration in consultation, as appropriate, with units of the university and with the faculty, staff, and students.

CONSULTATION

To facilitate open communication and effective university governance, the president and other administrative officers of the university will appropriately consult with the faculty, staff, students, and external constituents on issues affecting both the university and these stakeholders. Consultation is characterized by early discussions with the affected constituencies; jointly formulated procedures for consultation; reasonable deadlines within the constraints of the academic calendar; access to appropriate information; adequate feedback; and, timely communication of decisions to the affected constituencies.

REPRESENTATION

Effective university governance includes consultation with the faculty, staff, students, and external constituents on matters affecting the mission of the University. Appropriate representation of these groups is normally obtained through the university's committee structure. Elected and appointed representatives should, as far as possible, be selected from among the relevant constituent faculties responsible for a particular degree program or scholarly discipline. When committees are established by the president to address matters affecting the academic mission of the university, faculty membership may be composed of representatives selected by the president or provost and/or chosen by the faculty. Staff, students, and external constituencies should be represented on committees as appropriate.

FACULTY REPRESENTATION.

The Faculty Assembly is the representative body of the faculty and serves to provide appropriate representation on matters affecting the academic mission of the university. Consultation with the faculty is conducted through their designated representatives and/or the Faculty Assembly, as well as through normal administrative channels.

ROLES AND RESPONSIBILITIES

ADMINISTRATION.

The president has been delegated authority to administer the university, to lead the university so that its mission and goals are achieved, and to coordinate university relations with officers of the Board of Trustees. The president exercises primary authority through members of the administration in:

- Control and allocation of the budgeted appropriation and other funds;
- Establishment of the administrative organization;
- Administration of personnel appointments;
- Administration of university programs and policies;
- Administration of student affairs and services;
- Administration of campus operations and fiscal affairs;
- Administration of facility construction and maintenance programs;
- Administration of resource development and fund-raising; and
- Accomplishment of all other assignments to the university by the Board of Trustees.

The president is required by the Board of Trustees to articulate long range university goals and to see that high standards are maintained in all university programs. The president exerts a major influence on the specific direction of change, not only through basic judgments on budgets and staff, but also in the continuous evaluation of existing university programs and in the planning of overall program direction. Such evaluation and planning necessitates the participation of faculty, staff, students, representatives of external entities, and administrative groups and is accomplished through the offices of the vice presidents.

FACULTY.

The principal responsibilities of the faculty are teaching, research, and service. A significant part of these responsibilities rely upon the faculty's perspective and partaking in the generation and implementation of policies that impact the university's mission. On matters primarily affecting the academic mission of the university (curriculum, subject matter and methods of instruction, advising, degree requirements, faculty scholarship, faculty status, faculty service), the faculty appropriately play a significant role. This role includes improving the academic programs and culture, which is manifested within the principle responsibility of the faculty to work collaboratively with the administration to effectuate improvements in existing programs and develop new programs. The administration recognizes this responsibility and is committed to supporting the faculty in carrying out this important role.

UNIVERSITY COMMITTEES.

University committees play important roles in the governance of the university. These committees may be composed of faculty, staff, students, administrators, and representatives of external entities. The members are selected by the appropriate bodies or are appointed by the president or provost to advise the administration in the development of institutional policy, procedure, and practice. A listing of the university's standing committees with the membership of each is updated and distributed annually.

III. ADMINISTRATIVE ORGANIZATION

Florida Poly's leadership is comprised of accomplished academics and expert businessmen and women committed to strategically developing Florida Polytechnic as the world's best research and job generating university, and a standard for a thriving STEM-based economy. Florida Polytechnic's distinguished STEM leaders and leadership are responsible for carrying out the mission and goals of the University as envisioned by the Board of Trustees. As a new institution, Florida Poly's administrative model is designed to be leaner to discourage the bureaucracy that is traditionally associated with academia.

3.1 BOARD OF TRUSTEES

3.1.1 BOARD OF TRUSTEES: MEMBERS

Florida Polytechnic is led by a Board of Trustees appointed by the Governor and by the Board of Governors of the State University System of Florida. Article IX, Section 7 of the Florida Constitution establishes the composition of the Board. Six members are appointed by the Florida Governor, and five members are appointed by the Board of Governors – all of whom must be confirmed by the Florida Senate. Two members serve by virtue of their offices: the chair of the faculty senate, or equivalent; and, the president of the student government organization. The Florida Poly Board of Trustees was established in 2012 and has assembled a dynamic team to lead its university operations and implement its strategic vision of innovation and collaboration with industry.

3.1.2 BOARD OF TRUSTEES: ROLE & RESPONSIBILITIES

The Board of Trustees is established as a public body corporate, with all the powers of a body corporate as provided by the Florida Constitution, state law, and by delegation of the Board of Governors. The Board has all the powers and authority to effectively govern and set policy for Florida Polytechnic University and exercises those powers and duties prescribed by law. By regulation, the Board of Governors delegated to the state universities' boards of trustees the power to administer each constituent university. The Board is a corporation primarily acting as an instrumentality of the State of Florida pursuant to Section 768.28(2), Florida Statutes, for purposes of sovereign immunity.

The specific roles and responsibilities of the Board include:

- ❖ Serves as the governing body of the university and approves the university's mission.
- ❖ Selects the president of the university for ratification by the Board of Governors.
- ❖ Evaluates the president's performance annually and holds the president responsible for the university's operation and management, performance, fiscal accountability, and compliance with federal and state laws and rules and the Board of Governors' regulations.
- ❖ Responsible for ensuring the university has adequate financial resources to provide a sound educational program.

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- ❖ Responsible for policy-making, planning, and appraisal actions.

In order to effectively fulfill its obligations under the law, the Board of Trustees may adopt resolutions, regulations, rules, and policies consistent with the university mission, the law, and Board of Governors regulations.

See [Board of Trustees: Trustee Biographies & Terms](#)

See [Board of Trustees: Committees](#)

See [University: Rules, Regulations & Policies](#)

See [Board of Trustees: Policies and Resolutions](#)

See [Florida Board of Governors: Regulation Development Procedure](#)

3.2 PRESIDENT

3.2.1 PRESIDENT: ROLE & RESPONSIBILITIES

According to the amended and restated Florida Polytechnic University Board of Trustees By-laws, the president serves as executive officer and secretary of the board. As executive officer, the president's responsibilities include the following:

- ❖ Serve as the principal liaison officer and official contact between the board and the faculty, staff, and students of the university.
- ❖ Promote, supports, and protects the interests of the university.
- ❖ Manage and directs university affairs.
- ❖ Serve as the university's key spokesperson.
- ❖ Execute documents on behalf of the university and the board.

The President of the University shall have the authority to appoint and to constitute councils, committees, advisory bodies, bureaus, or other units necessary and desirable for the effective administration and operation of the University.

See [Board of Trustees Resolution: Powers and Duties of the President](#)

3.2.2 PRESIDENT: ADMINISTRATIVE LEADERSHIP

Florida Polytechnic's distinguished STEM leaders and leadership are responsible for carrying out the mission and goals of the University as envisioned by the Board of Trustees. As a new institution, Florida Polytechnic's administrative model is designed to be lean to discourage the bureaucracy that is traditionally associated with academia. The administrative leadership team supports and advises the president on all matters.

3.3 PROVOST

3.3.1 PROVOST: ROLE & RESPONSIBILITIES

The provost reports to the president of the university and works in partnership with the vice presidents, vice provosts, faculty, staff, and others in directing and managing the academic affairs of the university.

As the university's chief academic officer, the responsibilities of the provost include the following:

- Oversee all aspects of the university's growth, including attracting new students, recruiting faculty, and working with faculty to secure research grants.
- Play a leadership role in academic development, including creating quality curriculum and expanding the degrees offered by the institution.

3.4 DIVISION DIRECTORS & DEPARTMENT CHAIRS

~~The Academic Program Coordinator (APC) is a faculty member who serves the institution as an official representative of a specific academic program for which he or she is credentialed. This role is in support of the University's compliance with SACSCOC standards 9.4.11 (Academic program coordination) and 9.9.1.1 (institutional effectiveness of educational programs).~~

Academic Affairs includes two Division Directors and seven Department Chairs. The Graduate Division Director is responsible for the planning and administration of the university's graduate programs, which are delivered through the academic departments.

The Division Director of Science, Arts, and Mathematics oversees Department Chairs for Natural Sciences; Mathematics; and the Arts-Humanities-Social Sciences departments.

Department Chairs for Mechanical Engineering, Electrical and Computer Engineering, Computer Science, and Data Science and Business Analytics oversee the faculty and delivery of programs in these departments.

The Division Directors and Department Chairs work closely with the Provost and other Academic Affairs staff to fulfill the University's academic mission.

Division Directors and Department Chairs are normally appointed for two or three-year terms.

Responsibilities include, but are not limited to, leadership that supports the curriculum; student success; faculty development; and the University.

3.5 FACULTY GOVERNANCE

3.5.1 FACULTY GOVERNANCE: AUTHORITY

Faculty governance exists and derives its power from the authority delegated to it by the Board of Trustees. These powers and duties must be exercised in accordance with the regulations and policies of the university and the laws, regulations, and constitutions of the State of Florida and of the United States.

Decisions reached by the faculty governing body regarding its concerns are forwarded to the provost, who may act on them, as appropriate, provided the authority to do so has been delegated by the President. For areas of concern where the authority has not been delegated to the Provost, the Provost will transmit such to the president for consideration.

3.5.2 FACULTY GOVERNANCE: ROLE & RESPONSIBILITIES

As the most durable and stable of the constituencies immediately involved with the academic operation of the institution, the faculty has direct responsibility for academic quality and integrity. Collegial governance provides faculty with mechanisms and procedures, independent of the collective bargaining process, for the development and implementation of recommendations in areas of traditional faculty concern.

The duties of the Faculty as it relates to shared governance shall include, but not be limited to, formal recommendations on academic standards, curricula, courses of study, and the policies and regulations pertaining thereto, as well as the certification of candidates for degrees and recommendation to the Board of Trustees for award of degrees.

The designated faculty governance officers and executive committee are responsible for ensuring that the members of the campus faculty are kept informed of the activities of the faculty governing body and its committees.

3.6 UNIVERSITY-WIDE COMMITTEES

3.6.1 UNIVERSITY COMMITTEES: FUNCTION

Numerous University-wide committees serve to provide a formal venue for faculty "voice" in a manner that carefully provides consultation and advice to the President and to other officials on a broad spectrum of university activities. The president and the provost are supported by a number of committees, from which they receive recommendations on various aspects of the university's business. In rare but necessary circumstances, the president may act without committee consultation.

The president reserves, or delegates, the authority to establish university committees as needed and, in doing so, will specify the charge of the committee and membership construct. University committees are expected to act collectively as recommending bodies and are defined in a way that ensures appropriate representation of the relevant university community interests. These committees function to implement shared governance by way of constituent representation and consultation.

University committees will meet throughout the year to consider a wide range of issues that may fall within the purview of one of the established committees. The president or provost will review university committees annually to evaluate the need, composition, procedures, and functions.

The 2016-17-18 University-Wide Committees are listed in **APPENDIX A** along with the charge and membership composition of each.

3.6.2 UNIVERSITY COMMITTEES: GENERAL RULES

COMMITTEE MEMBERSHIP. University committee members are appointed for a one-year term, renewable, which begins on the first day of fall semester classes, unless stated otherwise. Members appointed to a committee by university title (“ex-officio members”) serve on that committee by virtue of their position or special expertise, and are appointed for so long as they hold such title. For appointments managed by the Faculty Governing Body, Elections and appointments to university committees shall take place according to the Constitution and Bylaws of the Governing Body. Unless stated to the contrary, ex-officio members of university committees have both voice and vote.

COMMITTEE MEETINGS. Each standing committee shall determine its own agenda. Members of the administration, faculty, staff and students may propose items to be placed on a relevant committee’s agenda by submitting such request to the committee chair. It is the responsibility of each committee chair to give advance notice of committee meetings and to attempt to resolve scheduling conflicts. The president or provost designates the chair of each committee, unless stated otherwise. In the event the selection of a committee chair falls on the committee itself, the committee members shall elect one of its voting members to serve as chair, which shall be the first matter of business the committee is to address at the first meeting of the committee without a designated chair. The chair of each committee is responsible for selecting or appointing an individual to note attendance and prepare the minutes for each meeting of the committee. Each committee may consult with students, staff, faculty, administrators and other resource persons as needed.

QUORUM. A quorum shall consist of a majority of the committee members eligible to vote.

PROCEDURE. Meetings of university committees shall be conducted according to the latest edition of *Robert’s Rules of Order*, unless otherwise specified.

VOTING. A majority vote of the voting members present at a committee meeting shall be required for any action taken at the meeting to constitute an official act of the committee.

VACANCIES. If for any reason a member of a university committee is unable to serve for a period of one or more semesters, a replacement shall be named for that period. The selection of the replacement shall take place in the same manner as the selection of the member unable to serve.

3.6.3 UNIVERSITY COMMITTEES: FACULTY REPRESENTATION

Faculty representatives on a committee are designated to be selected by the president or provost and/or nominated by the faculty. Where faculty representatives appointed to a university committee are designated to be elected or nominated by the faculty, such election and nominating procedures shall be in accordance with those specified in the valid constitution or bylaws of the Faculty Assembly, or a senate.

3.7 UNIVERSITY INSTITUTES & CENTERS

Institutes and centers are university entities established to coordinate intra- and inter-institutional research, service, and/or educational/training activities that supplement and extend existing instruction, research, and service at the universities. In some cases, institutes and centers are established to provide the infrastructure needed to coordinate support activities across the State University System. A university institute or center is established normally within a single university and is funded by appropriations for that center and/or grants or donations. It may expend funds appropriated by the Legislature to that center. Additional institutions may participate, in some instances, with one university as the host.

Florida Board of Governors (BOG) Regulation 10.015 sets forth the criteria and guidelines for both State of Florida and state university Institutes and Centers. It requires each state university to develop and publish clearly defined guidelines consistent with BOG policies for establishing, operating, evaluating, reviewing and disbanding university institutes and centers. University centers or institutes are created under university-established procedures.

Institutes and Centers are classified as either (1) State of Florida institutes or centers or (2) university institutes or centers.

State of Florida Institutes and Centers

Characteristics of a State of Florida Institute or Center:

- Has a statewide mission.
- Includes two or more State universities.
- Must be approved by the Florida Board of Governors.
- Has a Memorandum of Understanding among the presidents or their designees from all participating universities and the Chancellor or designee that specifies the host institution and outlines operational procedures for the institute or center.
- Has an advisory board with membership as designated in the Memorandum of Understanding.
- Has a separate unit account in the host university's operating budget.
- May spend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May spend "other" funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

University Institutes and Centers

Characteristics of a University Institute or Center:

- Generally is established by a single university; in some instances, additional institutions may participate, in which case one institution is designated as the host university.
- May expend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May expend "other" funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

Annual Reporting Requirements for All Institutes and Centers

No later than September 30 of each year, each provost or his or her designee shall review the inventory of authorized institutes and centers to determine the accuracy of information that is maintained by the Division of Colleges and Universities. Additionally, a report of actual and estimated expenditure and position data, as well as evaluation/review information, shall be submitted for all institutes and centers that are approved for all or part of a given fiscal year (July 1-June 30):

- Total funds expended during the previous fiscal year (July 1-June 30) by funding source and by entity.
- Total positions during the previous fiscal year (July 1-June 30) by funding source and type of position.
- The date of the last evaluation/review.

See [FPU-5.002 University Institutes and Centers](#)

See [FPU-5.0021AP Establishment of University Institutes and Centers](#)

See [FPU-5.0022AP Operating and Reporting Requirements for University Institutes and Centers](#)

3.8 STUDENT GOVERNMENT ASSOCIATION

The Student Government Association is the official voice of the student body at Florida Polytechnic University. SGA is organized to actively represent student opinions; promote the social and academic advancement of students; foster communication, cooperation and understanding in all areas of the University; recommend and implement improvements necessary to the welfare of the students and the University; and encourage effective student participation.

Each student is a member of the association at large, which elects all officers. The officers comprise the cabinet, which oversees general policy-making. Through the work of various elected and appointed officers and committees, the SGA represents the views of the student body to the trustees, the administration, and various college committees. The SGA sponsors major social activities each year and advises the Student Affairs Office concerning the initiation of additional student social activities.

The Student Government is maintained by the students in accordance with law and regulation, including Florida Statutes Section 1004.26 (University student governments) and Board of Governors regulation 6.014 (Student Governments). The Student Government develops and adopts its constitution and bylaws, and any amendments thereto, in addition to its internal procedures, all of which must be approved by the University President.

Established in 2014, the Student Government Association (SGA) acts as the students' voice to the University's leadership, campus community, and public at large. In order to provide a positive college experience to all students at Florida Polytechnic University, the association approves funds, regulates campus-sponsored clubs, and advocates for students and their rights.

The Florida Polytechnic University student Constitution, enacted in February 2015, is a dynamic document that establishes the Student Government Association, its mission, powers, and duties. With the signing of the Constitution, the Florida Polytechnic SGA is formally operated by the students and for the students, a highly visible testament to democracy at the university level.

SGA Branches

The Florida Polytechnic University Student Government Association is composed of executive, judicial, and legislative branches.

The [Executive Branch](#) includes the Student Body President, Vice President, Treasurer, Secretary and an Executive Cabinet. The Cabinet includes various Executive Committees as appointed by the Student Body President. They are the students' voice and liaison between the students and the administration.

The [Legislative Branch](#) is comprised of senators represented by class years, degree programs, and on- and off-campus students. The Senate enacts statutes, allocates funds, and oversees campus organizations. The Legislative Branch will grow as the University grows.

The [Judicial Branch](#) is the Supreme Court, comprised of a Chief Justice and six Associate Justices. The seven Justices are appointed by the Student Body President and confirmed by the Senate. The Supreme Court hears student concerns, helps conduct all SGA elections, and holds trials for officials who breach the SGA Constitution.

See [FPU-3.002 Student Government and Student Organizations](#)

See [SGA Constitution](#)

See [SGA Organizations](#)

IV. THE FACULTY

4.1 FACULTY: ORGANIZATION

For the purpose of organization and execution of the educational and research programs of the university, the Florida Polytechnic faculty shall be organized into ~~constituent faculties~~ Divisions and Departments, each responsible for a particular degree program or scholarly discipline or group of related disciplines, as determined by the Provost.

4.2 FACULTY: RANK & QUALIFICATIONS

4.2.1 FACULTY: TITLES & DEFINITIONS

Faculty shall hold one of the five recognized academic ranks*:

Adjunct
Instructor
Assistant Professor
Associate Professor
Professor

The title of “Adjunct” shall be restricted to faculty who are employed by the university in a less than full time position to deliver specific courses or parts of the curriculum.

The prefix of “Visiting” to a faculty rank shall be restricted to true visitors, e.g., temporary appointments for a term of up to two (2) years and visits by distinguished faculty. Visiting appointments may be renewed.

The title of “Research Scholar” shall be restricted to faculty positions appointed* primarily for the conduct of research and funded predominantly through external sources, such as research grants.

*(Contracts delineate the nature of one’s appointment.)

4.2.2 FACULTY: MINIMUM QUALIFICATIONS BY RANK

The Instructor should display:	Demonstrated ability to perform his or her assigned duties. Education and/or experience <u>in compliance with the University's Policy on Faculty Credentials</u> that is appropriate for his/her assigned duties.
The Assistant Professor should display:	Combination of appropriate scholarship and teaching ability commensurate with the university's mission and relevant academic discipline(s). Assistant Professor will hold a terminal degree in his/her field, except for rare circumstances where such exception is justifiable and granted by the Provost.
The Associate Professor should display:	In addition to meeting minimum qualifications for <i>Assistant Professor</i> , a demonstrated record of scholarly activity, teaching, and, as appropriate, course and/or curriculum development commensurate with the university's mission and relevant academic discipline(s); evidence of a positive and growing reputation in his/her chosen field; and promise of continued successful performance.
The Professor should display:	In addition to meeting minimum qualifications for both <i>Assistant Professor</i> and <i>Associate Professor</i> , scholarly contribution, such that the professor is recognized for sustained and significant contributions in the relevant discipline and/or interdisciplinary area by experts in the field.

Evaluation of teaching, research, and service performance and/or potential used for initial appointment or changes in rank must include careful faculty input at the department level, division level (where appropriate), both the program area level and at the university-wide level. These recommendations will be forwarded to the administration for a final decision. The evaluation of teaching may include coursework and curriculum development; research may include traditional publication but may also include tech transfer and tech development activities, and/or leading edge practice in industrial or business organization; service should consider effort in support of both the institution and their respective field. The final process by which individuals are evaluated for either initial rank or for a change in rank will be addressed and specified within the anticipated Collective Bargaining Agreement.

4.3 FACULTY: HIRING & APPOINTMENT**

Faculty Appointments.

Faculty members at Florida Polytechnic University are normally appointed in the academic ranks of instructor, assistant professor, associate professor, and full professor. In addition, there are also special faculty titles of equivalent academic ranks in the instructional or research units or in other University academic functions, such as librarians. Initial faculty appointments are typically at the rank of Assistant Professor, although appointments at higher ranks may be made where an individual's previous experience and qualifications warrant such an appointment.

Employment Periods.

The University operates on a modified semester system with Fall and Spring semesters during the academic year and a Summer Term. The dates of all employment periods are established by the University on an annual basis. Faculty are employed for contractual periods and not on an hourly basis. The employment period for instructional faculty is normally 39 weeks. During the employment period, all faculty are entitled to observe all official holidays designated by the University. No classes will be scheduled on holidays.

Summer Appointments.

The Provost normally has the responsibility for making the supplemental (summer) appointments for the faculty on academic-year appointments. The assignments, which must be in support of the institutional program, should be offered equitably and as appropriate to qualified employees not later than five weeks prior to the beginning of the appointment period, if practicable, in accordance with written criteria. The criteria shall be made available in each college.

In making such appointments, the Provost should consider such factors as academic needs of students and/or students' demands for programs; budgeted resources available to the department; programmatic needs of the department; and, the qualifications and performance of the faculty members available to teach the courses deemed necessary to be offered during the summer term.

Administrative Faculty Appointments.

Faculty members who are assigned to academic-administrative classifications serve at the pleasure of the appointing administrator and may be removed or assigned to other institutional duties at any time during the term of the appointment. The salary rate and contractual period may be adjusted to reflect the new responsibilities.

4.4 FACULTY GOVERNANCE

4.4.1 FACULTY GOVERNANCE: ROLE IN ACADEMIC GOVERNANCE

The concept of academic governance embraces the notion that governance and decision-making are shared tasks and responsibilities that can be allocated in various ways, but in legal terms, legal authority and responsibility for all decisions ultimately rests with the Board of Trustees. In the making of policy and addressing matters concerning the general academic welfare of the university, the faculty shall collaborate with the administration in developing recommendations to the provost, then president, for submission to the Board of Trustees, as appropriate pursuant to applicable processes.

It is a guiding principle of university shared governance that the faculty and the administration shall collaborate in major decisions affecting the academic welfare of the university. The nature of that collaboration, shared as appropriate with students and staff, varies according to the nature of the decisions in question. In every case, the faculty and the administration participate in the governance and operation of the university as provided by and in accordance with the regulations of the Board of Governors and the Board of Trustees, university policies and the laws and regulations of the State of Florida.

The general faculty shall function individually or collectively to recommend and refer to the faculty governing body those matters dealing with the academic community and welfare of the university which it would desire to have the faculty government consider. This does not deny the right of direct approach of any member of the general faculty to the president or the administration. The faculty government shall consider all matters referred to it, whether by the president, the provost, faculty governing body, or individual faculty members, and may make recommendations concerning such at its discretion.

4.4.2 FACULTY GOVERNANCE: FUNCTIONS

- The faculty governing body shall consider all matters brought before it by the president of the university, the provost, ~~the administration, the general faculty and may consider any matter brought to its attention by administrative staff or an individual faculty member, or individuals of the general faculty,~~ and make recommendations concerning them when appropriate.
- Through the faculty governing body, the University administration and faculty shall be collegially involved in the decision making process.
- The faculty governing body shall ~~strive to~~ keep ~~the general faculty individual faculty~~ fully informed of ~~any~~ recommendations.

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- Faculty governance shall be represented by its chair/president on the University Board of Trustees as a voting member and, therefore, serves as the spokesperson for the faculty when addressing the Board.

4.4.3 FACULTY GOVERNANCE: FORM OF RULE

The faculty governing body shall practice direct rule, unless the faculty collectively, by vote, decide on a form of representative rule (e.g., faculty senate). Should the faculty determine to adopt representative rule, faculty representatives shall be apportioned among the constituent academic departments on a basis defined in the Faculty Governing Body's Constitutions and/or Bylaws. ~~disciplines on the basis of population.~~

4.4.4 FACULTY GOVERNANCE: CONSTITUTION & BYLAWS

Faculty governance associations established to represent the university faculty are required to develop a constitution and/or bylaws and operate in accordance with such, which shall be consistent with this Faculty Handbook, university rules, regulations, and policies, and the laws, regulations and constitutions of the State of Florida and of the United States. Any part of the faculty assembly or senate constitution that is in conflict with the laws of the State of Florida or BOT/UFF agreement shall be null and void.

Upon creation of or revision to the constitution or bylaws of any faculty governing body, the validity of such will be subject to submission to the Office of the General Counsel for review and approval in regards to: (i) appropriate scope and authority; and (ii) adherence to the process for making such revisions as specified in the valid governing document.

Any faculty governance association constitution or bylaws, or amendment to such, shall go into effect upon review and necessary approval, as described above, by the Office of the General Counsel. Sections of such that require enabling revisions to university regulations or policies shall go into effect only upon approval of such revisions by the appropriate designated authority.

Upon proper adoption, such governing documents must be published and available to university faculty.

4.5 FACULTY ~~ASSEMBLY~~GOVERNING BODY

4.5.1 FACULTY ~~ASSEMBLY~~GOVERNING BODY: PURPOSE

The Florida Polytechnic University Faculty Governing Body Assembly has stated its purpose as to ensure effective shared governance between the university's administration and faculty in all matters related to instruction, curriculum and program development, faculty hiring, research, academic advising, and other areas related to the university's academic mission. The ~~assembly~~ Governing Body provides a

collegial forum for open communication among faculty and between faculty and administration and advises the administration in academic matters. The ~~assembly~~ Governing Body is committed to promoting academic freedom, academic rigor, constructive dialogue, and the professional development of the faculty. The Faculty ~~Assembly~~ Governing Body is also committed to furthering the university's mission, ~~to prepare 21st century learners in advanced fields of science, technology, engineering, and mathematics (STEM) to become innovative problem solvers and high tech professionals through interdisciplinary teaching, leading edge research, and collaborative local, regional and global partnership.~~

4.5.2 ~~FACULTY ASSEMBLY~~ GOVERNING BODY: FUNCTIONS & RESPONSIBILITIES

The Faculty Assembly, or any other faculty governing body, is responsible for the following functions:

- The Faculty Assembly shall take the initiative for establishing, by mutual agreement with the President and the Provost, procedures governing the form and nature of consultation that is to occur between them, the nature of the issues in which consultation is to be required, and matters as to which notice of impending action shall be given.
- Both the Faculty Assembly and its committees and the officers of the campus administration shall be responsible for communicating with each other through appropriate channels.
- The Faculty Assembly shall be responsible for electing or appointing its faculty representatives to the university committees, for generating nominations for faculty representation on committees, and for ensuring that the activities of the assembly and its committees are coordinated with the activities of the university administration and its committees.

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4.5.3 ~~FACULTY ASSEMBLY~~ GOVERNING BODY: ROLE OF COMMITTEES

Certain university committees designate faculty representatives to be selected by the Faculty Assembly or any other faculty governing body from among its members. Items deserving of faculty consideration may be brought to the attention of any university committee through the faculty representative assigned to serve on the relevant committee. Committee members representing the Faculty Assembly or any other faculty governing body are expected to vote on committee business in accordance with their concepts of the best interests of the university. Upon election or appointment to a committee through the Faculty Assembly or any other faculty governing body, selected faculty representatives shall be timely notified of meetings of committees and shall report to the full Assembly, or any other faculty governing body, the outcomes of meetings on a regular basis.

4.5.4 ~~FACULTY ASSEMBLY~~: CONSTITUTION

The Constitution as adopted by the Faculty Assembly is attached as **APPENDIX B** and shall go into effect upon review and approval, as described above, by the Office of the General Counsel.

4.6 FACULTY: EVALUATION & PROMOTION**

Faculty members are considered for promotion to the next higher rank based upon their accomplishments relative to defined criteria. Promotion decisions represent an evaluation on the part of the University of the faculty member's total value to the University and potential for the future as evidenced by past performance. They require not only a consideration of the candidate's fulfillment of assigned responsibilities in research, teaching, and service, but also a broad-scale evaluation of the individual's ability to effectively fulfill the responsibilities of membership in the University community.

Evaluation of Faculty Performance

Annual Evaluation

Faculty members are evaluated at least once annually, on the basis of their performance of assigned duties and responsibilities and their contribution to the orderly and effective functioning of the academic unit and the total University. The annual appraisal period will be April 1 through March 31. The basic purpose of the annual evaluation is faculty improvement in the functions of teaching, research, service, and other duties that may be assigned. Individuals responsible for the supervision and evaluation of a faculty member should endeavor to assist the faculty member in correcting any performance deficiencies reflected in the annual evaluation. Faculty members are also encouraged to accept and seek such assistance, if needed. The evaluation should also address progress toward promotion.

The individual responsible for the evaluation should provide the faculty member with a written copy of the evaluation. The evaluator will offer the faculty member the opportunity to discuss the evaluation prior to its being finalized. The evaluation shall be signed and dated by the evaluator, and by the employee being evaluated; the employee may attach a concise comment to the evaluation. A copy of the evaluation shall be made available to the employee. The employee may request, in writing, a meeting with the administrator at the next higher level to discuss concerns regarding the evaluation which were not resolved in previous discussions with the evaluator.

Personnel decisions, including promotional decisions, shall take the annual evaluations into account, but personnel decisions need not be based solely on written employee performance evaluations.

[Evaluation File](#)

Faculty members shall refer to [6C19-6.008 Personnel Records and Limited-Access Records](#).

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4.7 FACULTY: SABBATICALS**

Sabbaticals provide faculty with the opportunities for professional renewal, planned travel, study, formal education, research, faculty development, certification, or other experiences of professional value.

Florida Polytechnic allows full-time faculty who have completed at least six years of full-time service with Florida Polytechnic the opportunity to further enhance their professional development through sabbaticals. Sabbaticals are granted to increase an employee's value to the University through further professional development, not as a reward for service. Applications for sabbaticals are usually distributed by the Provost in early September for the subsequent academic year.

Professional Development Leave (PDL) is designed to provide eligible faculty with opportunities for professional renewal, educational travel, study, formal education, research, faculty development, certification, or other experiences of professional value. Florida Polytechnic allows full-time faculty who have completed three or more years of full-time service with Florida Polytechnic to be eligible for such leave. The eligibility of faculty compensated pursuant to a contract or grant is subject to the terms of the contract or grant.

In each [Division or appropriate Department college](#), a sabbatical/PDL committee is elected by and from the full-time faculty. The committee then elects a chairperson. All sabbatical/PDL applications are ranked and reviewed by the committee which in turn submits a ranked list to the Provost/designee for final selection.

4.8 FACULTY: PROFESSIONAL DEVELOPMENT**

The University supports the development of its faculty as teachers, scholars, and practitioners by providing resources and programs. Such support includes but is not limited to internal research grants, financial support, orientation programs, instructional technology workshops, and speakers' series.

V. UNIVERSITY-WIDE REGULATIONS & POLICIES

5.1 ACADEMIC FREEDOM AND RESPONSIBILITY

Academic freedom, which encompasses freedom of thought and expression, is essential to the University and applies to teaching, research/creative activities, and professional, public, and University service. University regulation FPU-5.001 governs Academic Freedom and Responsibility at the University and embodies all applicable rights and responsibilities of faculty members.

The University administration and faculty are fully committed to maintaining, encouraging, and protecting academic freedom. In accordance, University policy FPU-5.0012AP Protection of Academic Freedom provides the necessary procedures, which work to supplement FPU-6.0011P Employee Grievance Procedure, to safeguard academic freedom and promote a prompt and equitable process to resolve alleged violations of such. This policy requires academic freedom violation allegations be referred to the Faculty Professional Interests Committee of the Faculty Assembly, which works to serve in an advisory role by reviewing the details surrounding such an allegation and issuing a written opinion detailing the Committee's findings and recommendation for resolution.

See [FPU-5.001 Academic Freedom and Responsibility](#)

See [FPU-5.0012AP Protection of Academic Freedom](#)

See [FPU-6.0011P Employee Grievance Procedure](#)

5.2 DISCRIMINATION / SEXUAL HARASSMENT

Florida Polytechnic's Non-Discrimination regulation and Sexual Harassment policy affirms its commitment to ensure that each member of the University community shall be permitted to work, study, and interact with each other in a dignified learning environment free from any form of unlawful discrimination. University policy imposes mandatory reporting of violations for certain University employees, and all faculty members are expected to comply with such requirements.

Note: The definition of sexual harassment excludes the use of sexual material in a classroom setting for academic purposes. If you need advice about how to present sexual material in classrooms or how to respond to student concerns about such material, contact the Provost.

See [FPU-1.005P Sexual Harassment](#)

See [FPU-1.004 Non-Discrimination and Equal Opportunity](#)

See [FPU-1.005 Discrimination and Harassment Complaint Policy and Procedures](#)

5.2.1 TITLE IX COORDINATOR

Title IX of the Education Amendments of 1972 prohibits discrimination based on sex in any educational program or activity that receives financial support from the Federal government. Under Title IX, discrimination based on sex includes sexual harassment, sexual violence, and sexual assault. Title IX also prohibits retaliation against individuals who complain about or participate in an investigation regarding an alleged Title IX violation.

The Title IX Coordinator at Florida Polytechnic University accepts complaints of unlawful sexual discrimination affecting the University campus and its educational programs.

~~Shelley Wells~~
Title IX Coordinator
 863-874-8484
titleixcoordinator@floridapoly.edu ~~Director Human Resources~~
 4700 Research Way
 Lakeland, Fla. 33805-8581
TitleIXCoordinator@flpoly.org

Faculty members may direct any person that believes he or she has been subjected to sexual harassment; any person that believes he or she has been subjected to retaliation related to an allegation of sexual harassment; or any person that believes that others have been subjected to sexual harassment, in violation of the University's sexual harassment policy, that may wish to seek guidance, counseling, or file a complaint to:

[Title IX Discrimination Complaint Form](#)

[Title IX FAQ](#)

5.3 USE OF UNIVERSITY NAME AND LOGOS

Faculty are permitted to use their titles in public. However, faculty should take care to avoid the appearance that their public statements represent the official positions of Florida Polytechnic University. A faculty member may not use his or her title in a way that implies that the university is actually or implicitly espousing a particular view or endorsing any person, organization, product, service, or belief.

Similarly, faculty may not use the name, logos, facilities, or resources of the university for any personal, commercial, or similar purposes, or to participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of, or in opposition to, any candidate for political office.

General Guidelines for Use of University Trademarks (Name, logo, mascot)

- The University has an obligation to its students, faculty, staff, donors, and others to ensure that the use of its name falls, in general, within its primary mission of education and research. Some activities such as promotion of individual causes, political or otherwise, clearly fall outside its mission as a public institution.
- Use of University trademarks in connection with an activity, project, or product implies a close association with the University and is generally construed as sponsorship or endorsement. The University must ensure that this portrayal is accurate and that it has the requisite control of the activity, project, or product to ensure that the implied close association remains an accurate representation of the affiliation with the University.
- Use of University trademarks in situations having a potential to diminish or damage the University's image and reputation must be avoided.
- If there is a potential for financial, legal, or reputational risk to the University through the use of its trademarks, for example on a particular product, such use of University trademarks should be avoided.
- Florida Polytechnic University's trademarks may not be used in any way that discriminates or implies discrimination against any person or group based on race, color, national origin, marital status, sex, religion, age, disability, sexual orientation, gender identity, gender expression, or veteran status, or in any other way that would be in violation of Florida Polytechnic University's non-discrimination policies or practices.

- No one other than the Florida Polytechnic University may claim copyright or trademark rights to the University trademarks or seek to register any design that incorporates a University trademark.
- Use of any University trademarks shall follow these guidelines and additionally must adhere to the graphic standards outlined in the University's Graphic Standards & Brand Guide. In most cases, such use will require review and approval by the Director of Marketing and Communications before printing or manufacturing is permitted.
- The University's trademarks may not be used to create new trademarks and may not be integrated or combined with existing trademarks. Issues regarding co-branding must follow the guidelines above and require review and approval by the Director of Marketing and Communications and the Office of the General Counsel.
- The University Seal is used to authenticate official University documents and to communicate the significance of special occasions and events. It is generally reserved for more formal uses such as graduation programs, transcripts, diplomas, and certificates.

Internal Approval Process

Any proposed use of the University name and/or trademarks that refers to the institution as a whole, or which requires approval in advance pursuant to university policy *FPU-1.0132P Use of University Name and Logo*, must be submitted to the Director of Marketing and Communications. The Director of Marketing and Communications will review all requests upon submission and will subsequently forward each request, with a recommendation to the Office of the General Counsel, who will make the final decision.

See [FPU-1.0132P Use of University Name and Logo](#)

See [University Graphic Standards & Brand Guide](#)

See [University Phoenix \(Mascot\) Brand Style Guide](#)

5.4 ANTI-HAZING

Florida Polytechnic University believes every student has the right to pursue their education in an enriching and fulfilling environment without fear of being degraded or exposed to harm. The entire University community is committed to raising awareness of the importance of hazing prevention so that all students are able to participate in campus life without concern of being hazed.

The University prohibits all forms of hazing as defined by the Student Code of Conduct, regardless of where or when the hazing occurs. In addition to facing disciplinary actions by the University, students engaging in hazing may face criminal charges under *Section 1006.63, Florida Statutes*.

See [FPU-3.0062P Anti-Hazing](#)

See [FPU-3.006 Student Code of Conduct](#)

See [Florida Statutes, Section 1006.63](#)

5.5 PUBLIC RECORDS & OPEN MEETING REQUIREMENTS

Florida's State Constitution, in conjunction with the provisions of **Chapter 119, Florida Statutes**, provides what is commonly known as "Florida's Public Records Law." The Public Records Law provides the structure for the State's open government by affording the public a constitutional right of access to state governmental meetings and records. Florida Polytechnic faculty members are employees of the state and therefore are expected and required to adhere to any applicable provisions of the public record requirements.

Under Florida law, most of the University's records are considered open and subject to public inspection upon request. However, there are specific exceptions that result in certain records, or portions thereof, to be held and maintained as confidential. To ensure compliance, all faculty members should refer public records requests to their supervisors or to the Office of the General Counsel.

Open Meetings

The Sunshine Law Open Meetings Act, under **Chapter 286 of the Florida Statutes**, provides an open government by establishing the public's basic right of access to all meetings held by any board or commission of a public entity, at which official business is to be conducted. The law requires meetings of boards or commissions to be open to the public, the public be provided with reasonable notice of such meetings, and that the minutes of such meetings are taken.

Public Records

Public records, as determined by the Florida Supreme Court, include all materials made or received by the University in connection with official business that are used to perpetuate, communicate, or formalize knowledge. In addition to traditional written documents, public records include, but are not limited to, tapes, photographs, films, sound recordings, data processing software. Public records are subject to public inspection, upon request, unless a statutory exemption applies. Requirements pertaining to public records, including a list of specific exceptions that prevent those records from the mandatory disclosure requirements, can be found in **Chapter 119 of the Florida Statutes**. All University employees should review the applicable statutory provisions in order for Florida Polytechnic to ensure compliance is continuously maintained.

The two primary exceptions that apply to the University and provide the records with confidentiality protections include: (1) faculty academic evaluative materials, and (2) student records protected under The Family Educational Rights and Privacy Act (“FERPA”).

Record Retention Requirements

The University is subject to certain recordkeeping requirements and must maintain specific records in accordance with the applicable retention period required by federal and state laws and regulations. Faculty members should be aware that the retention periods set forth in Records Schedule **GS1-SL State and Local Government Agencies** and **GS5 Public Universities and Colleges**, established by the Department of State, provides the minimum retention period required by law and that University rules, regulations, and policies may impose extended retention periods for certain records.

See [FPU-1.0123P Public Records Policy](#)

See [FPU-1.0122P Record Retention Policy](#)

5.6 INTELLECTUAL PROPERTY

Intellectual Property Policy

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.

Intellectual Property Ownership

As a public institution, Florida Polytechnic University is entrusted with the responsibility to see that intellectual property produced at the University is administered in the best interest of the local and national public. Pursuant to university policy, faculty own IP 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. On the other hand, ownership of all other IP immediately vests with the university upon creation, conception and/or reduction to practice in the following circumstances: (i) IP is created by university faculty pursuant to a sponsored project agreement to which the university is a party; (ii) IP is 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; and (iii) IP is developed by university faculty within his/her scope of employment and with significant use of university resources.

Faculty Outside Consulting Agreements

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 do not conflict with his/her commitment to the University. 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.

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.

According to the University’s Intellectual Property Policy, the author or inventor and the university share in the proceeds of such intellectual property. Faculty members are not authorized to waive Florida Polytechnic’s intellectual property rights.

It is the responsibility of Florida Polytechnic to manage the technology transfer process for all patent, trademark and copyright matters relating to the identification, protection and commercialization of Florida Polytechnic-owned Works and Inventions. Technology Transfer represents Florida Polytechnic in the implementation of the Florida Polytechnic Intellectual Property Policy with regard to governmental entities, industry and the public. Technology Transfer works to transfer all Florida Polytechnic technologies available for licensing to industry and start-up companies.

Process

All Florida Polytechnic supported works and inventions created by faculty members are required by state and federal laws to be promptly disclosed. The disclosure is made using the Florida Polytechnic Invention Disclosure form. When completed, the Disclosure should be submitted in accordance with the

University's Intellectual Property Policy. These documents provide the University with the necessary information to evaluate feasibility, patentability, market demand, inventorship, and any obligations to research sponsors.

Disclosures must be kept confidential until a patent application or copyright has been filed or certain rights may be lost. Faculty should refrain from discussing the invention or sending it to others, including any sponsor, until necessary confidentiality agreements can be signed by all parties. This includes discussions, papers, posters, publications, and presentations. Research notebooks referencing the work or invention described in the Disclosure should be witnessed and kept in a safe place. The location of the notebooks should be documented in the Disclosure.

The University will evaluate all 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 faculty creator(s). The University 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 IP.

See [FPU-1.0061P Intellectual Property](#)

5.7 DEMONSTRATIONS

Subject to the limitations of University regulation FPU-1.007, University grounds may be used for demonstrations and other exercises of free speech and assembly by the University and University-related organizations. However, demonstrations are not permitted inside University buildings. Such use must not disrupt or interfere with the normal operations of the University, any academic or other University activities, or the rights of other members of the University community. Persons engaging in protected speech on University grounds must follow all applicable University regulations and policies and shall be fully responsible for any violation of federal or state law or University regulation.

See [FPU-1.007 Demonstrations](#)

5.8 COMMERCIAL SOLICITATION ON CAMPUS

Persons or entities wishing to solicit business on University property, including advertising and other promotional marketing efforts, must first obtain written approval from the University CFO or designee. The University may assess fees and charges for commercial solicitation, advertising, or other promotional efforts conducted on University property.

Students and student groups wishing to conduct commercial solicitations on University property must first obtain written approval from the Vice Provost of Student Affairs to do so and must comply with the applicable University policies and procedures.

See [FPU-1.009 Commercial Solicitation on University Property](#)

5.9 EVENTS OF CAMPUS

University facilities are scheduled on a priority basis to serve university needs and, when available, to accommodate non-university groups and the general public. University regulation provides set priorities for facility use, scheduling procedures and fees.

Events that are hosted by non-university individuals or entities require written authorization from the Facilities Department prior to advertising or commencing an event on University property. The organizing individual or entity may request permission to hold an event on campus by completing and submitting a SAFE Form to the Facilities Department at least two (2) weeks prior to the date of the proposed event. Events involving fireworks or temporary structures require the SAFE Form be submitted at least thirty (30) days in advance.

See [FPU-1.003 Use of University Facilities and Property](#)

See [FPU-1.0038P Events on Campus by Non-University Groups](#)

See [FPU-1.009 Commercial Solicitation on University Property](#)

See [FPU-1.011 Political Activity on Campus](#)

5.10 ALCOHOL & SMOKING POLICIES

See [FPU-1.0035P Smoking and Tobacco Use on University Campus](#)

See [FPU 1.0003P Alcohol Policy](#)

5.11 ANIMALS ON CAMPUS

See [FPU-1.014 Animals on University Property](#)

5.12 CAMPUS LAKES

The University does not permit boating, swimming, diving, fishing, or wading in the campus waterways without prior written approval by the President or designee for safety reasons.

Alligators and Snakes

Alligators can be found in virtually every body of water on campus and are normally shy creatures. But when fed by people, they lose that fear and associate people with food. An alligator that has lost the fear of man can be extremely dangerous and can approach you looking for food. There are numerous cases in Florida where alligators have attacked people or pets because they have lost the fear of man.

Be aware of the possibility of alligator attacks when in or near fresh or brackish water bodies. Attacks may occur when people do not pay close enough attention to their surroundings when working or recreating near water.

- Do not swim in any of the ponds or lakes on or near the campus as the waters might be inhabited by alligators.
- Alligators are most active between dusk and dawn.
- Leave alligators alone: State law prohibits killing, harassing or possessing alligators.
- Never feed or entice alligators: it is dangerous and illegal. When fed, alligators overcome their natural wariness and learn to associate people with food.

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Report nuisance alligators to Florida Fish and Wildlife Conservation Commission (FWWC) by calling 1-866-FWC-GATOR. 866-392-4286. for more about alligators click here:

http://myfwc.com/media/152524/Alligator_Brochure.pdf

Of the many species of native snakes in Florida, not all are venomous. Still, we strongly suggest that you give all snakes plenty of room.

See [FPU-1.0031P Campus Water Bodies](#)

5.13 USE OF UNIVERSITY INFORMATION TECHNOLOGY RESOURCES

The use of University IT resources is a privilege and imposes certain responsibilities and obligations on Users whose use of University IT Resources is subject to state and federal law, as well as University regulations and policies (collectively referred to as "rules"). These rules apply when the User is accessing the Internet using University IT Resources and when using University mobile devices inside or outside the University premises.

See [FPU-11.0018P Appropriate Use of IT Resources](#)

See [FPU-11.00111P Data Security Plan](#)

See [FPU-11.00111P Mandatory Information Security Training-Employees](#)

See [FPU-11.00115P Virus and Spyware Protection on Computing Devices](#)

See [FPU-11.0017P Electronic Communications and Data Transmission](#)

See [FPU-11.0014P Use of IT Resources when Traveling Abroad](#)

VI. EMPLOYMENT REGULATIONS & POLICIES

6.1 PROFESSIONAL ETHICS & UNIVERSITY COMMUNITY

The University acknowledges a concern for values and ethics that are important to the educational experience and process. Faculty members are expected to show an awareness that membership in the academic profession carries with it special responsibilities. The following responsibilities of faculty members are taken from the *American Association of University Professors (AAUP)* Statement on Professional Ethics, with slight modifications.

The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities of the profession. The professor's primary responsibility to his or her subject is to seek and to state the truth as he or she sees it. To this end, the professor devotes energies to developing and improving scholarly competence. The professor accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. The professor must never seriously hamper or compromise freedom of inquiry.

As an instructor, the professor encourages the free pursuit of learning in students. The professor holds before him/her the best scholarly standards of his or her discipline. The professor demonstrates respect for the student as an individual and adheres to the proper role of intellectual guide and counselor. The professor makes every reasonable effort to foster honest academic conduct and to assure that the evaluation of students reflects their true merit. The professor respects the confidential nature of the relationship between professor and student. The professor avoids any exploitation of students for private advantage and acknowledges significant assistance from them. The professor protects academic freedom.

As a colleague, the professor has obligations that derive from common membership in the community of scholars. The professor respects and defends the free inquiry of associates. During the exchange of criticism and ideas, the professor must show due respect for others' opinions. The professor acknowledges academic debts and strives to be objective in the professional judgment of colleagues. The professor accepts his or her share of faculty responsibilities for the governance of the institution.

As a member of an institution, the professor seeks above all to be an effective teacher and scholar. Although the professor observes the stated regulations of the institution, provided they do not contravene academic freedom, the professor maintains the right to criticize and seek revision. The professor determines the amount and character of his or her work performed outside the institution (the amount of work is governed by the University policy), with due regard to his or her paramount institutional responsibilities. When considering the interruption or termination of employment, the professor recognizes the effect of this decision upon the program of the institution and gives due notice of his or her intentions.

As a member of the community, the professor has the rights and obligations of any citizen. The professor measures the urgency of these obligations in light of responsibilities to his or her subject, to students, to the profession, and to the institution. The professor, when speaking or acting as a private person, should avoid creating the impression that he or she speaks or acts for the college or University. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

6.2 EMPLOYEE CODE OF CONDUCT AND ETHICS

The Florida Polytechnic University's Board of Trustees and the University's administration value high ethical standards. Thus, it is expected that all of the University's businesses, operations, and interactions with those within and outside the University community will be executed in a manner exhibiting the highest degree of ethical standards and conduct. To provide the University faculty, staff, and representatives guidance and notice of their obligations, this Code of Conduct and Ethics describes general expectations for achieving and maintaining an organizational culture that affirms the University's responsibility to protect its resources, its employees, its students, and its reputation.

The University, through its personnel, is entrusted by the public with financial resources and social responsibilities. All University personnel play a key role in assuring that high standards of ethical practice are utilized regarding the custody and use of these resources. To accomplish this, it is expected that University personnel observe and be faithful to the values embodied in this Code of Conduct and Ethics so that all in the University community will enjoy a professional and supportive work environment.

This Code is not intended to stand alone. Rather, it complements and serves as a link with state and federal laws and other rules and regulations that govern the University's operations and its personnel's ethical conduct. Further, this Code is described in a general manner and is not intended to address every circumstance of expected ethical behavior. As such, any member of the University community who may be confronted with an ethical dilemma should first contact his or her immediate supervisor or others in their supervisory chain to seek guidance in addressing issues that are not directly covered by this Code.

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All University personnel are required to observe and comply with all state and federal laws applicable to the University. Any questions regarding the application of law to situations, or the compliance requirements of the law, should be referred by University personnel to their immediate supervisor or any other individual in his or her supervisory chain. Should anyone in the supervisory chain require assistance in interpreting the legal requirements of compliance efforts, they may contact the Office of the General Counsel.

See [FPU-6.002 Personnel Code of Conduct and Ethics](#)

6.2.1 DISCRIMINATION, HARASSMENT AND MISTREATMENT

The University is committed to providing and maintaining an environment that is free of discrimination, harassment, or mistreatment based on one's membership in a protected class. The University does not tolerate any form of prohibited discriminatory or harassing behavior directed toward another member of the University community.

See [FPU-1.004 Non-Discrimination and Equal Opportunity](#)

See [FPU-1.005 Discrimination and Harassment Complaint Policy and Procedures](#)

See [FPU-1.005P Sexual Harassment](#)

6.2.2 USE OF UNIVERSITY RESOURCES

The University's resources and facilities are for official and authorized use only and in furtherance of the University's mission and organizational culture. Thus, University personnel should not misuse the University's resources and/or facilities and should not permit others to inappropriately use these resources and/or facilities. The University understands the occasional use of certain resources (e.g. computer and telephone) for personal reasons; however, such personal use by University personnel should not result in expense to the University or interfere with the performance of required duties or the University's mission. Moreover, it is expected that University personnel will not use any of the University's resources and facilities for any illegal or unauthorized commercial activities, or in any manner which is inconsistent with the University's mission. University personnel shall not allow or assist others in illegal or unauthorized commercial use of these resources.

See [FPU-1.0132P Use of University Name and Logo](#)

See [FPU-1.009 Commercial Solicitation on University Property](#)

See [FPU-1.003 Use of University Facilities and Property](#)

See [FPU-1.011 Political Activity on Campus](#)

See [FPU-1.0039P Use of University Vehicles and Other Vehicles for University Business](#)

6.2.3 OUTSIDE EMPLOYMENT & ACTIVITIES

All University employees have certain ethical and professional responsibilities as public employees, which include the requirements of the *Code of Ethics for Public Officers and Employees*, located in Chapter 112, Part III, Florida Statutes. Full-time personnel who wish to engage in outside employment or activities must report to their supervisor, in writing, the details of such proposed employment or outside activity and must obtain written approval prior to engaging in the employment/activity.

See [FPU-6.008 Outside Employment / Outside Activity](#)

See [Florida Board of Governors Regulation 1.006](#)

See [Florida Statutes, Chapter 112, Part III](#)

6.2.4 PROTECTION OF CONFIDENTIAL INFORMATION

Florida Polytechnic University is subject to Florida's "Government-in-the-Sunshine" law meaning that most University-related documents, in any form including e-mail, are subject to request and inspection by the public. However, certain personal and official information regarding students, faculty, staff and donors are confidential and cannot be disclosed to others pursuant to federal and/or state laws, including but not limited to the Family Educational Rights and Privacy Act (FERPA), the Americans with Disabilities Act (ADA) and state law regarding limited access to faculty evaluative information. As such, the University expects confidential information about its students, faculty, staff, and donors to be protected in accordance with the provisions of these and other pertinent laws. Any questions regarding what constitutes "confidential" information and laws applicable to specific situations should be referred by University personnel to their immediate supervisor or any other individual in his or her supervisory chain. Similarly, should anyone in the supervisory chain require assistance regarding "confidential" information, questions should be directed to the Office of the General Counsel.

Student Information. The Federal Family Educational Rights and Privacy Act (FERPA), commonly known as the Buckley Amendment, along with its State counterpart located in Section 1002.22 of the Florida Statutes, protect the privacy of student records and allow individual students access to their education records. The only information within a student's record that may be subject to disclosure, without the student's written permission, is information deemed by the University to be public directory

information. However, a student may submit a written request to the University to keep his or her directory information confidential if the student does not want such information to be disclosed.

University regulation requires faculty members to maintain and protect the privacy and confidentiality of student education records. If an individual, including a parent, guardian, spouse or other interested party, inquires about academic information or any other matter regarding a student, the faculty member should not divulge information as it may be privileged. In these circumstances, the faculty member shall take the following action:

- (1) Refer the party to the Provost/designee for a determination as to whether the student has waived their privilege;
- (2) Advise the individual that under the Family Educational Rights and Privacy Act, a federal law covering Florida Polytechnic University, the requested information cannot be divulged absent a waiver or authorization from the student.

See [FPU-3.001 Confidentiality of Student Records and Applicant Records](#)

See [6C13-6.008 Personnel and Limited Access Records](#)

See [Florida Statutes, Section 1002.22](#)

See [FERPA](#)

6.2.5 USING ORGANIZATIONAL STATUS TO INFLUENCE BUSINESS DECISIONS

The university expects that its personnel who hold purchasing or other decision-making positions will not attempt to use their University status to influence business transactions which may result in their experiencing any personal, financial, or material gain on behalf of themselves or others.

See [FPU-8.001 Purchasing](#)

6.2.6 NEPOTISM / REPORTING STRUCTURE

University personnel should avoid situations where they may influence the decision to hire a family member at the University. A conflict of interest would exist, for example, if personnel serve on a selection committee or in a decision-making chain where a family member has applied for employment. In such a scenario, University personnel should disclose their familial status to the chair of the selection committee or the Director of Human Resources prior to the candidate's interview. Further, employees

are not permitted to supervise family members as a conflict of interest would exist if a supervisor had to conduct a performance appraisal on a family member.

See [FPU-6.009 Employment of Relatives](#)

6.2.7 PURCHASE OF PROPERTY FROM BOARD OF TRUSTEES

No University personnel should enter into a personal agreement or a contract to purchase goods or services, except those available to the general public, from a member of the University's Board of Trustees or the Trustee's firm without first discussing the transaction with the University's Office of the General Counsel. Transactions of this type may have the appearance of impropriety and result in a conflict of interest that at the very least may reflect poorly on the individual, the Trustee, and/or the University.

6.2.8 GIFTS AND HONORARIA

In accordance with Florida law, certain University personnel are prohibited from giving, soliciting, or accepting certain gifts from vendors doing business with the University and must comply with the reporting requirements of the statute.

6.2.9 USE OF UNIVERSITY INTELLECTUAL PROPERTY, COPYRIGHTS, PATENTS AND TRADEMARKS

The University observes all intellectual property, patent, and copyright laws and expects all University personnel to comply with the laws regarding the use of such property. For example, the University's trademark, seal, and letterhead must only be used in relation to University-related activities and University business matters. Any other use of the University's intellectual property is strictly prohibited. Should University personnel have any questions regarding whether their intended use of the University's intellectual property may be in contradiction to "University-related activities and University business matters" the individual should consult their immediate supervisor or any other individual in his or her supervisory chain. Should anyone in the supervisory chain require assistance in interpreting whether the intended use of patents, copyrights, or trademarks falls within accepted University activities or business matters, the supervisor should contact the Office of the General Counsel to seek guidance regarding any question that they may have regarding the intended use of the intellectual property.

See [FPU-1.0132P Use of University Name and Logo](#)

See [FPU-1.0061P Intellectual Property](#)

6.2.10 PROFESSIONAL ETHICS

All University personnel who are members of professional associations external to the University are expected to abide by their association's code of ethics and other membership guidelines. If University personnel are found to have violated an external association's code of ethics or membership guidelines and such violation may negatively impact the University or the individual's employment at the University, such personnel must report the alleged violation to their supervisor, or other in his or her supervisory chain so that the impact of the alleged violation may be evaluated by the appropriate University representatives.

6.3 FACULTY CREDENTIALING

See [FPU-5.0002AP Faculty Credentialing Policy](#)

6.4 FACULTY ASSIGNMENT OF RESPONSIBILITIES

The assignment of responsibilities to faculty members is one of the mechanisms by which the University establishes its priorities, carries out its mission, and creates opportunities to increase the quality and integrity of its academic programs. The University approaches faculty assignments in the spirit of equity and fairness. Teaching, research, and service are integral parts of a faculty member's assignment. Ideally, interaction between teaching, research, and service will occur and each will enhance and complement the other.

The University recognizes that there are legitimate differences in faculty development needs within the academic community, in interests and areas of expertise among faculty members, in conventions among academic disciplines, and in academic program needs. A prescriptive, rigid and uniform formula that inflexibly dictates annual workloads for individual faculty is not conducive to responding to these differences. This policy is intended to provide assignment flexibility, allowing for shifts in the emphasis placed on teaching, research, and service throughout a faculty member's career.

Faculty members receive their assignments of duties and responsibilities, in writing, from their Provost/designee at the beginning of each year of employment. Assignments generally include instruction, research, and service activities.

All faculty members, regardless of status, will have the same general responsibilities and expectations. However, the responsibilities and expectations of part-time faculty shall be proportionate to the number of hours in pay status when compared to a full-time faculty member.

See [FPU-6.01222AP Faculty Assignment of Responsibilities](#)

6.4.1 FLORIDA'S 12-HOUR LAW

In accordance with **Section 1012.945, Florida Statutes**, full-time teaching faculty members who are paid wholly by state funds shall teach a minimum of twelve (12) classroom contact hours per week. A faculty member may be assigned, by an appropriate administrator, other responsibilities and duties in proportion to twelve (12) classroom contact hours per week. Classroom contact hour means a regularly scheduled one-hour period of classroom activity in a course of instruction which has been approved by the University.

Faculty members that are paid partly from state funds and partly from other funds or appropriations shall teach a minimum number of classroom contact hours in such proportion to twelve (12) classroom contact hours per week as his or her salary is paid from state funds to total salary.

For this provision, "full-time teaching faculty member" shall mean all faculty personnel budgeted in the instruction and research portion of the budget, exclusive of those full-time faculty positions assigned to research, public service, administrative duties, and academic advising. State funds shall be interpreted to mean those funds appropriated annually in the General Appropriations Act.

See [Section 1012.945, Florida Statutes](#)

6.4.2 UNIVERSITY FARE FORM

The *Florida Polytechnic University Faculty Assignment of Responsibilities and Effort Report* (FARE Form) was developed in order to comply with the Standard Practice for the Instructional and Research Data File and 12 Hour Law. The FARE Form is the University's official record of a faculty member's activities for each term (form maintained by the Office of Academic Affairs).

As the official record, the University uses these reports in a number of different ways. The University submits this data to the State as documentation of faculty productivity in the areas of teaching, research, and service. Additionally, the FARE Form also serves as record of faculty effort devoted to externally funded contracts and grants. Each FARE Form must be signed by the faculty member and the Provost

or designee and shall be maintained in the Office of Academic Affairs in the faculty members' official personnel files.

FARE Forms shall be completed and submitted to Academic Affairs no later than two (2) weeks after the start of each semester. In addition, each FARE Form shall be updated and certified by the faculty member at the end of each academic term to include the individual faculty member's actual activities for the term.

See [FARE Form](#)

See [Chancellor's Memo – Standard Practice for the Instructional and Research Data File](#)

6.5 EMPLOYEE DISABILITY ACCOMMODATIONS

6.5.1 REASONABLE ACCOMMODATIONS

Upon request, the University provides reasonable accommodations to persons with disabilities. Under the employment provisions (Title I) of the Americans with Disabilities Act or ADA (PL 101-336), employers are required to provide "reasonable accommodation" as a means of overcoming unnecessary barriers that prevent or restrict employment opportunities for otherwise qualified individuals with disabilities.

The ADA defines a qualified individual with a disability as a person who "satisfies the requisite skill, experience, education, and other job-related requirements of the employment position such individual holds or desires and who, with or without reasonable accommodation, can perform the essential functions of such position." The term "reasonable accommodation" means a modification or adjustment to the job, the work environment, or the way things usually are done that enables a qualified individual with a disability to enjoy an equal employment opportunity. Essential functions are, by definition, those that the individual who holds the job would have to perform, with or without reasonable accommodation, in order to be considered qualified for the position.

It is the intent of Florida Polytechnic to extend reasonable accommodation to the known limitations of qualified persons with disabilities who are employees or applicants for employment, in order that these individuals may perform the essential functions of a position and/or participate in the employment application process. In general, it is the responsibility of the applicant or employee with a disability to inform the University that an accommodation is needed in order for him or her to participate in the application process, to perform the essential job functions, or to receive benefits and privileges of employment.

All requests for accommodations will be evaluated on an individual basis to determine the appropriateness of the request. Moreover, employment opportunities will not be denied because of the need to make reasonable accommodations to an individual's disability. To request a reasonable

accommodation, contact Human Resources if you are an applicant, or your immediate supervisor if you are an employee, and make your request known.

6.5.2 NOTIFICATION OF SPECIAL NEEDS FOR AN EMERGENCY

SITUATION

Individuals are encouraged to report any special needs to their supervisor and the Human Resources Department to ensure that the required needs are satisfied in an emergency situation. The employee should make arrangements with his or her department if the employee will need assistance in exiting a building during an emergency.

6.6 GENERAL EMPLOYMENT INFORMATION

6.6.1 COMPENSATION

Paydays. University employees are paid on a semi-monthly pay cycle. Pay dates fall on the 15th and last day of the month. If either the 15th or the last date of day of the month falls on a weekend day, then the preceding Friday will be the pay date.

Paychecks. The University strongly encourages direct deposit. Your pay will be deposited directly into the account you create in Workday during your onboarding process. No paper copies of pay slips will be provided, as they can be printed directly from Workday.

Federal income and Social Security taxes are deducted each pay period. You may request other deductions from your pay such as payments for insurance plans, tax sheltered annuities, parking and voluntary contributions to the Florida Poly Scholarship Fund.

Once you receive your first pay, please verify that all the information is accurate; particularly your benefit deductions (if applicable). Contact the Payroll Department immediately if you have any concerns about the information on your pay slip.

Support employees and non-exempt employees' pay is based on an hourly rate times the number of hours submitted in a workweek. Florida Poly's standard workweek is Friday to Thursday. If an employee physically works over 40 hours in a workweek, those hours over 40 will be calculated as overtime at one and a half times the hourly rate. Support employees and non-exempt employees must obtain approval from their supervisor prior to working overtime.

Exempt employees' pay is based on an annual rate. Semi-monthly rates are calculated by dividing the annual rate by 24 (the number of semi-monthly pay cycles in a calendar year).

Please note: Prompt completion of your new hire paperwork and the Workday onboarding process will ensure prompt payment of your wages. It's critical that your personal information in Workday is verified and any changes be made by you in a timely manner.

Visa Status. An employee's visa status affects appointment eligibility as well as withholding for federal, Social Security and Medicare (FICA) taxes. Employees who fail to provide their departments with copies of their past or current visa documents are responsible for paying their respective tax liability.

The Foreign National Tax Information Form and the I-9 must be completed and sent to the Human Resources Department if there is an extension or change of status for the employee. An employee will not be put on payroll without the report from the Human Resources Department. Employees are encouraged to consult with their own tax advisers concerning their visa and tax status.

6.6.2 FLORIDA POLY ID CARDS

The Florida Polytechnic ID card is the official picture ID card of Florida Polytechnic University. All students and employees are required to have a Florida Polytechnic ID Card. In addition to the card being your official identification card, this card is also your "key" to accessing many of the buildings and rooms on campus. Please store this card in a safe place at all times. Should you lose your ID card, please contact Business & Auxiliary Services as soon as possible to obtain a replacement. You will be charged \$15.00 for a replacement card.

Please Note: Business & Auxiliary Services is not able to produce an employee ID card prior to receiving the appropriate authorization from Human Resources. Accordingly, please wait until you have been contacted by a member of Business & Auxiliary Services to have your photo taken for the ID card.

6.6.3 PARKING ON CAMPUS

Employees parking on campus must obtain a parking permit and are responsible for complying with the University's Parking rules. Parking & Transportation Services (P.A.T.S.) is responsible for regulating the parking of vehicles on campus. P.A.T.S. issues parking decals, processes parking fines and appeals, and maintains parking lots and signs. You may contact P.A.T.S. at Parking@FLPoly.org.

You may purchase your employee parking permit for campus by visiting P.A.T.S. in the Wellness Center, Monday through Friday during normal business hours or by going online to: www.floridapolytechnic.org/parking-and-transportation-services.

Parking Permit Fees for employees may be referenced at: www.floridapolytechnic.org/parking-and-transportation-services.

See [6C13-1.003 Parking on University Property](#)

6.6.4 BENEFITS ENROLLMENT

All benefit-eligible employees have the opportunity to enroll in state benefit plans. (See the “University Benefits” section below for details.) Please note that new employees must complete the enrollment process themselves by going online to the People First web site **within 60 days** of becoming employed in the benefit-eligible position or will otherwise have to wait until the next open enrollment period occurs.

For more information on benefit enrollment, please contact Human Resources.

6.6.5 CELL PHONE ALLOWANCE

Employees who are required to maintain and carry a cell phone for work may be eligible to receive a cell phone allowance. Your supervisor is responsible for determining which employees are required to maintain and carry a cell phone to perform their University duties, and are therefore eligible for a cell phone allowance to assist with the cost.

For more information regarding cell phone allowances, please contact your immediate supervisor or Human Resources.

See [**FPU-6.0005P Cell Phone Allowance**](#)

6.6.6 EMPLOYEE DRESS CODE

All employees are expected to dress professionally and in a manner consistent with the University environment. It may be appropriate for certain University departments to develop their own dress code in accordance with the University’s public interests. Any dress code established by an individual department will be enforced consistently within that department. It is recommended that you talk with your supervisor about what type of dress is considered appropriate for your work area.

See [**FPU-6.006P Florida Polytechnic University Dress Code Policy**](#)

6.6.7 OFFICIAL UNIVERSITY TRAVEL

Employees who intend on traveling for official University business must have a supervisor approved travel authorization completed in Workday prior to their departure and before accruing any nonrefundable fees or expenses related to the request. With the granting of approval by the designated supervisor, employees may be reimbursed, within limits, for certain costs of travel on official University business. Such costs must be submitted through a Spend Authorization in Workday. An approved Spend

Authorization is necessary in order for an employee to be eligible for coverage under Worker's Compensation while traveling on business.

Employees who are traveling on official University business are subject to the applicable requirements and restrictions governing travel by state employees, as provided in **Florida Statutes, Sections 112.061, 1004.22, 1011.90 and 1012.06** and with export control requirements. Employees are responsible for ensuring compliance with these provisions while traveling on official University business.

If an employee uses his/her personal car for approved travel, the employee will be reimbursed at the current official mileage rate. The designated departure and return times are used for calculating per diem.

Hours Worked while Traveling on Official University Business. Travel to and from an employee's home to the employee's regularly assigned work location cannot be counted as hours worked. If a non-exempt employee is required to work outside his or her scheduled hours of work for the day, the employee will be credited with the additional actual time worked. The additional actual time worked will include the travel time from the employee's home to the assigned work location, the time spent working at the location, and travel time from the assigned work location back to the employee's home or a minimum of two additional hours of work—whichever is greater.

An employee may be required to attend a meeting or conference or otherwise work at an out-of-town location as part of their employment with the University. During such times, the official travel time that occurs either during or outside of the employee's normal work schedule is considered time worked. If official travel time results in a non-exempt employee exceeding 40 hours in the work week, the employee must be compensated for overtime according to standard overtime policies.

Please direct questions about University travel to the Human Resources department.

International Travel. International travel for official University business requires specific approval by the Vice President of the employee's department or designee prior to the commencement of the travel. International travel requests should be prepared well in advance to allow time for processing and must comply with any export control requirements.

6.6.8 ATTENDANCE

When you are hired at Florida Polytechnic, you accept the responsibility to work each day as scheduled. As a general guideline, you will be considered excessively absent if your absences are impacting the efficient operation of your department. Excessive absenteeism may lead to disciplinary action, up to and including termination.

If you are unavoidably absent from your job (absent for reasons other than for the preapproved use of annual or sick leave), it is your responsibility to let your supervisor know of the circumstances of your absence as soon as possible on the first day of your absence and when you expect to return to work. If your anticipated return date changes, you must keep your supervisor informed.

Please note: An employee who is absent without authorization for three or more consecutive workdays may be considered to have abandoned his or her position and to have voluntarily resigned from the University.

6.6.9 WORK BREAKS

Lunch Break. Your lunch break is set by your supervisor. University employees work a variety of schedules and are permitted varying amounts of time for lunch depending upon their regular working schedule. For example, if an employee works from 8 a.m. to 5 p.m., Monday through Friday, they will typically be scheduled for a one-hour lunch break. If an employee works from 8 a.m. to 4:30 p.m., Monday through Friday, they will typically be scheduled for a half-hour lunch period. Employees are encouraged to leave their workstations during their regularly scheduled lunch breaks.

Work Break Periods. Employees work better when they are refreshed. During each four hours that you work, you are permitted to take a 15-minute break period whenever possible. You are encouraged to leave your workstation during the break period. Your supervisor will advise you of particular arrangements necessary for taking breaks in your department. Break periods may not be accumulated for later use—that is, break periods may not be accumulated in order to extend your lunch hour or to arrive late or leave early. You also may not combine break periods to allow one half-hour break during an eight-hour shift.

6.6.10 BREAKS FOR NURSING MOTHERS

See [FPU-6.0131P Break Time for Nursing Mothers](#)

6.6.11 WORK HOURS

For most full-time employees, the University's normal work schedule is a five-day, 40-hour week. Employees who work less than full-time will work the number of hours proportional to their FTEs. The University may require employees to work non-traditional work shifts where such is necessary to maintain continuous operations. Your supervisor will inform you if your work schedule needs to be changed.

You must obtain your supervisor's pre-approval for any variations to your normal schedule. Any approved adjustment in a work schedule to make up time missed during regular working hours or to offset working beyond the regular standard workweek must be arranged with your supervisor within the affected workweek.

For payroll purposes, including overtime accrual concerns for non-exempt employees, the University's workweek begins at 12:00 a.m. each Friday and ends on the following Thursday at 11:59 p.m..

See [FPU-6.003 Hours of Work and Overtime](#)

6.6.12 NON-EXEMPT AND EXEMPT STATUS

Positions are designated as either non-exempt or exempt for overtime compensation under the Fair Labor Standards Act. Non-exempt (hourly) employees are eligible for overtime compensation, while exempt employees—whose duties are usually executive, professional or administrative—are not eligible for overtime compensation.

6.6.13 TIME WORKED

1. Support, non-exempt, and OPS employees must record their daily work hours via the "Time" Worklet in Workday. All time for the workweek must be submitted by the employee every Thursday to allow time for supervisors to review and approve the information every Friday. Instructions on how to complete this process are located on the "P" Drive, Workday Job Aids section.
2. Exempt employees must certify their time *once* a pay period via the "Time Off" Worklet within Workday. Instructions on how to complete this process are located on the "P" Drive, Workday Job Aids section.
3. Time-worked and leave reported by an employee within Workday must be approved by the employee's immediate supervisor or by the designated approver to ensure proper and accurate payment and leave balance accruals.
4. In computing the workweek, time off charged to any type of leave or holiday is not considered to be hours worked for purposes of overtime pay.
5. Regardless of the amount of leave originally approved for an employee to use (including some types of administrative leave) an employee may be charged with or granted the amount of paid leave necessary to bring the employee to his or her normal workweek not to exceed 40 hours.

6. A Support, non-exempt, or OPS employee should not begin work before the employee's normal work schedule starting time, nor should they work beyond the established work schedule quitting time unless specifically authorized, in advance, by their supervisor.

7. A Support, non-exempt, or OPS employee may not take work home to be completed after scheduled working hours unless approved in advance by their immediate supervisor, as work completed after scheduled working hours will be treated as hours worked.

8. Employees who falsify any type of University document or falsely report time-worked, leave usage, etc., will be subject to disciplinary action up to, and including dismissal.

6.6.14 OVERTIME COMPENSATION

Due to the fact that the University operates on a set budget each fiscal year, overtime worked by non-exempt (hourly) employees is limited to emergency situations or pre-planned and approved overtime for peak work periods.

Please direct questions about overtime compensation **to Human Resources.**

6.6.15 UNIVERSITY HOLIDAYS

The following holidays are observed by the University. All offices in which functions can be discontinued temporarily are closed on these days:

New Year's Day	Veteran's Day
Martin Luther King Day	Thanksgiving Day
Memorial Day	Friday after Thanksgiving
Independence Day	Christmas Day
Labor Day	Winter Break

When a holiday falls on Saturday, the preceding Friday will be observed as a holiday; when a holiday falls on a Sunday, the following Monday is observed as the holiday.

See [FPU-1.008 University Holidays](#)

See [FPU-1.0081P Compensation Related to University Holidays](#)

6.7 LEAVE POLICIES

6.7.1 ANNUAL LEAVE

Annual leave is earned on the last day of each pay period in proportion to the amount of time in paid status. There is no waiting period for using annual leave. Once annual leave is posted to the balance, employees may request to use it. However, requests for annual leave should be submitted to the supervisor in advance and taken only after the supervisor's approval has been received. Annual leave may be used only up to the regular FTE, not to exceed the 40-hour workweek.

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Hours Accrued During Pay Period:

	SEMI-MONTHLY	YEAR-END MAXIMUM	MAXIMUM PAYOUT
FACULTY	7.3125	352	352
ADMINISTRATIVE	7.3125	352	352
EXECUTIVE SERVICE	9.75	480	480
SUPPORT (Months of service)			
0-6	4.3334	240	240
6-120	5.4167	240	240
Over 120	6.5000	240	240

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Employees may accrue annual leave throughout the year. However, any accrued hours in excess of 240 hours for Support employees, 352 for Faculty and Administrative employees, and 480 hours for Executive Service employees will convert to sick leave hours at the end of the pay period in which December 31 falls.

Annual leave transfers with the employee if he or she moves to other benefits-eligible positions within Florida Polytechnic.

See [FPU-6.00+ Annual Leave](#)

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6.7.2 SICK LEAVE

Sick leave is earned on the last day of each pay period in proportion to the amount of time in paid status. There is no waiting period for using sick leave. Once sick leave is posted to the balance, employees may request to use it. Earned sick leave may be approved for time off from work because of exposure to a contagious disease that may endanger others, personal visits to doctors or dentists and for personal illness. Sick leave may be used only up to the regular FTE, not to exceed the 40-hour workweek.

Sick leave transfers with the employee if he or she moves to other benefits-eligible positions within the University.

See [FPU-6.005 Sick Leave](#)

6.7.3 SICK LEAVE POOL

The University's Sick Leave Pool is a way for employees to contribute a portion of their individually accrued sick leave for collective use of the members. Leave-accruing who have at least 64 hours of sick leave on balance may apply to join the Sick Leave Pool during the Open Enrollment period in October/November. Membership is approved if the criteria are met. Once membership is approved, full-time employees contribute 8 hours of sick leave automatically to the Sick Leave Pool. All figures associated with the sick leave pool are figured on a prorated basis for part-time employees.

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Members of the Sick Leave Pool who have exhausted all their accrued leave (sick, annual, etc.) may apply for hours from the pool in the event of a personal catastrophic illness or injury. Catastrophic injury or illness is defined as "a severe condition or combination of conditions affecting the mental or physical health of the employee that has resulted in a life-threatening condition and/or has had a major impact on life functions."

See [FPU-6.006 Sick Leave Pool](#)

6.7.4 ADMINISTRATIVE LEAVE

Administrative leave is leave with pay that is not charged against individually accrued leave balances. It is designed to keep employees in full pay status under certain circumstances and typically can be granted only in the amount necessary to the regular FTE, not to exceed the 40-hour workweek. University employees may be granted administrative leave in specific enumerated circumstances such as jury duty or Florida disaster volunteer leave.

See [FPU-6.007 Other Types of Leave](#)

6.7.5 FAMILY AND MEDICAL LEAVE ACT (FMLA)

Covered employees may take up to twelve weeks of unpaid leave under the Family and Medical Leave Act of 1993. This leave is permitted for either a serious health condition of the employee, the birth or adoption of a child by the employee, to care for a spouse, child or parent of the employee who has a serious health problem, or to care for a member of the military.

Whenever possible, employees must provide at least thirty (30) days' notice of their intent to take this leave. If thirty days' notice is not practicable, then the employee must provide as much notice as possible.

Please consult Human Resources for specific terms and conditions of this leave, or if you think you may be in need of this type of leave.

6.7.6 OTHER TYPES OF LEAVE

Other types of leave may include:

- Bereavement Leave
- Compulsory Leave
- Military Leave
- Workers Compensation Leave
- Domestic Violence Leave
- Personal Holiday (for support employees only)

See [**FPU-6.007 Other Types of Leave**](#)

6.8 UNIVERSITY BENEFITS

Your benefits can represent a significant portion of your overall compensation, based on the elections you've made. As your employer, Florida Polytechnic picks up a large percentage of the overall cost of some types of insurance, particularly health and basic life, resulting in your paying lower premiums. A variety of other supplemental plans, which are strictly employee-paid, are also available.

6.8.1 BENEFITS ENROLLMENT

State/People First Plans

Within a few weeks of your employment, a People First ID (PFID) will be mailed to your home address along with password information. The PFID is assigned by the state.

Your PFID is your permanent identifier that will allow you to:

- Enroll in your selected benefits
- View benefits during the year
- Make qualified status changes
- Make other adjustments to your benefits during the annual Open Enrollment periods

Your premiums and deductions for benefits will be established based upon your enrollment decisions.

New employees and those experiencing a qualifying status event must complete enrollments through the People First portal or by calling the People First service center at 1-866-663-4735.

Eligibility

All active, permanent, full or part-time Florida Polytechnic employees qualify for coverage under the State of Florida Insurance Programs. Employees who work less than .75 FTE (full-time equivalency) pay a prorated share of the cost for the health and basic life plans.

Certain variable hour and OPS employees qualify for the State's Insurance Program. OPS employees who regularly work 30 hours/week or more may enroll in the state's plans upon hire. OPS employees are eligible to participate in a majority of the state plans with the exception of Optional Term Life, Medical Reimbursement and Limited Purpose Reimbursement Accounts. Employees will be notified of their eligibility for state plans by the state.

All eligible employees should review the Marketplace Notice included in the appendix section of the Description Employee Benefits Package administered to new employees upon hiring. The Marketplace Notice is required under the Affordable Care Act and provides employees additional information about affordable health plan options that are available through the Marketplace or Health Care Exchanges.

Coverage for Dependents

Dependents eligible for State of Florida sponsored plans include:

- Employee's spouse
- Employee's children through age 30* (natural, adopted, step, foster, and those for whom the employee has legal guardianship)
- Employee's disabled children beyond age limits; incapable of self-sustained employment; dependent for financial support
- Employee's eligible dependent's newborn child for 18 months after birth, or until eligible dependent who is the infant's parent no longer qualifies as a dependent, whichever comes first

**Eligibility of dependent children ages 19 through 30 include:*

- Family Coverage Tier: Children age 19 through the end of the calendar year in which they turn 26, are covered under the regular "family plan"
- Optional Over-Age Coverage: For health insurance only—coverage for children age 26 through the end of the calendar year they turn 30 may be purchased at an additional premium if they:
 - A. • are not married,
 - have no dependents (i.e., children, domestic partner),
 - are dependent for financial support,
 - are not provided or otherwise have available health insurance,

And

- B. • Either live in Florida or are a student in another state.

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The eligibility requirements listed above apply to the State of Florida-sponsored plans.

Spouse Program

An eligible employee whose spouse works in a benefits-eligible position for a State of Florida government agency may enroll in the health insurance Spouse Program. This program combines the state's matching portion of each member's insurance premium, providing health insurance at a minimal cost provided that both employees are in full-time, benefits eligible positions. Should one spouse terminate employment with the State of Florida—or in the event of a divorce, change in FTE, or leave of absence—the employee must notify People First of the event within 60 days of the event.

Open Enrollment

Open Enrollment is a period of time when employees have an opportunity to make additions, changes or deletions to their elected benefit options. During this time, Open Enrollment communications provide information to employees regarding critical dates, new plan options, or other important changes for the upcoming plan year. After the Open Enrollment period begins, employees may access the People First enrollment system 24 hours a day to make necessary changes. Benefit elections can be made throughout the Open Enrollment period, however once the Open Enrollment period ends, all of the employee's elections in the system are final and coverage for the elections will begin on the following January 1. The Open Enrollment period generally varies from year to year and usually occurs around mid-October to November. For specific dates, check with the Human Resources Department each fall.

Qualifying Events for Changing Coverage

Under certain circumstances, you may be allowed to make changes to your benefit elections during the plan year. Within 60 calendar days of the qualified event date, you must make these changes through the People First portal or by calling the People First service center at 1-866-663-4735.

Qualifying status changes/events include:

- Employee gives birth to, adopts, or becomes the legal guardian of a child (employee must add each child even if the employee already has family coverage)
- Employee gets married or divorced
- Employee's spouse or dependent dies
- Employee's employment is changed from full-time to part-time or from part-time to full-time
- A change in employee's spouse's employment status (resulting in a gain or loss of other coverage)
- A change in dependent's eligibility for benefits
- Termination of employee's employment

The employee may be required to submit documentation for certain events and such documents must be consistent with the requested benefit change. Outside of the 60-day qualifying status change window, changes to an employee's plans are limited to the annual Open Enrollment period.

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6.8.2 HEALTH BENEFITS

Benefit Eligible employees may choose from several health insurance plan options.

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Current available state health plans include:

- Preferred Provider Organization (PPO) Plans
- Health Maintenance Organizations (HMO) Plans
- Health Investor (High Deductible) PPO or HMO Plans
- Health Savings Accounts
- State Prescription Drug Program
- Flexible Health Spending Accounts

No matter which plan you choose, health insurance premiums are deducted on a pre-tax basis unless you request post-tax deductions through a state pre-tax waiver. Please note that coverage is NOT effective until AFTER you receive your insurance cards from the companies.

The State of Florida makes a variety of other health insurance and benefit programs available to eligible employees. For more information, please visit:

<http://www.myflorida.com/MyBenefits/Health/Health.html>

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6.8.3 LIFE INSURANCE

The State of Florida offers Basic and Optional term life insurance coverage to eligible full-time and part-time employees.

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For more information, please visit:

<http://www.myflorida.com/mybenefits/Health/Life Insurance/Life Insurance.html>

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6.9 UNIVERSITY RETIREMENT PLANS

Eligible employees may choose to participate in one of three plans: the State University System Optional Retirement Program, the Florida Retirement System's Florida Pension Plan, or the Florida Retirement System's Florida Investment Plan. All three retirement plans include employer and mandatory employee contributions.

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To select a retirement plan, you will need to fill out the appropriate form and turn it in to the Human Resources department for processing.

State University System's Optional Retirement Program (SUSORP)

For more information regarding the please visit:

http://www.dms.myflorida.com/workforce_operations/retirement/optional_plans/state_university_system_optional_retirement_program

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Florida Retirement System's Florida Pension Plan (FPP) and Florida Investment Plan (FIP)
For more information about the, please visit: <https://www.myfrs.com/>

Deferred Retirement Option Program (DROP)
For more information, please visit: https://www.myfrs.com/FRSPro_Pension_DropRoll.htm

Deferred Compensation Plan
For more information, please visit:
<https://www.myfloridadeferredcomp.com/SOFWeb/default.aspx>

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6.10 EMPLOYEE PERFORMANCE & CONDUCT

6.10.1 DISCIPLINARY ACTION

While the majority of University employees may never need discipline, exceptions do occur. Disciplinary actions may include oral reprimands, written reprimands, suspensions and dismissals, depending on the severity of the offense. Management has the discretion to determine the degree of discipline to administer for a particular offense.

To ensure equity in disciplinary action, the following categories act as guidelines for the University to determine when discipline may be necessary: unsatisfactory attendance; misconduct; negligence; and violation of provision of law, University regulation or departmental policy, procedure, or practice that is verbal, written, or understood.

The University will consider each individual employee's record of offenses and disciplinary action history when determining whether an adverse employment action is both appropriate and in the best interest of the University.

Discipline And Termination From Employment. The appointment of any faculty member may be terminated or disciplinary action taken during the term of employment contract for just cause. Just cause includes, but is not limited to, the following examples of conduct:

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- (a) neglect of duty or responsibilities, including unauthorized absence, which impairs teaching, research or other normal and expected services to the University;
- (b) failure to perform the terms of employment;
- (c) willful violation of the policies and regulations of the Florida Board of Governors and/or the University;
- (d) failure to discharge assigned duties effectively because of incompetence;

- (e) misconduct, professional or personal, involving moral turpitude;
- (f) violation of the ethics of the academic profession; and
- (g) actions which impair, interfere with or obstruct, or aid, abet or incite the impairment, interference with or obstruction of the orderly conduct, processes and functions of the University.

If a faculty member is absent without authorized leave for five or more consecutive days shall be considered job abandonment and treated as a voluntarily resignation from the University. A faculty member's activities which fall outside the scope of employment shall constitute misconduct only if such activities adversely affect the legitimate interests of the University.

The President designee may immediately place a faculty member on leave with pay pending investigation. The leave pending investigation shall commence immediately upon the President designee providing the faculty member with a written notice of the reasons. The leave shall be with pay, with no reduction of accrued leave. If, as a result of the investigation, the faculty member is to be suspended or terminated, written notices shall be given to the faculty member. An employee shall be given written notice of termination or suspension prior to the effective date, unless it is determined that the actions adversely affect the functioning of the University or jeopardize the safety or welfare of the faculty member, colleagues or students.

For additional information about disciplinary issues, [please consult Human Resources](#).

6.10.2 EMPLOYEE GRIEVANCE PROCESS

Florida Polytechnic encourages informal resolution of grievances and complaints whenever possible. Your immediate supervisor is available to help you resolve any work-related concerns or misunderstandings. Should this type of informal resolution be unsuccessful, you may choose to initiate a formal grievance or complaint. Please contact the Human Resources department for assistance.

See [FPU-6.0011P Employee Grievance Procedure](#)

6.11 EMPLOYEE SAFETY

6.11.1 BACKGROUND CHECKS

See [FPU-6.011 Employee Criminal Background Checks](#)

6.11.2 DRUG-FREE WORKPLACE

See **FPU- Drug-Free Environment**

6.11.3 WORKERS' COMPENSATION

Florida Polytechnic is committed to providing a safe and healthy environment in which faculty, staff and students may work and study. In order to help uphold this commitment, the Division of Environmental Health & Safety (EH&S) is responsible for informing the Florida Polytechnic community of the general safety training that is required of employees.

As a University employee, you will want to practice good safety habits and observe appropriate precautions at all times for the protection of yourself and others. Even then, accidents and injuries on the job can happen. If you sustain a work-related injury, your medical expenses and a portion of your earnings may be covered under the Florida Polytechnic Workers' Compensation program.

What to Do If You Are Injured While Performing Your Job

1. Notify your supervisor immediately. You/your supervisor must then contact the Human Resources department. An incident report will need to be completed.
2. If you require medical attention, contact Human Resources prior to going to a medical care provider. Human Resources will assist you getting the medical attention that you may need.
3. To obtain authorization for Workers' Compensation claims, employees need to contact AmeriSys at 1-800-752-0886. They will be asked a series of questions about their work related injury and then will be instructed on which medical facility to go to for services.
4. When you arrive at an authorized medical care provider's facility, be prepared to show proof of identification.
5. Provide both your supervisor and HR with medical documentation of your initial work status and any subsequent changes to it. Your authorized medical care provider must support, in writing, all injury-related time away from work.
6. Contact your supervisor daily, or according to a schedule established by your supervisor, in order to keep him/her informed about your current work status, ongoing treatment and prognosis for recovery.
7. Attend all of your scheduled medical appointments.
8. When an authorized medical care provider releases you to return to work (regardless of your assigned limitations or restrictions), you must be willing and able to return to the workplace.

For more information regarding Workers' Compensation, please contact the Human Resources department.

6.12 WORKPLACE VIOLENCE

See [FPU-6.0024P Workplace Violence](#)

VII. ACADEMIC POLICIES & PROCEDURES

7.1 ACADEMIC INTEGRITY

Florida Polytechnic is committed to a policy of honesty in academic affairs. Academic dishonesty is considered a serious breach of ethical standards in the academic environment and because it interferes with the University's mission to provide a high quality education in which no student enjoys an unfair advantage over any other. Dishonesty is also destructive of the University community, which is grounded in a system of mutual trust and places high value on personal integrity and individual responsibility. All of us in the Florida Polytechnic community are responsible for discouraging academic dishonesty by taking preventative measures and by insuring that appropriate action is taken when irregularities are discovered.

Florida Polytechnic students are expected to maintain the highest ethical standards in order to prevent academic irregularities, which frustrate the efforts of both the faculty and serious students to meet university goals. Since faculty, students, and staff have a stake in these goals, all must be responsible for discouraging academic irregularities by taking preventative measures and by insuring that appropriate action is taken when such irregularities are discovered. Thus, Florida Polytechnic Regulation **FPU-5.005 Academic Integrity** that requires a faculty member, student, or staff member to notify an instructor when there is reason to believe an academic irregularity is occurring or has occurred in a course. The faculty's duty is to properly investigate any reasonable allegation and to take the necessary action where it is deemed appropriate, in accordance with the University's regulations and policies.

See [FPU-5.005 Academic Integrity](#)

7.2 ACADEMIC CALENDAR

The Florida Polytechnic Academic Calendar defines each semester's and summer session's beginning and ending dates, as well as any important dates or deadlines. Classes must be scheduled and held in conformity with the academic calendar in order to assure that each class meets for the minimum amount of time required by the state. Any deviation from the calendar, such as starting a course later or concluding it sooner than the date indicated in the calendar, requires prior, written approval from the Provost/designee. Instructors are required to provide all students enrolled in a course with sufficient notice of any deviations from the course schedule provided in the academic calendar.

See [Academic Calendar](#)

7.3 TEXTBOOK ADOPTION

Course textbooks and instructional materials must be adopted in compliance with the requirements provided by both federal and state law. These requirements regarding textbook adoption and affordability have been imposed with the intended goal of reducing the expense of instructional materials to students by providing them with the necessary information on required purchases with sufficient time to shop for the best prices.

Faculty members may require students in their classes to buy course manuals, study guides, and other materials prepared by the faculty member so long as the faculty member complies with all applicable copyright laws. Such materials may be produced and sold by the copy center or bookstore on campus. The fee charged to students for such materials shall not exceed the cost of producing and distributing the material and must be approved by the program coordinator.

Textbooks and course pack information required for use in a course will be posted in a single online location for students no later than forty-five (45) days prior to the first day of class for each term. Textbook orders are to be placed through departmental offices no later than the provided deadline, which is approximately twelve (12) weeks prior to the start of the term. The Bookstore will order all required texts and shall make them available for purchase by students for the upcoming term. Although all required textbooks and course pack information may be obtained at the university bookstore, students may choose to purchase their instructional materials from any vendor.

7.3.1 USE OF FACULTY-AUTHORED TEXTBOOKS

Since University faculty members are expected to be experts in their disciplines, the best textbook for use in a class may be one written by the course faculty member. A faculty member may select a textbook he or she has written for use in the course provided that the textbook has been published by a nationally recognized, commercial book company. (Report of Specified Interest, Florida Code of Ethics.) Any faculty member who is instructing a course and wishes to use a text that he or she has authored is required to obtain prior written approval from the Provost.

7.3.2 TEXTBOOK ADOPTION PROCEDURE

FacultyEnlight is a web-based platform built exclusively for faculty and department administrators that enables you to research and adopt course materials in one, convenient place. When you use **FacultyEnlight**, you can quickly see the formats available and the estimated student price for any textbook you choose, including our selection of rental titles available right from the campus bookstore. To get started, you will need to create a new account the first time using **FacultyEnlight**. Click the **Create account** link, located in the upper right of www.facultyenlight.com, and enter a username and password of your choosing.

You will also find a quick demo video to get acquainted with the many features of the site at <http://www.facultyenlight.com/content/facultyenlight-demo-video>.

See [FPU-5.003 Textbook Adoption and Affordability](#)

See [Board of Governors Regulation 8.003](#)

See [Section 1004.085, Florida Statutes](#)

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7.4 ACADEMIC CREDIT

Florida Polytechnic's academic schedule consists of two semesters (Fall and Spring), and the Summer Term. University regulation and federal law states that the amount of academic credit that counts toward a student's accrual of credit hours toward graduation is stated in terms of academic "credit hours." A credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than:

- (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or the equivalent amount of work over a different amount of time; or
- (2) At least an equivalent amount of work as required in paragraph (1) of this definition for academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

See [FPU-5.0003AP Credit Hour Policy](#)

7.4.1 NONCREDIT COURSE WORK EQUIVALENT

Florida Polytechnic does not typically award credit or credit equivalencies for course work taken on a noncredit basis. Transfer credit awarded on a non-credit basis from another institution will not be accepted by Florida Polytechnic unless approved according to BOG Regulation.

See [FPU-5.0082AP Transfer of Credits Policy – Undergraduate](#)

See [FPU-5.0082AP Transfer of Credits Policy – Graduate](#)

See [BOG Regulation 6.020](#)

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7.5 ACADEMIC STANDING

The University has established minimum academic standards to which all students must adhere. Academic standing defines academic progress as it is indicated on student records, and how the status will affect a student's academic standing is denoted on his/her student record. The University Registrar will notify students of a change in academic standing via email.

See [FPU-5.0074AP Academic Standing \(Undergraduate\)](#)

See [FPU-5.00744AP Graduate Academic Standing, Academic Dismissal, and Readmission](#)

7.6 DROP / ADD

Students may drop and add courses up to the end of the drop/add period, which is notated on the Academic Calendar for each semester. Students are responsible for all fees for courses remaining on their schedule after the drop/add period.

See [FPU-5.0101AP Course Drop / Add](#)

7.7 CLASSROOM POLICIES

Faculty members may not cancel classes at their own discretion. In the event that extraordinary circumstances require a faculty member to miss a scheduled class meeting, ~~he or she must notify the Department's Administrative Assistant the Office of Academic Affairs shall be notified~~ (whenever possible, prior to the scheduled class meeting) and arrangements must be made to make up for the lost class time. In the event of a hurricane or other emergency, classes will be cancelled only if the University is officially closed.

~~In most cases, classes must meet during the scheduled Final Exam period, even if no Final Exam is given.~~ Courses may not end prior to the scheduled end of the term except in exceptional circumstances, and then only with prior, written approval from the Provost/designee.

7.8 CLASSROOM REQUESTS

Classrooms for academic courses are assigned each semester when class schedules are submitted by departments/~~colleges~~. Instructors may indicate preferences for a particular location or a specific classroom for consideration.

Instructors wishing to change their classroom assignment for the term, should contact their Department Chair ~~Registrar~~ to make arrangements with scheduling. Because a room change will affect the online schedule, the request for a change in classroom assignment may only come from the Department Chair to the Registrar. Instructors must ensure that all students enrolled in the course are sufficiently notified of any changes to the assigned classroom.

Instructors should not hesitate to report a problem no matter how small: the university counts on the faculty to bring any problems to our attention so that they can be resolved.

7.9 THE USE OF TECHNOLOGY TO ENHANCE STUDENT LEARNING

Florida Polytechnic is committed to enhancing instructional technology resources and to preparing its students to thrive in a technology-rich work environment. To that end, the University employs information technology in creative, experimental, and practical ways for the delivery of instruction, for administrative and information management, and for student access and support. This commitment includes engaging faculty and students in the strategic planning and decision making process for instructional technology acquisition and implementation.

7.10 FEES FOR COURSE MATERIALS AND SUPPLIES

Proposed material fees for consumable course materials and supplies must be based on the actual costs of the materials. Such fees must be preapproved by the President and are required to be publicized in the course schedule.

7.11 GRADING POLICY

The individual responsible for the assignment of grades is the instructor of the course. The grade assigned must be appropriate for the student's academic performance in the course. The Provost or designee will determine if a course will be graded by the pass/fail or satisfactory/unsatisfactory grading process. When a student registers for a course but fails to complete the course requirements without timely dropping the course, the student will normally receive a grade of "F" from the course instructor.

A student who is passing a course but has not completed all of the required work due to exceptional circumstances may, with the approval of the instructor, temporarily receive a grade of "Incomplete" (I). An incomplete must be changed to a grade within a specified time, ~~not to exceed one calendar year from the end of the semester during which the course was taken~~ defined by policy. Students cannot graduate with an incomplete grade on their record.

In circumstances where an instructor fails to submit a grade for a student in a particular course by the deadline, the Registrar will enter an “NR” (No Grade Reported) on the transcript. When the instructor subsequently submits a grade to the Registrar, it will replace the NR designation. It is expected that the instructor shall submit grades prior to the deadline for submission of grades for the semester in which the course was taken.

See [FPU-5.0071AP Grading Policy](#)

See [FPU-5.00711AP Grade Submission](#)

See [FPU-5.00712AP Incomplete Grade](#)

See [FPU-5.0006AP Grade Forgiveness Policy](#)

See [FPU-5.00715AP Grade Change](#)

7.12 COURSE SYLLABUS

The University specifies the scope of content that must be included in all course syllabi.

See [FPU-5.0065AP Course Syllabi](#)

7.13 OFFICE HOURS

All faculty members are required to post office hours during which time they will be available for consultation with students. In establishing the office hour schedule, faculty should carefully consider the availability of his or her students during the scheduled times. All full-time faculty members must schedule his or her office hours so that he or she is available to meet with students on at least three (3) weekdays. Faculty members with special advisement responsibilities may have additional office hours assigned. Faculty are expected to be in their office and available during these hours. Individual departments may establish a requirement beyond these minimum University requirements. —

7.14 STUDENT ATTENDANCE

Students are expected to attend all of their scheduled University classes and to satisfy all academic objectives as defined by the instructor. The effect of unexcused absences upon a student's grade is to be determined by the instructor, however, the University reserves the right to deal, at any time, with individual cases of non-attendance.

Students are responsible for arranging to make up work missed due to a valid, excused class absence, such as illness, family emergencies, military obligation, court-imposed legal obligations, or participation in University-approved activities. Examples of University approved reasons for absences include participating on an athletic or scholastic team, musical and theatrical performances, and debate activities. It is the student's responsibility to give the instructor notice prior to any anticipated absence, and within a reasonable period of time after an unanticipated absence, ordinarily by the next scheduled class meeting.

Reasonable accommodations shall be made for religious observance, practice, and belief of individual students in regard to class attendance, the scheduling of examinations, and work assignments. Instructors must allow each student the opportunity to make up work missed, due to a validly excused absence, without any reduction in the student's final course grade because of the absence alone.

See [FPU-5.0010AP Student Attendance](#)

7.15 STUDENT WITHDRAWAL

See [FPU-5.01034AP Student Withdrawal from a Course](#)

See [FPU-5.01033AP Student Withdrawal for Mitigating Circumstances](#)

See [FPU-5.01032AP Student Withdrawal from the University](#)

7.16 READING DAYS

In order to provide students with additional examination preparation time before the commencement of final exam week, the University has sanctioned Reading Days, which are incorporated into the Academic Calendar.

See [FPU-5.0018AP Reading Days](#)

7.17 FINAL EXAMS

The procedure for handling student examinations varies not only among academic units, but among the faculty within those units. While the University has no specific policy regarding student examinations, it supports a practice that every student has a right of access to review examinations. Most faculty members are willing to let the students review the test along with their answer sheets in a faculty

member's office. In other cases, the faculty may choose to post a copy of the examination along with the answers.

When scheduling examinations and assignment due dates, faculty members should keep in mind that undergraduate students need to have some indication of their progress prior to the deadline to withdraw^{al} from a course. Major tests or other major class events should not be scheduled on days that will be observed as holy days by a significant number of students.

Comprehensive final examinations are to be given only at the time published by the University Registrar. ~~Classes must meet during the time provided for the final examination in the schedule, even if the instructor has determined that no final exam will be administered for the course.~~

See [FPU-5.0073AP Final Exams](#)

7.18 GRADE APPEALS

Florida Polytechnic states that Faculty exercise professional judgment in determining how to assess student performance based on departmental standards and on their own student achievement expectations. A student may request a review of the final course grade only when the student believes that one or more of the following conditions apply:

- Computational or recording error in grading occurred
- Non-academic criteria applied in the grading process
- Gross violation of the instructor's own grading statement

The student is responsible for monitoring his/her grades and student email account and availing himself/herself of this process in a timely manner if the student wishes to appeal a grade. If the student fails to submit the forms and information to the designated official on or before the stated deadline, the student's appeal or further access to the grade appeal process will be denied.

See [FPU-5.00714AP Student Grade Appeals](#)

See [FPU-5.00715AP Grade Change](#)

7.19 COURSE EVALUATION

University regulations require that a survey be conducted in all sections of all courses with enrollments of five or more students. The survey is administered during the last three weeks of the course, except in summer when it is conducted during the last week.

7.20 STUDENT ACCOMMODATION REQUESTS

Florida Polytechnic provides students with disabilities the services and accommodations needed in order to ensure that each student has the opportunity to attain the same quality of education without compromising academic integrity or altering specific course or program requirements.

See [Disability Services Website](#)

See [Request Form for Disability Services](#)

7.21 GRADUATE THESIS COMMITTEE ~~OR PROJECT ADVISORY GROUP~~

~~A student working towards a degree that requires a thesis or project must have a Graduate Thesis Committee or Project Advisory Group. The Thesis Committee must be comprised no more than two faculty members in addition to the Committee Supervisor. The Project Advisory Group must be comprised no more than one faculty member in addition to the Primary Advisor. The Committee Supervisor/Primary Advisor must be an expert in the subject matter of the proposed thesis/project. At least one Committee/Group member must represent a field outside of the student's major. Industry partners may also serve as members of the Committee. The Committee/Group approves the student's proposal and course of study plans for research; supervises the research and reads and approves the thesis/project for content and format. In order to complete a thesis, a student must have a Graduate Thesis Committee. The Committee must be comprised of at least three faculty members. The Chair of the Committee must be an expert in the subject matter of the proposed thesis and a faculty member. At least one Committee member should represent a field outside of the student's major field. Industry partners may also serve as members of the Committee. The Committee approves the student's course of study; plans for research; supervises the research and any comprehensive qualifying exams; and, reads and approves the thesis for content and format.~~

See [FPU-5.0123AP Graduate Thesis Committee](#)

7.22 HONORARY DEGREES

The University may grant honorary degrees to persons whose achievements align with the University's purpose and mission. Honorary degrees are awarded to recognize sustained achievement of lasting significance in scholarship, the arts, public service, and/or contributions to the University.

See [FPU-8.0095AP Honorary Degrees](#)

7.23 ACADEMIC DEGREE PROGRAMS

See [FPU-5.001AP New Degree Program Planning and Approval](#)

See [FPU-5.0008AP Academic Program Termination](#)

7.23.1 REVIEW & ASSESSMENT

Assessment is the ongoing process of establishing clear, measurable expectations of student learning; systematically gathering, analyzing, and interpreting evidence of learning; comparing outcomes to expectations; and, using results to understand and improve student learning throughout the University. Florida Polytechnic is committed to assessment that is meaningful, manageable, efficient, and useful for making decisions at the department, [collegedivision](#), and University levels. Although assessment processes are required by state regulation and regional and discipline accrediting agencies, assessment works best when guided by the curiosity and intellectual dialogue that characterize the culture of higher education.

See [FPU-5.0062AP Academic Program Review and Continuous Improvement Process](#)

VIII. RESEARCH REGULATIONS & POLICIES

8.1 CAMPUS ENVIRONMENTAL HEALTH & SAFETY

The University is committed to providing a safe and healthful campus that is free from recognizable occupational safety, health, and environmental hazards. Every member of the university community is responsible for observing applicable requirements for safety and health.

University employees are responsible for conducting their work in a manner that adheres to applicable requirements for safety and health and minimizes the potential for illness or injury to themselves or the university community. Individual employees are expected to report any unsafe acts or conditions to his/her supervisor and shall complete the Safety Concern form (FPU-9.0042P). Employees should suspend activities in the event unsafe acts or conditions have been identified and/or reported until the employee receives clearance from his/her supervisor.

See [FPU-9.0042P Campus Environmental Health & Safety](#)

8.2 HAZARDOUS MATERIALS & EQUIPMENT

The Department of Environmental Health and Safety (EHS) is the designated authority for compliance with applicable hazardous materials and radiation-producing equipment regulations, including those regulations that apply to research activities and any safety requirements specified in grants. EHS acts as an informational resource for researchers who have questions about best safety practices, who must procure safety equipment, correct potential hazards and respond to inquiries from external agencies.

All individuals are required to disclose the details of hazardous material procurement, use, storage, security, and disposal measures, in accordance with current EHS policy and procedure. Hazardous materials include any material that, because of its quantity, concentration, or physical, chemical, or biological, radiological characteristics, may pose a hazard to human health or the environment.

The university will notify individuals in the event of noncompliance with safety issues and will request correction within thirty (30) days and if necessary, the authority to direct the individual to suspend unsafe activity until corrected.

See [FPU- 9.0041P The Procurement, Use and Possession of Hazardous Materials & Radiation Producing Equipment](#)

8.3 SPONSORED RESEARCH ROLES AND RESPONSIBILITIES

It is the policy of the University to encourage faculty members to participate in research sponsored by outside agencies when such research is consistent with the basic aims of the University in regard to the education of students, the extension of knowledge, and supports the University in fulfilling its mission as an innovative, interdisciplinary high-tech institution. All members of the University community involved in research will take personal responsibility for their actions in pursuit of individual and organizational excellence. Each individual will uphold the highest standards of ethical and professional conduct in accordance with University, state, federal and sponsoring agency policies and regulations.

The **Office of Research Services** (“ORS”), which is under the direction of the Provost, is responsible for all external research proposal submissions. ORS assists faculty, staff and students in proposal preparation, funding source identification, compliance issues pertaining to the use of human and animal subjects in research, budget preparation, and any other aspect of research and sponsored programs at the University. ORS also acts as liaison between the sponsor agency and the faculty when requested to do so. The Director of ORS is the University's reviewing, certifying, and negotiation coordinating officer for all research proposals submitted to outside agencies.

See [FPU-12.0011AP Sponsored Research Roles and Responsibilities](#)

8.4 RECIPIENT / SUBRECIPIENT MONITORING

The University is obligated in its role as primary recipient or grantor to undertake certain stewardship activities as well as comply with federal, state and local regulations. When the University assigns responsibility for conducting work sponsored by an award to a subrecipient, the University remains responsible for managing funds and meeting performance goals. Thus, the monitoring of technical and financial activities associated with a subrecipient is an integral part of the University stewardship of sponsor funds.

FPU-12.0016AP addresses institutional responsibilities and assists PIs and staff to ensure that, in addition to achieving performance goals, subrecipients comply with federal laws and regulations and with the provisions of any agreements that govern the subaward. This policy applies to all subawards issued under sponsored research projects regardless of primary source of funding; however, it does not apply to consultant agreements or the procurement of goods or services from contractors as defined within the policy.

See [FPU-12.0016AP Recipient-Subrecipient Monitoring](#)

See [Recipient/Subrecipient Profile Questionnaire Form](#)

IX. HANDBOOK REVISIONS

9.1 ACADEMIC POLICIES & PROCEDURES COMMITTEE

The charge of the University Academic Policies & Procedures Committee (APPC) includes to review annually the Faculty Handbook and to recommend changes to the Provost. Maintenance of the Faculty Handbook is the responsibility of both the APPC and the Provost. Each year the Handbook is updated for changes and additions in operating policies, procedures, and descriptive information. During the academic year, the APPC does the following:

- Considers issues related to academic governance that may require updates or additions to the Handbook and drafts additions for inclusion in the Handbook;
- Works with the Provost to update the Handbook; and,
- Reviews proposed changes and additions to the Handbook.

9.2 INITIATION OF HANDBOOK CHANGES

Revisions to the Faculty Handbook may originate in one of the following ways:

- A proposal to the APPC from the administration, the faculty, faculty members, or any faculty governing body;
- An emendation initiated by the APPC in the course of its annual review;
- A Board of Trustees action or a change required to align the Handbook with prior or new policy.

9.3 PROCESS FOR PROPOSING HANDBOOK CHANGES

Any member of the faculty may propose a revision to the Faculty Handbook. Proposed revisions to the Handbook shall be written and include a statement of supporting rationale, and be submitted to any member of the APPC who will then forward the proposed revision to the chair of the APPC.

Immediately upon receipt, the chair of the APPC will forward all proposed revisions to the Provost, who then establishes priority of such consideration, as appropriate. Faculty representatives serving on the APPC shall timely report on APPC action and recommendations to the faculty governing body to ensure faculty members are informed through appropriate communication channels.

With the exception of revisions initiated by either Board of Trustees action, or adoption / revision of any applicable Collective Bargaining Agreement or university rule, regulation, or policy, the APPC shall ensure all proposed revisions approved by the Provost for further consideration are forwarded to university stakeholders, for review and comment, which will include the general faculty and staff.

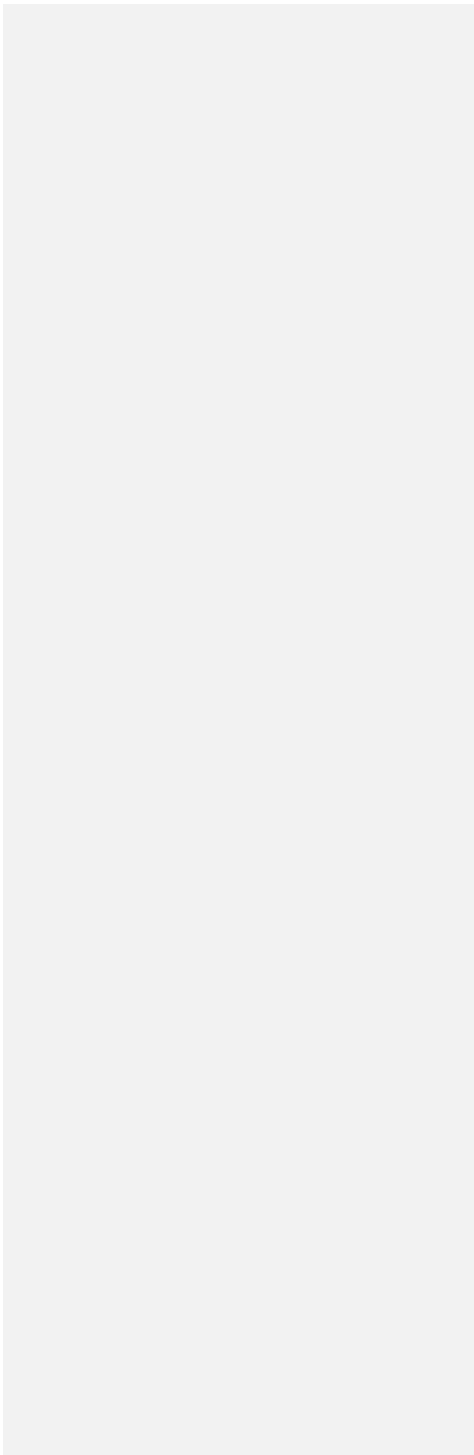
The comment period provided to stakeholders shall be, at minimum, seven (7) calendar days and in no event shall the entire process exceed thirty (30) calendar days. Comments received from the faculty governing body, the faculty, and staff will be reviewed by the APPC. The APPC will consider all comments and, in consultation with the Provost, will (i) recommend adoption of the revisions as distributed to stakeholders for comment, (ii) recommend adoption of the revisions with editorial changes, or (iii) recommend reconsideration of sections of the proposed revisions to the Handbook. The APPC may recommend adoption of certain proposed new sections while recommending reconsideration of other sections, as appropriate.

9.4 APPROVAL OF HANDBOOK CHANGES BY BOARD OF TRUSTEES

All proposed revisions to the Handbook will be submitted to the Provost who will seek authorization of the changes by the President and Board of Trustees, as may be appropriate. Once approved, revisions to the Handbook will be updated in the most recent electronic version of the Faculty Handbook on the university's website.

The Provost and the APPC will promptly announce to the university community the publication of the updated version of the Faculty Handbook and provide a summary detailing that version's updates.

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20168-197 UNIVERSITY COMMITTEE DESCRIPTIONS

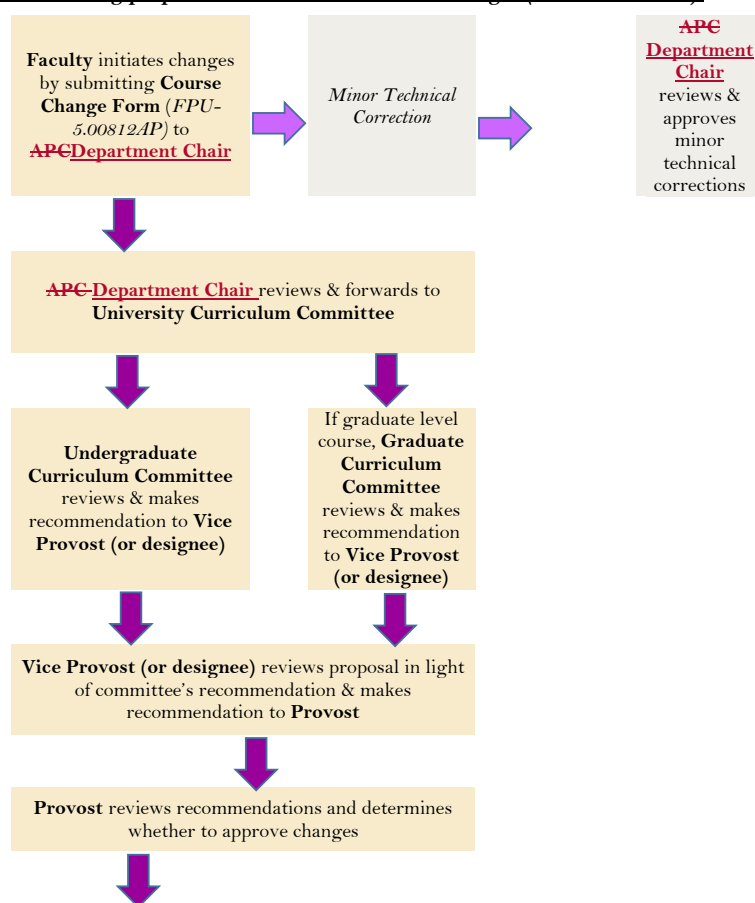
NOTE: University rules, regulations & policies are referenced herein; governing documents should be referenced and read in entirety at: <https://floridapolytechnic.org/board-of-trustees/university-policies-and-regulations/>

University Undergraduate Curriculum Committee (UCC)
<p><i>The purpose of the University Undergraduate Curriculum Committee is to make recommendations on academic policies and standards related to undergraduate curriculum; provide a directional force for the planning, development, approval, and implementation of new academic curricula; and for the review, evaluation, approval, and disposition of existing curricula.</i></p>
<p>Committee Membership:</p> <ul style="list-style-type: none"> ❖ One (1) faculty representative from each academic department, degree-granting program(s) represented by an APC. ❖ Three (3) faculty representatives from general education programs (physical sciences, mathematics, and humanities or social sciences) <ul style="list-style-type: none"> ❖ University Registrar (Chair), <i>Ex officio</i> ❖ Director, Institutional Effectiveness, Ex officio ❖ Vice Provost, Student Affairs Assessment & Instruction, <i>Ex officio</i> ❖ Vice Provost, Academic Success Support Services, <i>Ex officio</i> (non-voting) ❖ Vice Provost, Enrollment & Student Development, <i>Ex officio</i> (non-voting)
<ul style="list-style-type: none"> ➤ The UCC is a university committee managed by the faculty governing body. <ul style="list-style-type: none"> ➤ The University Registrar shall serve as chair of the committee. ➤ The faculty governing body shall appoint faculty representatives to serve on the committee in effort to provide representation consisting of the faculty who “own” undergraduate curriculum, develop courses, and degrees, as relevant. <ul style="list-style-type: none"> ➤ The UCC will review proposed changes in, additions to, and deletions from the undergraduate curriculum, course descriptions, and catalog information and will forward recommendations to the Graduate Studies Committee or Provost, as appropriate.
<ul style="list-style-type: none"> ➤ FPU-5.0003AP Credit Hour Policy ➤ FPU-5.00812AP Curriculum and Course Changes <ul style="list-style-type: none"> ➤ FPU-5.0065AP Course Syllabi ➤ FPU-5.0086AP Credit for Online Courses Completed Prior to Initial Enrollment

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University Graduate Studies Committee	
<p><i>The purpose of the University Graduate Studies Committee is to review and make recommendations as to graduate academic policies and standards related to graduate level curriculum (approval of any new graduate programs or major changes to existing programs), graduate program monitoring and evaluation, graduate admissions requirements, graduate teaching and research assistantships, criteria for and appointment to the graduate faculty and other matters of importance pertaining to graduate education and programs.</i></p>	
<p>Committee Membership:</p> <ul style="list-style-type: none">❖ <u>One (1) faculty representative from each academic department</u> directly associated with a graduate degree program or concentration.❖ <u>One (1) faculty representative at-large</u>❖ <u>One (1) graduate faculty representative from each college</u>❖ <u>Three (3) faculty representatives proportionate and relevant to graduate level disciplines supporting / implementing the graduate level curriculum</u><ul style="list-style-type: none">❖ <u>Graduate Division Director, (Chair), Ex officio</u><ul style="list-style-type: none">❖ University Registrar, Ex officio❖ <u>Director, Institutional Effectiveness, Ex officio</u>❖ Vice Provost, <u>Assessment & Instruction Student Affairs</u>, Ex officio❖ Vice Provost, Academic <u>Success</u> Support Services, Ex officio (non-voting)❖ Vice Provost, Enrollment <u>& Student Development</u>, Ex officio (non-voting)	
<ul style="list-style-type: none">➤ The University Graduate Studies Committee is a university committee managed by the faculty governing body.➤ <u>The faculty governing body shall annually select a faculty representative to serve as chair of the committee, subject to the Provost's approval.</u><u>The Director of the Graduate Division shall serve as chair of the committee.</u>➤ The faculty governing body shall appoint faculty representatives to serve on the committee in effort to provide representation consisting of the faculty who "own" graduate curriculum, develop courses, and degrees, as relevant.➤ <u>The University Graduate Studies Committee will review proposed changes in, additions to, and deletions from the graduate curriculum, course descriptions, and catalog information and will forward recommendations to the Provost.</u>	
<ul style="list-style-type: none">➤ <u>FPU-5.0003AP Credit Hour Policy</u>➤ <u>FPU-5.00812AP Curriculum and Course Changes</u><ul style="list-style-type: none">➤ <u>FPU-5.0065AP Course Syllabi</u>➤ <u>FPU-5.0086AP Credit for Online Courses Completed Prior to Initial Enrollment</u><ul style="list-style-type: none">➤ <u>FPU-5.0096AP Graduate Degree Graduation Requirements</u>	

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Process for initiating proposed curriculum and course changes (FPU-5.00812AP)



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University Academic Policies & Procedures Committee (APPC)
<p><i>The University Academic Policy and Procedures Committee is a standing committee appointed by the Provost to make recommendations regarding the creation, revision, and management of university academic policies. The APPC shall review academic policy and procedure proposals in order to determine whether they are aligned with the mission of the University.</i></p>
<p>Committee Membership:</p> <ul style="list-style-type: none">❖ Academic Program Coordinator Department Chair, (APC) selected by the Provost<ul style="list-style-type: none">❖ Two (2) faculty representatives selected by faculty governing body❖ Two (2) faculty representatives nominated by the faculty governing body, selected by Provost<ul style="list-style-type: none">❖ Chair, Faculty Governing Body, <i>Ex officio</i>❖ University Registrar, <i>Ex officio</i>❖ Director, Institutional Effectiveness, Ex officio❖ Vice Provost, Student Affairs Assessment & Instruction, <i>Ex officio</i>❖ Vice Provost, Enrollment & Student Development, <i>Ex officio</i><ul style="list-style-type: none">❖ Vice Provost, Academic Success Services, Ex officio❖ General Counsel representative, <i>Ex officio</i>
<ul style="list-style-type: none">➤ The APPC Chair is appointed by the Provost.➤ The APPC will ensure proper distribution of proposed policies to university stakeholders for review and comment.➤ The APPC reviews and recommends proposed changes to the Faculty Handbook to the Provost.
<ul style="list-style-type: none">➤ FPU-1.001AP Policy Creation and Development Process – Academic Policies

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University Non-Academic Policies & Procedures Committee (NPPC)

University policies provide specific guidance and procedures in compliance with applicable state, federal, and University regulations. The University Non-Academic Policy and Procedures Committee oversees the development of non-academic policies by circulating policies and soliciting comments from stakeholders, modifying policy drafts, and approving policies and related procedures to direct and guide the operations of the University.

Committee Membership:

- ❖ Faculty representative selected by faculty governing body
- ❖ Student Affairs representative selected by Vice Provost for ~~Student Affairs~~ Enrollment & Student Development, *Ex officio*
 - ❖ Finance representative, *Ex officio*
 - ❖ Advancement representative, *Ex officio*
 - ❖ Human Resources representative, *Ex officio*
 - ❖ General Counsel representative, *Ex-Officio*
- ❖ General Counsel representative, *Ex-Officio (non-voting)*

- The chair of the Non-Academic Policy & Procedures Committee is appointed by the President or designee.
- The Non-Academic Policy & Procedures Committee will ensure proper distribution of proposed policies to university stakeholders for review and comment.

- *FPU-1.001P Policy Creation and Development Process – Non-Academic Policies*

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University Institutional Effectiveness Committee (IEC)

The University Institutional Effectiveness Committee is responsible for reviewing the effectiveness and soundness of the University's planning and assessment practices and processes. The IEC provides oversight and guidance with the development and implementation of the University's assessment framework and processes.

Committee Membership:

- ❖ Two (2) faculty representatives selected by Provost
- ❖ Two (2) faculty representatives selected by faculty governing body
- ❖ ~~Vice Provost, Assessment & Instruction Director, Institutional Effectiveness~~ (Chair), *Ex officio*
 - ❖ Director, Institutional Research, *Ex officio*
 - ❖ Two (2) Academic Affairs representatives, *Ex officio*
 - ❖ Staff representative (non-academic department), *Ex officio*
 - ❖ Finance representative, *Ex officio*

University Diversity Recruitment Committee

The purpose of the University Diversity Recruitment Committee is to develop recommendations for increasing the recruitment of African American and other underrepresented groups for faculty and staff positions at Florida Polytechnic. The Committee will also discuss strategies for retaining African American male students.

Committee Membership:

- ❖ Two (2) faculty representatives selected by faculty governing body
 - ❖ ~~Student representative selected by SGA~~
- ❖ Government Relations / External Affairs representative, *Ex officio*
 - ❖ Student ~~Affairs Development~~ representative, *Ex officio*
 - ❖ Institutional Research representative, *Ex officio*
 - ❖ Human Resources representative, *Ex officio*
 - ❖ Academic Support Services representative, *Ex officio*
 - ❖ Marketing & Communications representative, *Ex officio*
 - ❖ General Counsel representative, *Ex officio*

➤ *FPU-1.005 Non-Discrimination and Equal Opportunity*

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University Student Technology Fee Committee

The University Student Technology Fee Committee administers the annual distribution of Student Technology Fee revenues. This Committee will administer the budget, review recommendations, and create necessary policies and procedures in order to govern the fees that will be applied to information technology for the University.

Committee Membership:

- ❖ Director, Technology Services (Chair), *Ex officio*
- ❖ Director, Student Life, *Ex officio*
- ❖ Finance representative, *Ex officio*
- ❖ Two (2) ~~Academic Program Coordinators~~ Department Chairs (APCs) selected by the Provost
 - ❖ Faculty representative selected by the Provost
- ❖ Faculty representative selected by the faculty governing body
 - ❖ Three (3) student representatives selected by SGA

University Parking Appeals Committee

The University Parking Appeals Committee is responsible for coordinating the appointment of Appeal Hearing Officers to receive, evaluate, and resolve written appeals of citations for university-issued parking infractions and/or charges or procedures for towing, impounding, or immobilization of vehicles.

Committee Membership:

- ❖ Assistant Director, Treasury Management (Chair), *Ex officio*
- ❖ Business & Auxiliary Services representative, *Ex officio (non-voting)*
- ❖ Director, Facilities & Safety Services, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body
- ❖ Student representative selected by the student government association
 - ❖ University Bursar (Chair), *Ex officio*
 - ❖ Business & Auxiliary Services representative, *Ex officio (non-voting)*

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<ul style="list-style-type: none"> ❖ Director, Campus Development & Facilities, Ex officio ❖ Faculty representative selected by the faculty governing body ❖ Student representative selected by the student government association
➤ 6C13-1.003 Parking on University Property

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University Enrollment Management Committee (EMC)
<p><i>The University Enrollment Management Committee is responsible for monitoring the effective management of the university's enrollment (both undergraduate and graduate) including practices and procedures necessary to ensure student diversity and persistence to graduation in addition to forecasting future student enrollments. The EMC plans, develops, and implements programs and events in effort to maintain a positive experience for all students. The Committee will make recommendations for continuous improvement in the practices and procedures that affect student recruitment, enrollment, and persistence until graduation so that diversity and degree production goals will be attained.</i></p>
<p>Committee Membership:</p> <ul style="list-style-type: none"> ❖ Vice Provost, Enrollment & Student Development (Chair), <i>Ex Officio</i> ❖ Vice Provost, Student Affairs Assessment & Instruction, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Vice Provost, Academic Success Support Services, <i>Ex officio</i> ❖ Three (3) staff representatives selected by President or Provost ❖ Three (3) faculty representatives selected by faculty governing body
<ul style="list-style-type: none"> ➤ The committee may wish to ask non-members from the University community to attend specific meetings and address topics of interest. ➤ While it is perceived that most of the tasks that will be undertaken by the EMC will be discussed and handled by the committee as a whole, there may be occasions when sub groups may be formed to address specific tasks.

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APPENDIX A

University Admissions Appeals Committee

The University Admissions Appeals Committee is responsible for reviewing all admissions appeals.

Committee Membership:

- ❖ Vice Provost, Enrollment & Student Development (Chair), Ex officio
 - ❖ Admissions representative, Ex officio
- ❖ Student Development Affairs representative, Ex officio
 - ❖ University Registrar representative, Ex officio
 - ❖ Faculty representative selected by the Provost
- ❖ Faculty representative selected by the faculty governing body
 - ❖ General Counsel representative, Ex officio

- *FPU-2.001 Admission to the University and Appeal Process-General link*
- *FPU-2.008 Graduate Admissions link*

University-Edison-Review-Committee

The purpose of the University Edison Review Committee is to review Edison submissions from University faculty and staff and to make recommendations to the President as to which Edison ideas are potentially beneficial to University life, financially feasible, and ready to be implemented.

<p>Committee Membership:</p> <ul style="list-style-type: none">❖ Executive Assistant, President's Office (Chair), Ex officio❖ Administrative Assistant, President's Office, Ex officio❖ University Controller, Ex officio❖ Four (4) staff representatives selected by the President❖ One (1) faculty representative selected by the faculty governing body
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APPENDIX A

<p>University Financial Aid Committee</p>
<p><i>The purpose of the University Financial Aid Committee is to discuss, recommend, and create policies, procedures, and regulations that are necessary in servicing financial aid to all Florida Polytechnic students. The Financial Aid Committee is charged with reviewing student financial aid appeals and rendering final decisions. The committee also assists in developing and implementing various financial aid programs that assist Florida Polytechnic students with costs of attending the University.</i></p>
<p>Committee Membership:</p> <ul style="list-style-type: none">❖ Director, Financial Aid (Chair), Ex officio❖ Vice Provost, Enrollment <u>& Student Development</u>, Ex officio<ul style="list-style-type: none">❖ Two (2) Finance representatives, Ex officio❖ Admissions representative, Ex officio❖ Student Affairs Development representative, Ex officio❖ <u>Assistant Director, Treasury Management, Ex officio</u><ul style="list-style-type: none">❖ University Bursar, Ex officio❖ University Budget Officer, Ex officio❖ Faculty representative selected by the faculty governing body
<p>➤ The Financial Aid Policy Committee recommends university policy on matters relating to financial aid; recommends specific financial aid program objectives in support of the University's master plan; and facilitates the conduct of financial aid activities.</p>
<p>➤ FPU-7.002 Student Financial Aid link ➤ FPU-7.0021P Financial Aid Appeals link</p>

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APPENDIX A

University Continuity of Operations Planning Committee (COOP)

The University Continuity of Operations Planning Committee is responsible to plan for emergency activity associated with natural and man-made events which may interrupt normal operations of the campus. The COOP Committee will work in concert with the National Incident Management System procedures.

Committee Membership:

- ❖ Chief of Police (Chair), *Ex officio*
- ❖ Director, ~~Campus Development & Facilities~~ Facilities & Safety Services, *Ex officio*
 - ❖ Two (2) Technology Services representatives, *Ex officio*
 - ❖ FIPR representative, *Ex officio*
 - ❖ Lab Technician, *Ex officio*
- ❖ Executive Director, Auxiliary and Business Services, *Ex officio*
 - ❖ Human Resources representative
 - ❖ Director, Marketing & Communications, *Ex officio*
- ❖ ~~Construction & Campus Development~~ Facilities and Safety Services representative, *Ex officio*
 - ❖ General Counsel representative, *Ex officio*
- ❖ Vice Provost, ~~Student Affairs~~ Enrollment & Student Development, *Ex officio*
 - ❖ Faculty representative selected by the faculty governing body

APPENDIX A

University Property Surplus Committee

The purpose of the University Surplus Property Committee is to establish and maintain a uniform process that will aid in certifying property as surplus and determining the best method for disposing of surplus property.

Committee Membership:

- ❖ Procurement representative (Chair), *Ex officio*
- ❖ Technology Services representative, *Ex officio*
- ❖ Budget & Finance representative, *Ex officio*
- ❖ Two (2) ~~Construction & Campus Development~~ Facilities & Safety Services representatives, *Ex officio*
 - ❖ Human Resources representative, *Ex officio*
 - ❖ Admissions representative, *Ex officio*
 - ❖ University Lab Technician, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body

- FPU-8.0041P Surplus Property Policy
- FPU-8.0042P Disposition of Lost or Abandoned Personal Property

APPENDIX A

University Safety Committee

The purpose of the University Safety Committee is to conduct an ongoing systematic review of safety and security conditions throughout the University; to regularly review community safety/security concerns and evaluate accident and “near miss” incident reports to promote safety through a comprehensive safety education/training program for all employees, students and visitors to university facilities; to promote compliance with federal/state/local regulations and industry standards regarding health and safety; and to make monthly recommendations to the President’s Cabinet for the maintenance and improvement of a safe and healthy environment throughout the University and its affiliated properties.

Committee Membership:

- ❖ Director, Environmental Health & Safety (Chair), *Ex officio*
 - ❖ University Chief of Policy, *Ex officio*
- ❖ Representative from Academic Success Services, *Ex officio*

<ul style="list-style-type: none"> ❖ Executive Director, Auxiliary & Business Services, <i>Ex officio</i> ❖ University Lab Technician, <i>Ex officio</i> ❖ Construction & Campus Development<u>Facilities & Safety Services</u> representative, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Two (2) Technology Services representatives, <i>Ex officio</i> ❖ Marketing & Communications representative, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Human Resources representative, <i>Ex officio</i> ❖ Faculty Representative selected by the faculty governing body
<p>➤ <i>FPU-9.0042P Campus Environmental Health & Safety link</i></p>

APPENDIX A

University Tuition & Fee Appeals Committee	
<p><i>The purpose of the University Fee Appeals Committee is to review and determine to approve or reject appeals from students who wish to appeal their late registration fee, late payment fee, or repeat course surcharge.</i></p>	
<p>Committee Membership:</p> <ul style="list-style-type: none"> ❖ Assistant Director, Treasury Management (Chair), <i>Ex officio</i> ❖ University Bursar (Chair), <i>Ex officio</i> ❖ Assistant Director, Financial Aid, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ University Registrar, <i>Ex officio</i> ❖ Admissions representative, <i>Ex officio</i> ❖ Student Affairs Development representative, <i>Ex officio</i> ❖ Academic Success<u>Support</u> Services representative, <i>Ex officio</i> ❖ Faculty representative selected by the faculty governing body 	<p>Formatted: Font: Bell MT, 11 pt</p> <p>Formatted: Centered</p> <p>Formatted: Font: Bell MT</p>
<ul style="list-style-type: none"> ➤ <i>FPU-4.001 Tuition and Related Fees Schedule</i> ➤ <i>FPU-4.002 Waiver of Tuition and Fees</i> ➤ <i>FPU-4.003 Special Fees, Fines and Charges</i> ➤ <i>FPU-4.004 Procedure for Payment, Waiver, and Refund of Tuition, Fees, Fines, and Penalties</i> ➤ <i>FPU-4.005 Student Withdrawal from Courses due to Military Service</i> ➤ <i>FPU-4.006 Third Time Repeat Course Fee Exception</i> 	<p>Formatted: Font: Bell MT</p> <p>Formatted: Font: Bell MT</p>



University Employee Activities Committee

The purpose of the University Employee Activities Committee (EAC) is to coordinate and promote enjoyable and rewarding activities, programs, and services for Florida Polytechnic faculty, staff, and their families. Their mission is to facilitate employee interaction and enhance and sustain employee morale.

Committee Membership:

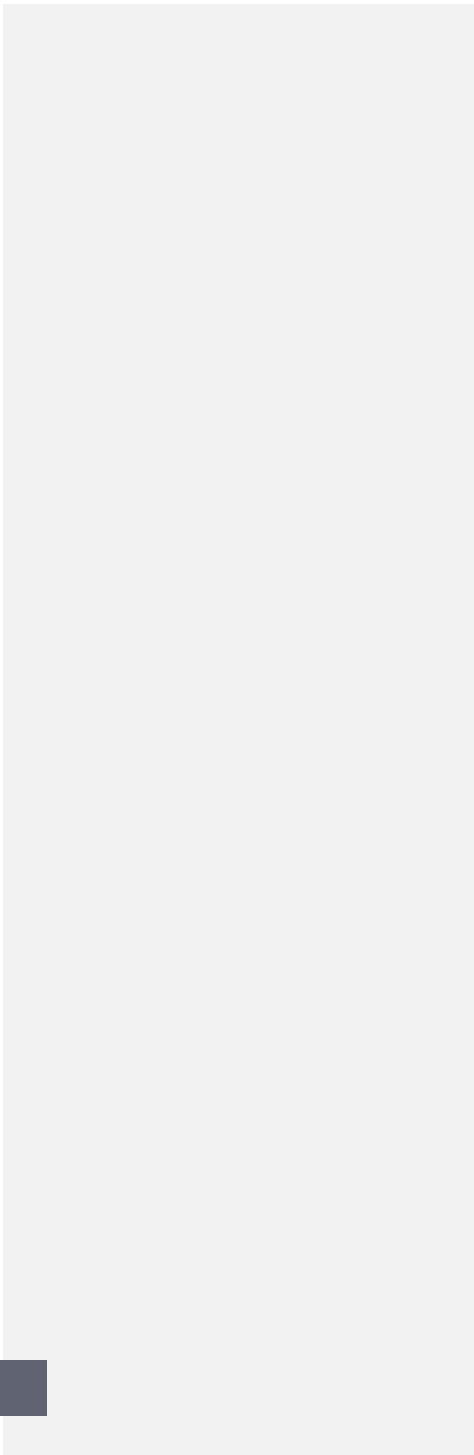
❖

Eleven (11) staff representatives selected by the President

❖

One (1) faculty representative selected by the faculty governing body

APPENDIX B



Florida Polytechnic University Faculty Assembly Constitution and Bylaws

Constitution

Article 1. Purpose

The purpose of the Florida Polytechnic University Faculty Assembly is to ensure effective shared governance between the university's administration and faculty in all matters related to instruction, curriculum and program development, faculty hiring, research, academic advising, and other areas related to the university's academic mission. The assembly provides a collegial forum for open communication among faculty and between faculty and administration and advises the administration in all academic matters. The assembly is committed to promoting academic freedom, academic rigor, constructive dialogue, and the professional development of the faculty. The assembly is also committed to furthering the university's mission to prepare 21st century learners in advanced fields of science, technology, engineering, and mathematics (STEM) to become innovative problem-solvers and high-tech professionals through interdisciplinary teaching, leading-edge research, and collaborative local, regional and global partnership.

Article 2. Membership

Voting members of the faculty include all full-time professors, instructors, and librarians. Non-voting members include part-time professors, adjunct instructors, visiting professors, administrators with faculty appointments, the university president, the provost, and the registrar. The faculty assembly may admit other categories of faculty as voting members via the ratification of bylaws.

Article 3. Officers

Section 1. Eligibility

To be eligible to serve as an officer in the faculty assembly, an individual must be a voting member of the assembly. See Article 2. An individual may not serve concurrently in more than one faculty assembly office.

Section 2. Terms of Service

The terms of service for all officers will extend from the day after the end of the spring semester's final exams to the last day of the spring semester's final exam two years after the beginning of their term.

Section 3. Offices

The membership shall, every two years, elect by secret ballot a chair-elect. Upon the completion of a two year term as chair-elect, the chair-elect will become the chair. Upon the completion of a two year term as chair, the chair will become the past-chair.

Section 4. Executive Council

The executive council will consist of all of the officers of the faculty assembly.

Section 5. Faculty Advisory Council

The officers of the faculty assembly will serve on the Faculty Advisory Council.

Article 4. The Faculty Advisory Council Department Representatives

Section 1. Definition

Each academic department will elect one representative to serve on the Faculty Advisory Council.

Section 2. Eligibility

To be eligible to serve as a Faculty Advisory Council department representative, an individual must be a voting member of the assembly. See Article 2. A Faculty Advisory Council Department representative may not concurrently serve as chair-elect, chair, or ex-chair. A Faculty Advisory Council Department representative may serve consecutive terms.

Section 3. Terms of Service

The terms of service for Faculty Advisory Council Department Representatives will extend from the day after the end of the spring semester's final exams to the last day of the spring semester's final exam one year after the beginning of their term.

Article 5. Referenda, Recall, and Override*Section 1. Referenda*

A referendum on any faculty governance issue may be initiated by a majority vote of the Faculty Advisory Council or by petition of 30% of the voting membership. A referendum must be held within thirty days. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership. The membership shall resolve the issue through a fair and secret vote.

Section 2. Recall of Faculty Assembly Officers

A recall of a Faculty Assembly officer may be initiated by a majority vote of the Faculty Advisory Council or by petition of 30% of the voting membership. A recall election must be held within thirty days of one of these two actions. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership. The membership shall resolve the issue through a fair and secret vote.

Section 3. Recall of Faculty Advisory Council Department Representatives

A recall of a Faculty Advisory Council department representative may be initiated by a majority vote of the Faculty Advisory Council or by petition of 40% of that department's membership. A recall election must be held within thirty days of one of these two actions. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership from that department. That department's membership shall resolve the issue through a fair and secret vote.

Section 4. Override by Faculty Assembly

The Faculty Assembly may, by majority vote at a Faculty Assembly meeting at which a quorum is present, override any decision made by the Faculty Advisory Council.

Article 6. Amendment to the Bylaws

The Faculty Advisory Council, 20% of the Faculty Assembly voting members (by petition), or a majority of the attending members at any Faculty Assembly meeting may propose amendments to the bylaws. The proposed changes shall then be sent to the membership thirty days before a vote. Ratification of the proposed change(s) requires approval of a majority of those voting.

Article 7. Amendment to the Constitution

The Faculty Advisory Council, 30% of the Faculty Assembly voting members (by petition), or a majority of the attending members at any Faculty Assembly meeting may propose amendments to the constitution. The proposed changes shall then be sent to the membership thirty days before a vote. Ratification of the proposed change(s) requires approval of two-thirds of those voting.

Article 8. Compliance

The provisions of this Constitution shall not be construed in any manner so as to conflict with federal laws, the laws of the State of Florida, the policies of the Board of Governors of the State University System of Florida system, or the policies of the Board of Trustees.

Florida Polytechnic University Faculty Assembly Bylaws**Article 1. Rules of Order**

Section 1. Roberts Rules of Order, Revised, shall govern in all cases not governed by the Constitution and Bylaws.

Section 2. Quorum for the Faculty Advisory Council shall be a majority of the Faculty Advisory Council membership. If quorum is not achieved, business shall be deferred to a subsequent Council meeting. At that subsequent Council meeting, actions may be approved by a majority of the members of the Council who are present.

Section 3. Quorum for the Faculty Assembly will be 30% or more of voting members of the Faculty Assembly.

Article 2. Committees

Section 1. Standing Committees shall be:

1. Undergraduate Curriculum Committee
2. Graduate Studies Committee
3. Committee on Committees
4. Faculty Handbook Committee
5. Academic Standards Committee
6. Faculty Professional Interests Committee

Section 2. The chair with the consent of the Faculty Advisory Council may create special committees when needed. The chair shall determine if the membership of these committees is appointed or elected.

Article 3. Membership of the Standing Committees

Section 1: Undergraduate Curriculum Committee.

The University Undergraduate Curriculum Committee is a university wide committee managed by the Faculty Assembly. The faculty membership shall consist of one representative from each academic department. The non-faculty members of the committee shall be as provided in the faculty handbook, as determined by consultation between the provost and the faculty.

Section 2: Graduate Studies Committee

The University Graduate Studies Committee is a university wide committee managed by the Faculty assembly. The faculty membership shall consist of one representative from each academic department directly associated with a graduate degree program or concentration thereof and one member representing the interests of other academic departments. The non-faculty members of the committee shall be as provided in the faculty handbook, as determined by consultation between the provost and the faculty.

Section 3: Committee on Committees

The membership of the Committee on Committees shall consist of three representatives serving on the Faculty Advisory Council, determined by the Faculty Advisory Council, and the Chair-Elect who will chair the committee.

Section 4: Faculty Handbook Revision Committee

The membership of the Faculty Handbook Revision Committee shall consist of the four members of the Faculty Advisory Council not serving on the Committee on Committees and the Past-Chair, who will chair the committee.

Section 5: Academic Standards Committee

The membership of the Academic Standards committee shall consist of one faculty member from each Academic Department Grouping defined for that year by the Committee on Committees.

Section 6: Faculty Professional Interests Committee

The membership of the Faculty Professional Interests committee shall consist of one faculty member from each Academic Department Grouping defined for that year by the Committee on Committees.

Article 4. Duties of the Standing Committees*Section 1: Undergraduate Curriculum Committee*

The Undergraduate Curriculum Committee oversees all matters relating to undergraduate curriculum and instruction. The committee initiates, evaluates, monitors and recommends policies and procedures related to curricula and teaching techniques to the faculty and administration. The committee provides a directional force for the planning, development, approval, and implementation of new academic curricula; and for the review, evaluation, approval, and disposition of existing curricula.

Section 2: Graduate Studies Committee

The purpose of the University Graduate Studies Committee is to review and make recommendations as to academic policies and standards related to graduate curriculum including approval of any new graduate programs or major changes to existing programs, graduate program monitoring and evaluation, graduate admissions requirements, graduate teaching and research assistantships, criteria for and appointment to the graduate faculty and other matters of importance pertaining to graduate education and programs.

Section 3: Committee on Committees

1. Contingent on the approval of a majority of the Faculty Advisory Council, group existing academic departments in to Academic Department Groups for purposes of membership of standing committees not otherwise determined. The purpose is to keep committee size and the number of committee assignments held by individual faculty members manageable while assuring even representation of the perspectives of different departments on committees of the faculty. The groupings should take into consideration department size and similarity of disciplines.
2. Subject to approval of the Faculty Advisory Council, determine which faculty seats on university committees that are to be filled by Faculty Assembly election and which by appointment.
3. Solicit nominations for open committee seats to be filled by election.
4. Subject to approval of the Faculty Advisory Council, determine the process by which elections for open committee seats will proceed each academic year. All such elections must be by secret ballot. This process must be proposed to the Faculty Advisory Council by February 1 to allow for consideration, possible revisions, and approval of a final process by the opening of nominations on March 15.
5. Solicit faculty preferences for appointed committee seats.
6. Subject to approval of the Faculty Advisory Council, make appointments to university committee seats with the goal of balancing individual committee workloads and faculty preferences.
7. Ensure each committee selects a chair in a timely way where applicable.
8. Ensure information flows appropriately between the committees and the Faculty Assembly, the Faculty Advisory Council, and the academic departments.

Section 4: Faculty Handbook Revision Committee

Each year the Faculty Handbook Revision Committee will conduct a comprehensive review of the Faculty Handbook, solicit input from the faculty as a whole on the handbook through the Faculty Advisory Council department representatives, and prepare a list of suggested revisions which, with the approval of a majority of the Faculty Advisory Council, will be forwarded as recommendations to the University Academic Policies and Procedures Committee. This activity shall be conducted in accord with the timeline for the revision established in the Faculty Handbook.

Section 5: Academic Standards Committee

The Academic Standards Committee advised the administration and the faculty in order to ensure educational goals, standards, assessment, and outcomes are consistent with Florida Polytechnic University's mission. The committee initiates, evaluates, and recommends policies and procedures related to academic standards, suspensions, dismissals, grade appeals, and the awarding of academic honors and prizes.

Section 6: Faculty Professional Interests Committee

The Faculty Professional Interests Committee advises the administration and the faculty on matters of academic freedom, standards of professional faculty conduct, professional development, resources needs, evaluation, promotion, hiring, and related matters insofar as these matters affect the professional interests of the faculty.

Article 5. Duties of Officers, the Executive Council, and the Faculty Advisory Council*Section 1. Chair*

The chair of the faculty assembly serves a two-year term. The chair may serve other terms but they may not be contiguous. In the event that the chair resigns or is unable to finish the term, the chair-elect becomes chair. The chair becomes the past-chair at the end of the chair's term. The chair has five primary areas of responsibility:

- 1) The chair convenes and presides over faculty assembly meetings.
- 2) The chair convenes and presides over faculty advisory council meetings.
- 3) The chair serves as a trustee on Florida Polytechnic University's Board of Trustees.
- 4) The chair communicates the concerns and goals of the faculty assembly to the administration in regular leadership meetings with the president and provost.
- 5) The chair calls and presides over meetings of the executive council.

Section 4. Chair-Elect

The chair-elect serves a two-year term. Any voting member of the faculty assembly may serve as the chair-elect except for the current chair. The chair-elect becomes the chair at the end of the chair-elect's term. The chair-elect convenes and presides over faculty assembly, faculty advisory, and executive council meetings when the chair is absent. The chair-elect attends regular leadership meetings with the president and the provost.

Section 5. Past-Chair

The past-chair serves a two year term. The past-chair advises the chair on all matters pertaining to the chair's duties. The past-chair may attend regular leadership meetings with the president and provost.

Section 6. The Executive Council

The purpose of the executive council is to provide a forum for the officers of the faculty assembly to discuss matters and make decisions that do not require the consent of the full faculty assembly or the Faculty Advisory Council. These matters and decisions include, but are not limited to, setting the agenda for Faculty Advisory Council and Faculty Assembly meetings, cancelling or calling such meetings, and setting items to discuss with the administration. The council will meet as frequently as the chair deems necessary.

Section 7. The Faculty Advisory Council

The purpose of meetings of the Faculty Advisory Council is to discuss and vote on issues related to shared governance; to discuss, consider, and vote on proposals made by the standing committees; and to address other relevant issues that impact the faculty.

Article 7. Meetings

Section 1. Faculty Assembly

At least one Faculty Assembly meeting must be held during both the fall and spring semesters. The exact date should be fixed by the Faculty Advisory Council. Special meetings shall be called by the President within two weeks upon petition of at least 20% of the Faculty Assembly's members.

Section 2. Faculty Advisory Council

The Faculty Advisory Council shall hold regular meetings during the fall and spring semesters of the academic year at a frequency deemed necessary to conduct council business, but at least once per month. Special meetings may be called by the Chair or by a majority of the Faculty Advisory Council.

Section 3. Announcement

The officers of the Faculty Assembly will publicize Faculty Assembly and Faculty Advisory Council meetings at least one week prior to the meeting.

Section 4. Open Meetings

All Faculty Assembly and Faculty Advisory Council meetings are open to interested members of Florida Polytechnic University's administration, staff, and students.

Article 8. Elections

Section 1. Regular Elections

- a. Elections for the chair, Faculty Advisory Council department representatives, and standing committee members to begin service during the summer preceding the next academic year must be held by the last day of classes but no earlier than April 1. The chair, in consultation with the executive council, will schedule the elections.
- b. The chair will solicit nominations for chair, Faculty Advisory Council department representatives, and committee members beginning on March 15. Nominations will continue until the day before the meeting at which voting will occur. Any member of the assembly may nominate. Self-nominations will be accepted.
- c. Voting for chair
 - i. Voting will take place in a Faculty Assembly meeting.
 - ii. Voting will be by secret ballot.
 - iii. Votes will be counted immediately. Vote counting will be undertaken by the members of the Executive Council with the assistance of any voting member the chair might wish to designate. Vote counting will take place in full view of the assembled faculty.
 - iv. To be elected chair-elect a candidate must receive a majority of the votes cast for the given position. If no candidate receives a majority in the first ballot, runoffs will be held immediately between the two candidates receiving the most votes. If a tie means that three or more candidates finish in the top two positions, all these candidates will be included in the runoff election. If a tie persists after three rounds of voting, the winner will be determined by coin toss.

- d. Voting for committee members
 - i. The process for voting for committee members will be determined by the Committee on Committees.
 - ii. All such elections must be by secret ballot.
- e. Voting for Faculty Advisory Council department representatives
 - i. Voting will take place in a department meeting convened either by the department chair or by the Faculty Advisory Council for the purpose of this vote.
 - ii. Voting will be by secret ballot.
 - iii. Votes will be counted immediately. Vote counting will be undertaken by at least two members of the department. Vote counting will take place in full view of department members. Any member of the department may inspect the ballots.
 - iv. To be elected a candidate must receive a majority of the votes cast. If no candidate receives a majority in the first ballot, runoffs will be held immediately between the two candidates receiving the most votes. If a tie means that three or more candidates finish in the top two positions, all these candidates will be included in the runoff election. If a tie persists after three rounds of voting, the winner will be determined by coin toss.

Section 2. Special Elections

- a. Chair-elect and Committee Seats

If an office or committee seat is left vacant, the chair will call a special election to fill the remainder of the vacant office or committee seat's term provided at least four months remain in the term. This special election will be held at the next regularly scheduled faculty assembly meeting, and nominations will be solicited beforehand. Nominations must be open for at least one week prior to the vote. If the period between the vacating of the office and the next regularly scheduled faculty assembly meeting is less than a week, the special election will be held at the second regularly scheduled faculty assembly meeting after the office is vacated. Voting during a special election should follow the rules laid out in Article 8, Section 1.
- b. Faculty Advisory Committee Department Representative

If a Faculty Advisory Committee department representative seat is left vacant, the chair will call a special election to fill the remainder of the vacant seat's term provided at least four months remain in the term. This special election will be held at a department meeting called by the chair or the chair of the Faculty Assembly. Nominations must be open for at least one week prior to the vote. Voting during a special election should follow the rules laid out in Article 8, Section 1.



FLORIDA POLYTECHNIC
UNIVERSITY

FACULTY HANDBOOK

2018-2019 Edition

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I. GENERAL INFORMATION

1.1 FOREWORD

The purpose of the Faculty Handbook is to provide information, as well as sources of information, which faculty find beneficial. The Handbook describes the University's history, vision and mission, and defines the university's principles of governance. In addition, the Handbook describes the role of faculty government and various sources of authority from which delegations may flow. Faculty responsibilities, academic operating policies, university-wide and employment policies and regulations, and other policies are addressed within the document. In addition to consulting this Handbook, every faculty member should familiarize him/herself with the University Academic Catalog and Student Handbook.

This Handbook provides general references and links throughout to the University's regulations, policies, and guidelines for your convenience. Where appropriate, this document links to original source material (e.g., law, rule, regulation, policy, etc.) to ensure accuracy. While language included in the Handbook is intended to be current and accurate, in all cases the most current University regulation, policy, or guideline as adopted by the Board of Trustees or University and available on the University's website shall govern.

This revised Faculty Handbook is the result of the work of many people, including those appointed by the Provost and serving on the Academic Policies & Procedures Committee (APPC). The Handbook is subject to revision, which will typically only occur once annually. Recommendations by faculty members for making this Handbook more useful may be submitted in writing to the Provost and/or the University Academic Policies & Procedures Committee. Corrections and additions to the Faculty Handbook may be made to the current version as needed by the Office of the General Counsel. Substantive changes to the Faculty Handbook typically will be developed by the APPC in conjunction with the Provost and in all cases require Board of Trustees approval.

A copy of the current Faculty Handbook is available on the University website.

This Faculty Handbook is not a contract, either expressed or implied, between any faculty member or employee and Florida Polytechnic University. The language used in the Florida Polytechnic University Faculty Handbook does not constitute legal terms and conditions of employment, and if any policy or practice described herein is inconsistent with federal law, state law or existing Collective Bargaining Agreement, such policy or practice is superseded by the applicable law or agreement.

1.2 HISTORY OF FLORIDA POLY

Florida Polytechnic University grew out of the University of South Florida. In 2008, the Florida Board of Governors authorized the conversion of the University of South Florida (USF) branch campus in Lakeland, Florida, to USF Polytechnic and it was given a separate operating budget within the University of South Florida system.

In 2011, USF Polytechnic submitted a request to the Board of Governors to separate from the University of South Florida and become an independent, stand-alone university within the State University System. At its November 2011 meeting, the Board of Governors voted to grant the request and make USF Polytechnic independent, contingent upon it meeting specified criteria. The approval from the Board of Governors was subject to a three-to-five year process that required USF Polytechnic to continue as part of the University of South Florida System until certain benchmarks, designated by the Board of Governors, were achieved.

However, Senate Bill 1994 was introduced in 2012 that immediately created Florida Polytechnic as an independent university; it was signed into law on April 20, 2012, creating the 12th university in the State University System of Florida.

The law established Florida Polytechnic University as the state's only polytechnic university and required that it develop new academic programs in the fields of science, technology, engineering and mathematics (STEM).

On April 24, 2014, Dr. Randy K. Avent was selected by the Florida Polytechnic University Board of Trustees to be Florida Polytechnic University's first President. The University President, as Chief Executive Officer, reports directly to the Board of Trustees. The Board of Trustees, which established the powers and duties of the president by Resolution 2014-01, approved his contract on May 15, 2014.

Florida Polytechnic University officially welcomed its inaugural class of 554 students on August 25, 2014 when classes began for the Fall 2014 semester. The students included 394 freshmen, 134 transfer students, and 26 graduate students. Ninety-seven percent of the students were Florida residents.

The University was granted initial accreditation by the Southern Association of Colleges and Schools Commission on Colleges on June 15, 2017 to award bachelor and master level degrees.

1.3 MISSION, VISION, & GUIDING PRINCIPLES

Mission Statement:

Serve students, the state and nation through excellence in education, discovery and application of technology.

Vision Statement:

Florida Poly will be a premier STEM university known for producing highly desirable graduates and new technology solutions.

Strategic Plan Goals

1. Build prominent programs in high-paying industries
2. Prepare students for a lifetime of success
3. Grow a high-technology economy around Florida Poly
4. Maximize value for the student

Guiding Principles/Core Values

- ❖ **CONTINUOUS INNOVATION:** Facilitate ongoing innovation and discovery, both in and out of the classroom, through a learning process that fully integrates science, technology, engineering, mathematics, and applied research in collaboration with industry.
- ❖ **EMPOWERMENT:** Embrace open-minded cultural difference and diversity to encourage, reward, and recognize faculty, staff, and students to explore, experiment, and solve problems for the benefit of their community and the world.
- ❖ **RESPONSIVENESS:** Constantly respond to new technological designs, scientific discoveries, and changing student needs by adopting technological trends and real-world innovations.
- ❖ **COLLABORATION:** Foster multidisciplinary learning opportunities by actively facilitating and engaging faculty, students, and industry partners in collaborative research and projects.
- ❖ **COURAGE:** Encourage and support a trailblazing spirit in students, faculty, and staff to experience a new and innovative academic endeavor by keeping an open mind to new ideas, solutions, and possibilities.

1.4 ACCREDITATION

Florida Polytechnic University was granted accreditation by the Southern Association of Colleges and Schools Commission on Colleges on June 15, 2017 to award bachelor and master level degrees. For information contact the Southern Association of Colleges and Schools Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4558.

1.5 UNIVERSITY ORG CHART

The Florida Polytechnic University organizational charts may be referenced on the university website.

II. PRINCIPLES FOR UNIVERSITY GOVERNANCE

The distinctive mission of technology-rich, industry-inspired education in advanced STEM fields through interdisciplinary learning, applied research, and interactive collaboration with high-tech industry partners of Florida Polytechnic University can best be achieved through cooperation, collaboration, and consultation among the membership of the entire university community. Achievement of that mission requires an understanding and commitment to the formal and informal collaborative decision processes by which the university conducts its work, maintains its standards, and responds to external feedback.

Central to effective and efficient university governance is open consultation, communication, and participation in decisions and decision-making bodies. An understanding of the responsibilities and limitations of authority by all members of the university community is also essential. Success of the university depends on collegial relationships and mutual respect among the faculty, staff, students, administrative officers, and representatives of external entities. All members of the university community must be accountable for their designated roles and responsibilities. Adhering to policies and procedures is essential to achieving the vital mission and goals of the university.

Florida Polytechnic recognizes the value of diverse opinions in decision making and pursues its mission in an atmosphere of shared governance and open communication. Faculty and staff are involved in policy formation; faculty hold the primary implementation role in the learning, research, and service missions of the university. Faculty and staff also recognize their shared accountability for the performance of the university in carrying out its mission. In the spirit of promoting effective governance of the university, the following principles relative to members of the university community are adopted.

SHARED GOVERNANCE PRINCIPLES

AUTHORITY

Ultimate authority for governance of the university is vested by the State of Florida in the Board of Governors, the Board of Trustees, and further delegated by the board to the president. The president exercises that authority through the vice presidents / provosts, directors, and other officials of the administration in consultation, as appropriate, with units of the university and with the faculty, staff, and students.

CONSULTATION

To facilitate open communication and effective university governance, the president and other administrative officers of the university will appropriately consult with the faculty, staff, students, and external constituents on issues affecting both the university and these stakeholders. Consultation is characterized by early discussions with the affected constituencies; jointly formulated procedures for consultation; reasonable deadlines within the constraints of the academic calendar; access to appropriate information; adequate feedback; and, timely communication of decisions to the affected constituencies.

REPRESENTATION

Effective university governance includes consultation with the faculty, staff, students, and external constituents on matters affecting the mission of the University. Appropriate representation of these groups is normally obtained through the university's committee structure. Elected and appointed representatives should, as far as possible, be selected from among the relevant constituent faculties responsible for a particular degree program or scholarly discipline. When committees are established by the president to address matters affecting the academic mission of the university, faculty membership may be composed of representatives selected by the president or provost and/or chosen by the faculty. Staff, students, and external constituencies should be represented on committees as appropriate.

FACULTY REPRESENTATION.

The Faculty Assembly is the representative body of the faculty and serves to provide appropriate representation on matters affecting the academic mission of the university. Consultation with the faculty is conducted through their designated representatives and/or the Faculty Assembly, as well as through normal administrative channels.

ROLES AND RESPONSIBILITIES

ADMINISTRATION.

The president has been delegated authority to administer the university, to lead the university so that its mission and goals are achieved, and to coordinate university relations with officers of the Board of Trustees. The president exercises primary authority through members of the administration in:

- Control and allocation of the budgeted appropriation and other funds;
- Establishment of the administrative organization;
- Administration of personnel appointments;
- Administration of university programs and policies;
- Administration of student affairs and services;
- Administration of campus operations and fiscal affairs;
- Administration of facility construction and maintenance programs;
- Administration of resource development and fund-raising; and
- Accomplishment of all other assignments to the university by the Board of Trustees.

The president is required by the Board of Trustees to articulate long range university goals and to see that high standards are maintained in all university programs. The president exerts a major influence on the specific direction of change, not only through basic judgments on budgets and staff, but also in the continuous evaluation of existing university programs and in the planning of overall program direction. Such evaluation and planning necessitates the participation of faculty, staff, students, representatives of external entities, and administrative groups and is accomplished through the offices of the vice presidents.

FACULTY.

The principal responsibilities of the faculty are teaching, research, and service. A significant part of these responsibilities rely upon the faculty's perspective and partaking in the generation and implementation of policies that impact the university's mission. On matters primarily affecting the academic mission of the university (curriculum, subject matter and methods of instruction, advising, degree requirements, faculty scholarship, faculty status, faculty service), the faculty appropriately play a significant role. This role includes improving the academic programs and culture, which is manifested within the principle responsibility of the faculty to work collaboratively with the administration to effectuate improvements in existing programs and develop new programs. The administration recognizes this responsibility and is committed to supporting the faculty in carrying out this important role.

UNIVERSITY COMMITTEES.

University committees play important roles in the governance of the university. These committees may be composed of faculty, staff, students, administrators, and representatives of external entities. The members are selected by the appropriate bodies or are appointed by the president or provost to advise the administration in the development of institutional policy, procedure, and practice. A listing of the university's standing committees with the membership of each is updated and distributed annually.

III. ADMINISTRATIVE ORGANIZATION

Florida Poly's leadership is comprised of accomplished academics and expert businessmen and women committed to strategically developing Florida Polytechnic as the world's best research and job generating university, and a standard for a thriving STEM-based economy. Florida Polytechnic's distinguished STEM leaders and leadership are responsible for carrying out the mission and goals of the University as envisioned by the Board of Trustees. As a new institution, Florida Poly's administrative model is designed to be leaner to discourage the bureaucracy that is traditionally associated with academia.

3.1 BOARD OF TRUSTEES

3.1.1 BOARD OF TRUSTEES: MEMBERS

Florida Polytechnic is led by a Board of Trustees appointed by the Governor and by the Board of Governors of the State University System of Florida. Article IX, Section 7 of the Florida Constitution establishes the composition of the Board. Six members are appointed by the Florida Governor, and five members are appointed by the Board of Governors – all of whom must be confirmed by the Florida Senate. Two members serve by virtue of their offices: the chair of the faculty senate, or equivalent; and, the president of the student government organization. The Florida Poly Board of Trustees was established in 2012 and has assembled a dynamic team to lead its university operations and implement its strategic vision of innovation and collaboration with industry.

3.1.2 BOARD OF TRUSTEES: ROLE & RESPONSIBILITIES

The Board of Trustees is established as a public body corporate, with all the powers of a body corporate as provided by the Florida Constitution, state law, and by delegation of the Board of Governors. The Board has all the powers and authority to effectively govern and set policy for Florida Polytechnic University and exercises those powers and duties prescribed by law. By regulation, the Board of Governors delegated to the state universities' boards of trustees the power to administer each constituent university. The Board is a corporation primarily acting as an instrumentality of the State of Florida pursuant to Section 768.28(2), Florida Statutes, for purposes of sovereign immunity.

The specific roles and responsibilities of the Board include:

- ❖ Serves as the governing body of the university and approves the university's mission.
- ❖ Selects the president of the university for ratification by the Board of Governors.
- ❖ Evaluates the president's performance annually and holds the president responsible for the university's operation and management, performance, fiscal accountability, and compliance with federal and state laws and rules and the Board of Governors' regulations.
- ❖ Responsible for ensuring the university has adequate financial resources to provide a sound educational program.
- ❖ Responsible for policy-making, planning, and appraisal actions.

In order to effectively fulfill its obligations under the law, the Board of Trustees may adopt resolutions, regulations, rules, and policies consistent with the university mission, the law, and Board of Governors regulations.

See [Board of Trustees: Trustee Biographies & Terms](#)

See [Board of Trustees: Committees](#)

See [University: Rules, Regulations & Policies](#)

See [Board of Trustees: Policies and Resolutions](#)

See [Florida Board of Governors: Regulation Development Procedure](#)

3.2 PRESIDENT

3.2.1 PRESIDENT: ROLE & RESPONSIBILITIES

According to the amended and restated Florida Polytechnic University Board of Trustees By-laws, the president serves as executive officer and secretary of the board. As executive officer, the president's responsibilities include the following:

- ❖ Serve as the principal liaison officer and official contact between the board and the faculty, staff, and students of the university.
- ❖ Promote, supports, and protects the interests of the university.
- ❖ Manage and directs university affairs.
- ❖ Serve as the university's key spokesperson.
- ❖ Execute documents on behalf of the university and the board.

The President of the University shall have the authority to appoint and to constitute councils, committees, advisory bodies, bureaus, or other units necessary and desirable for the effective administration and operation of the University.

See [Board of Trustees Resolution: Powers and Duties of the President](#)

3.2.2 PRESIDENT: ADMINISTRATIVE LEADERSHIP

Florida Polytechnic's distinguished STEM leaders and leadership are responsible for carrying out the mission and goals of the University as envisioned by the Board of Trustees. As a new institution, Florida Polytechnic's administrative model is designed to be lean to discourage the bureaucracy that is traditionally associated with academia. The administrative leadership team supports and advises the president on all matters.

3.3 PROVOST

3.3.1 PROVOST: ROLE & RESPONSIBILITIES

The provost reports to the president of the university and works in partnership with the vice presidents, vice provosts, faculty, staff, and others in directing and managing the academic affairs of the university. As the university's chief academic officer, the responsibilities of the provost include the following:

- Oversee all aspects of the university's growth, including attracting new students, recruiting faculty, and working with faculty to secure research grants.
- Play a leadership role in academic development, including creating quality curriculum and expanding the degrees offered by the institution.

3.4 DIVISION DIRECTORS & DEPARTMENT CHAIRS

Academic Affairs includes two Division Directors and seven Department Chairs. The Graduate Division Director is responsible for the planning and administration of the university's graduate programs, which are delivered through the academic departments.

The Division Director of Science, Arts, and Mathematics oversees Department Chairs for Natural Sciences; Mathematics; and the Arts-Humanities-Social Sciences departments.

Department Chairs for Mechanical Engineering, Electrical and Computer Engineering, Computer Science, and Data Science and Business Analytics oversee the faculty and delivery of programs in these departments.

The Division Directors and Department Chairs work closely with the Provost and other Academic Affairs staff to fulfill the University's academic mission.

Division Directors and Department Chairs are normally appointed for two or three-year terms. Responsibilities include, but are not limited to, leadership that supports the curriculum; student success; faculty development; and the University.

3.5 FACULTY GOVERNANCE

3.5.1 FACULTY GOVERNANCE: AUTHORITY

Faculty governance exists and derives its power from the authority delegated to it by the Board of Trustees. These powers and duties must be exercised in accordance with the regulations and policies of the university and the laws, regulations, and constitutions of the State of Florida and of the United States.

Decisions reached by the faculty governing body regarding its concerns are forwarded to the provost, who may act on them, as appropriate, provided the authority to do so has been delegated by the President. For areas of concern where the authority has not been delegated to the Provost, the Provost will transmit such to the president for consideration.

3.5.2 FACULTY GOVERNANCE: ROLE & RESPONSIBILITIES

As the most durable and stable of the constituencies immediately involved with the academic operation of the institution, the faculty has direct responsibility for academic quality and integrity. Collegial governance provides faculty with mechanisms and procedures, independent of the collective bargaining process, for the development and implementation of recommendations in areas of traditional faculty concern.

The duties of the Faculty as it relates to shared governance shall include, but not be limited to, formal recommendations on academic standards, curricula, courses of study, and the policies and regulations pertaining thereto, as well as the certification of candidates for degrees and recommendation to the Board of Trustees for award of degrees.

The designated faculty governance officers and executive committee are responsible for ensuring that the members of the campus faculty are kept informed of the activities of the faculty governing body and its committees.

3.6 UNIVERSITY-WIDE COMMITTEES

3.6.1 UNIVERSITY COMMITTEES: FUNCTION

Numerous University-wide committees serve to provide a formal venue for faculty “voice” in a manner that carefully provides consultation and advice to the President and to other officials on a broad spectrum of university activities. The president and the provost are supported by a number of committees, from which they receive recommendations on various aspects of the university’s business. In rare but necessary circumstances, the president may act without committee consultation.

The president reserves, or delegates, the authority to establish university committees as needed and, in doing so, will specify the charge of the committee and membership construct. University committees are expected to act collectively as recommending bodies and are defined in a way that ensures appropriate representation of the relevant university community interests. These committees function to implement shared governance by way of constituent representation and consultation.

University committees will meet throughout the year to consider a wide range of issues that may fall within the purview of one of the established committees. The president or provost will review university committees annually to evaluate the need, composition, procedures, and functions.

The 2017-18 University-Wide Committees are listed in **APPENDIX A** along with the charge and membership composition of each.

3.6.2 UNIVERSITY COMMITTEES: GENERAL RULES

COMMITTEE MEMBERSHIP. University committee members are appointed for a one-year term, renewable, which begins on the first day of fall semester classes, unless stated otherwise. Members appointed to a committee by university title (“ex-officio members”) serve on that committee by virtue of their position or special expertise, and are appointed for so long as they hold such title. For appointments managed by the Faculty Governing Body, elections and appointments to university committees shall take place according to the Constitution and Bylaws of the Governing Body. Unless stated to the contrary, ex-officio members of university committees have both voice and vote.

COMMITTEE MEETINGS. Each standing committee shall determine its own agenda. Members of the administration, faculty, staff and students may propose items to be placed on a relevant committee’s agenda by submitting such request to the committee chair. It is the responsibility of each committee chair to give advance notice of committee meetings and to attempt to resolve scheduling conflicts. The president or provost designates the chair of each committee, unless stated otherwise. In the event the selection of a committee chair falls on the committee itself, the committee members shall elect one of its voting members to serve as chair, which shall be the first matter of business the committee is to address at the first meeting of the committee without a designated chair. The chair of each committee is responsible for selecting or appointing an individual to note attendance and prepare the minutes for each meeting of the committee. Each committee may consult with students, staff, faculty, administrators and other resource persons as needed.

QUORUM. A quorum shall consist of a majority of the committee members eligible to vote.

PROCEDURE. Meetings of university committees shall be conducted according to the latest edition of *Robert’s Rules of Order*, unless otherwise specified.

VOTING. A majority vote of the voting members present at a committee meeting shall be required for any action taken at the meeting to constitute an official act of the committee.

VACANCIES. If for any reason a member of a university committee is unable to serve for a period of one or more semesters, a replacement shall be named for that period. The selection of the replacement shall take place in the same manner as the selection of the member unable to serve.

3.6.3 UNIVERSITY COMMITTEES: FACULTY REPRESENTATION

Faculty representatives on a committee are designated to be selected by the president or provost and/or nominated by the faculty. Where faculty representatives appointed to a university committee are designated to be elected or nominated by the faculty, such election and nominating procedures shall be in accordance with those specified in the valid constitution or bylaws of the Faculty Governing Body, or a senate.

3.7 UNIVERSITY INSTITUTES & CENTERS

Institutes and centers are university entities established to coordinate intra- and inter-institutional research, service, and/or educational/training activities that supplement and extend existing instruction, research, and service at the universities. In some cases, institutes and centers are established to provide the infrastructure needed to coordinate support activities across the State University System. A university institute or center is established normally within a single university and is funded by appropriations for that center and/or grants or donations. It may expend funds appropriated by the Legislature to that center. Additional institutions may participate, in some instances, with one university as the host.

Florida Board of Governors (BOG) Regulation 10.015 sets forth the criteria and guidelines for both State of Florida and state university Institutes and Centers. It requires each state university to develop and publish clearly defined guidelines consistent with BOG policies for establishing, operating, evaluating, reviewing and disbanding university institutes and centers. University centers or institutes are created under university-established procedures.

Institutes and Centers are classified as either (1) State of Florida institutes or centers or (2) university institutes or centers.

State of Florida Institutes and Centers

Characteristics of a State of Florida Institute or Center:

- Has a statewide mission.
- Includes two or more State universities.

- Must be approved by the Florida Board of Governors.
- Has a Memorandum of Understanding among the presidents or their designees from all participating universities and the Chancellor or designee that specifies the host institution and outlines operational procedures for the institute or center.
- Has an advisory board with membership as designated in the Memorandum of Understanding.
- Has a separate unit account in the host university's operating budget.
- May spend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May spend "other" funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

University Institutes and Centers

Characteristics of a University Institute or Center:

- Generally is established by a single university; in some instances, additional institutions may participate, in which case one institution is designated as the host university.
- May expend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May expend "other" funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

Annual Reporting Requirements for All Institutes and Centers

No later than September 30 of each year, each provost or his or her designee shall review the inventory of authorized institutes and centers to determine the accuracy of information that is maintained by the Division of Colleges and Universities. Additionally, a report of actual and estimated expenditure and position data, as well as evaluation/review information, shall be submitted for all institutes and centers that are approved for all or part of a given fiscal year (July 1-June 30):

- Total funds expended during the previous fiscal year (July 1-June 30) by funding source and by entity.
- Total positions during the previous fiscal year (July 1-June 30) by funding source and type of position.
- The date of the last evaluation/review.

See [FPU-5.002 University Institutes and Centers](#)

See [FPU-5.0021AP Establishment of University Institutes and Centers](#)

See [FPU-5.0022AP Operating and Reporting Requirements for University Institutes and Centers](#)

3.8 STUDENT GOVERNMENT ASSOCIATION

The Student Government Association is the official voice of the student body at Florida Polytechnic University. SGA is organized to actively represent student opinions; promote the social and academic advancement of students; foster communication, cooperation and understanding in all areas of the University; recommend and implement improvements necessary to the welfare of the students and the University; and encourage effective student participation.

Each student is a member of the association at large, which elects all officers. The officers comprise the cabinet, which oversees general policy-making. Through the work of various elected and appointed officers and committees, the SGA represents the views of the student body to the trustees, the administration, and various college committees. The SGA sponsors major social activities each year and advises the Student Affairs Office concerning the initiation of additional student social activities.

The Student Government is maintained by the students in accordance with law and regulation, including Florida Statutes Section 1004.26 (University student governments) and Board of Governors regulation 6.014 (Student Governments). The Student Government develops and adopts its constitution and bylaws, and any amendments thereto, in addition to its internal procedures, all of which must be approved by the University President.

Established in 2014, the Student Government Association (SGA) acts as the students' voice to the University's leadership, campus community, and public at large. In order to provide a positive college experience to all students at Florida Polytechnic University, the association approves funds, regulates campus-sponsored clubs, and advocates for students and their rights.

The Florida Polytechnic University student Constitution, enacted in February 2015, is a dynamic document that establishes the Student Government Association, its mission, powers, and duties. With the signing of the Constitution, the Florida Polytechnic SGA is formally operated by the students and for the students, a highly visible testament to democracy at the university level.

SGA Branches

The Florida Polytechnic University Student Government Association is composed of executive, judicial, and legislative branches.

The **Executive Branch** includes the Student Body President, Vice President, Treasurer, Secretary and an Executive Cabinet. The Cabinet includes various Executive Committees as appointed by the Student Body President. They are the students' voice and liaison between the students and the administration.

The **Legislative Branch** is comprised of senators represented by class years, degree programs, and on- and off-campus students. The Senate enacts statutes, allocates funds, and oversees campus organizations. The Legislative Branch will grow as the University grows.

The [Judicial Branch](#) is the Supreme Court, comprised of a Chief Justice and six Associate Justices. The seven Justices are appointed by the Student Body President and confirmed by the Senate. The Supreme Court hears student concerns, helps conduct all SGA elections, and holds trials for officials who breach the SGA Constitution.

See [FPU-3.002 Student Government and Student Organizations](#)

See [SGA Constitution](#)

See [SGA Organizations](#)

IV. THE FACULTY

4.1 FACULTY: ORGANIZATION

For the purpose of organization and execution of the educational and research programs of the university, the Florida Polytechnic faculty shall be organized into Divisions and Departments, each responsible for a particular degree program or scholarly discipline or group of related disciplines, as determined by the Provost.

4.2 FACULTY: RANK & QUALIFICATIONS

4.2.1 FACULTY: TITLES & DEFINITIONS

Faculty shall hold one of the five recognized academic ranks*:

Adjunct
Instructor
Assistant Professor
Associate Professor
Professor

The title of “[Adjunct](#)” shall be restricted to faculty who are employed by the university in a less than full time position to deliver specific courses or parts of the curriculum.

The prefix of “[Visiting](#)” to a faculty rank shall be restricted to true visitors, e.g., temporary appointments for a term of up to two (2) years and visits by distinguished faculty. Visiting appointments may be renewed.

The title of “**Research Scholar**” shall be restricted to faculty positions appointed* primarily for the conduct of research and funded predominantly through external sources, such as research grants.

**Note: Contracts delineate the nature of one’s appointment.*

4.2.2 FACULTY: MINIMUM QUALIFICATIONS BY RANK

The Instructor should display:	Demonstrated ability to perform his or her assigned duties. Education and/or experience in compliance with the University’s Policy on Faculty Credentials that is appropriate for his/her assigned duties.
The Assistant Professor should display:	Combination of appropriate scholarship and teaching ability commensurate with the university’s mission and relevant academic discipline(s). Assistant Professor will hold a terminal degree in his/her field, except for rare circumstances where such exception is justifiable and granted by the Provost.
The Associate Professor should display:	In addition to meeting minimum qualifications for <i>Assistant Professor</i> , a demonstrated record of scholarly activity, teaching, and, as appropriate, course and/or curriculum development commensurate with the university’s mission and relevant academic discipline(s); evidence of a positive and growing reputation in his/her chosen field; and promise of continued successful performance.
The Professor should display:	In addition to meeting minimum qualifications for both <i>Assistant Professor</i> and <i>Associate Professor</i> , scholarly contribution, such that the professor is recognized for sustained and significant contributions in the relevant discipline and/or interdisciplinary area by experts in the field.

Evaluation of teaching, research, and service performance and/or potential used for initial appointment or changes in rank must include careful faculty input at the department level, division level (where appropriate), and at the university-wide level. These recommendations will be forwarded to the administration for a final decision. The evaluation of teaching may include coursework and curriculum development; research may include traditional publication but may also include tech transfer and tech development activities, and/or leading edge practice in industrial or business organization; service

should consider effort in support of both the institution and their respective field. The final process by which individuals are evaluated for either initial rank or for a change in rank will be addressed and specified within the anticipated Collective Bargaining Agreement.

4.3 FACULTY: HIRING & APPOINTMENT**

Faculty Appointments.

Faculty members at Florida Polytechnic University are normally appointed in the academic ranks of instructor, assistant professor, associate professor, and full professor. In addition, there are also special faculty titles of equivalent academic ranks in the instructional or research units or in other University academic functions, such as librarians. Initial faculty appointments are typically at the rank of Assistant Professor, although appointments at higher ranks may be made where an individual's previous experience and qualifications warrant such an appointment.

Employment Periods.

The University operates on a modified semester system with Fall and Spring semesters during the academic year and a Summer Term. The dates of all employment periods are established by the University on an annual basis. Faculty are employed for contractual periods and not on an hourly basis. The employment period for instructional faculty is normally 39 weeks. During the employment period, all faculty are entitled to observe all official holidays designated by the University. No classes will be scheduled on holidays.

Summer Appointments.

The Provost normally has the responsibility for making the supplemental (summer) appointments for the faculty on academic-year appointments. The assignments, which must be in support of the institutional program, should be offered equitably and as appropriate to qualified employees not later than five weeks prior to the beginning of the appointment period, if practicable, in accordance with written criteria. The criteria shall be made available in each college.

In making such appointments, the Provost should consider such factors as academic needs of students and/or students' demands for programs; budgeted resources available to the department; programmatic needs of the department; and, the qualifications and performance of the faculty members available to teach the courses deemed necessary to be offered during the summer term.

Administrative Faculty Appointments.

Faculty members who are assigned to academic-administrative classifications serve at the pleasure of the appointing administrator and may be removed or assigned to other institutional duties at any time during the term of the appointment. The salary rate and contractual period may be adjusted to reflect the new responsibilities.

4.4 FACULTY GOVERNANCE

4.4.1 FACULTY GOVERNANCE: ROLE IN ACADEMIC GOVERNANCE

The concept of academic governance embraces the notion that governance and decision-making are shared tasks and responsibilities that can be allocated in various ways, but in legal terms, legal authority and responsibility for all decisions ultimately rests with the Board of Trustees. In the making of policy and addressing matters concerning the general academic welfare of the university, the faculty shall collaborate with the administration in developing recommendations to the provost, then president, for submission to the Board of Trustees, as appropriate pursuant to applicable processes.

It is a guiding principle of university shared governance that the faculty and the administration shall collaborate in major decisions affecting the academic welfare of the university. The nature of that collaboration, shared as appropriate with students and staff, varies according to the nature of the decisions in question. In every case, the faculty and the administration participate in the governance and operation of the university as provided by and in accordance with the regulations of the Board of Governors and the Board of Trustees, university policies and the laws and regulations of the State of Florida.

The general faculty shall function individually or collectively to recommend and refer to the faculty governing body those matters dealing with the academic community and welfare of the university which it would desire to have the faculty government consider. This does not deny the right of direct approach of any member of the general faculty to the president or the administration. The faculty government shall consider all matters referred to it, whether by the president, the provost, faculty governing body, or individual faculty members, and may make recommendations concerning such at its discretion.

4.4.2 FACULTY GOVERNANCE: FUNCTIONS

- The faculty governing body shall consider all matters brought before it by the president of the university and the provost, and it may consider any matter brought to its attention by administrative staff or an individual faculty member and make recommendations concerning them when appropriate.
- Through the faculty governing body, the University administration and faculty shall be collegially involved in the decision making process.
- The faculty governing body shall strive to keep individual faculty fully informed of any recommendations.
- Faculty governance shall be represented by its chair/president on the University Board of Trustees as a voting member and, therefore, serves as the spokesperson for the faculty when addressing the Board.

4.4.3 FACULTY GOVERNANCE: FORM OF RULE

The faculty governing body shall practice direct rule, unless the faculty collectively, by vote, decide on a form of representative rule. Should the faculty determine to adopt representative rule, faculty representatives shall be apportioned among the constituent academic departments on a basis defined in the Faculty Governing Body's Constitutions and/or Bylaws.

4.4.4 FACULTY GOVERNANCE: CONSTITUTION & BYLAWS

Faculty governance associations established to represent the university faculty are required to develop a constitution and/or bylaws and operate in accordance with such, which shall be consistent with this Faculty Handbook, university rules, regulations, and policies, and the laws, regulations and constitutions of the State of Florida and of the United States. Any part of the faculty governing body constitution that is in conflict with the laws of the State of Florida or BOT/UFF agreement shall be null and void.

Upon creation of or revision to the constitution or bylaws of any faculty governing body, the validity of such will be subject to submission to the Office of the General Counsel for review and approval in regards to: (i) appropriate scope and authority; and (ii) adherence to the process for making such revisions as specified in the valid governing document.

Any faculty governance association constitution or bylaws, or amendment to such, shall go into effect upon review and necessary approval, as described above, by the Office of the General Counsel. Sections of such that require enabling revisions to university regulations or policies shall go into effect only upon approval of such revisions by the appropriate designated authority.

Upon proper adoption, such governing documents must be published and available to university faculty.

4.5 FACULTY GOVERNING BODY

4.5.1 FACULTY GOVERNING BODY: PURPOSE

The Florida Polytechnic University Faculty Governing Body has stated its purpose as to ensure effective shared governance between the university's administration and faculty in all matters related to instruction, curriculum and program development, faculty hiring, research, academic advising, and other areas related to the university's academic mission. The Governing Body provides a collegial forum for open communication among faculty and between faculty and administration and advises the administration in academic matters. The Governing Body is committed to promoting academic freedom, academic rigor, constructive dialogue, and the professional development of the faculty. The Faculty Governing Body is also committed to furthering the university's mission.

4.5.2 FACULTY GOVERNING BODY: FUNCTIONS & RESPONSIBILITIES

The Faculty Governing Body, is responsible for the following functions:

- The Faculty Governing Body shall take the initiative for establishing, by mutual agreement with the President and the Provost, procedures governing the form and nature of consultation that is to occur between them, the nature of the issues in which consultation is to be required, and matters as to which notice of impending action shall be given.
- Both the Faculty Governing Body and its committees and the officers of the campus administration shall be responsible for communicating with each other through appropriate channels.
- The Faculty Governing Body shall be responsible for electing or appointing its faculty representatives to the university committees, for generating nominations for faculty representation on committees, and for ensuring that the activities of the assembly and its committees are coordinated with the activities of the university administration and its committees.

4.5.3 FACULTY GOVERNING BODY: ROLE OF COMMITTEES

Certain university committees designate faculty representatives to be selected by the Faculty Governing Body from among its members. Items deserving of faculty consideration may be brought to the attention of any university committee through the faculty representative assigned to serve on the relevant committee. Committee members representing the Faculty Governing Body are expected to vote on committee business in accordance with their concepts of the best interests of the university. Upon election or appointment to a committee through the Faculty Governing Body, selected faculty representatives shall be timely notified of meetings of committees and shall report to the full Assembly, or any other faculty governing body, the outcomes of meetings on a regular basis.

4.5.4 FACULTY GOVERNING BODY: CONSTITUTION

The Constitution as adopted by the Faculty Governing Body is attached as **APPENDIX B** and shall go into effect upon review and approval, as described above, by the Office of the General Counsel.

4.6 FACULTY: EVALUATION & PROMOTION**

Faculty members are considered for promotion to the next higher rank based upon their accomplishments relative to defined criteria. Promotion decisions represent an evaluation on the part of the University of the faculty member's total value to the University and potential for the future as evidenced by past performance. They require not only a consideration of the candidate's fulfillment of assigned responsibilities in research, teaching, and service, but also a broad-scale evaluation of the individual's ability to effectively fulfill the responsibilities of membership in the University community.

Evaluation of Faculty Performance

Annual Evaluation

Faculty members are evaluated at least once annually, on the basis of their performance of assigned duties and responsibilities and their contribution to the orderly and effective functioning of the academic unit and the total University. The annual appraisal period will be April 1 through March 31. The basic purpose of the annual evaluation is faculty improvement in the functions of teaching, research, service, and other duties that may be assigned. Individuals responsible for the supervision and evaluation of a faculty member should endeavor to assist the faculty member in correcting any performance deficiencies reflected in the annual evaluation. Faculty members are also encouraged to accept and seek such assistance, if needed. The evaluation should also address progress toward promotion.

The individual responsible for the evaluation should provide the faculty member with a written copy of the evaluation. The evaluator will offer the faculty member the opportunity to discuss the evaluation prior to its being finalized. The evaluation shall be signed and dated by the evaluator, and by the employee being evaluated; the employee may attach a concise comment to the evaluation. A copy of the evaluation shall be made available to the employee. The employee may request, in writing, a meeting with the administrator at the next higher level to discuss concerns regarding the evaluation which were not resolved in previous discussions with the evaluator.

Personnel decisions, including promotional decisions, shall take the annual evaluations into account, but personnel decisions need not be based solely on written employee performance evaluations.

Evaluation File

Faculty members shall refer to [6C13-6.008 Personnel Records and Limited-Access Records](#).

4.7 FACULTY: SABBATICALS**

Sabbaticals provide faculty with the opportunities for professional renewal, planned travel, study, formal education, research, faculty development, certification, or other experiences of professional value.

Florida Polytechnic allows full-time faculty who have completed at least six years of full-time service with Florida Polytechnic the opportunity to further enhance their professional development through sabbaticals. Sabbaticals are granted to increase an employee's value to the University through further professional development, not as a reward for service. Applications for sabbaticals are usually distributed by the Provost in early September for the subsequent academic year.

Professional Development Leave (PDL) is designed to provide eligible faculty with opportunities for professional renewal, educational travel, study, formal education, research, faculty development, certification, or other experiences of professional value. Florida Polytechnic allows full-time faculty who have completed three or more years of full-time service with Florida Polytechnic to be eligible for such

leave. The eligibility of faculty compensated pursuant to a contract or grant is subject to the terms of the contract or grant.

In each Division or appropriate Department, a sabbatical/PDL committee is elected by and from the full-time faculty. The committee then elects a chairperson. All sabbatical/PDL applications are ranked and reviewed by the committee which in turn submits a ranked list to the Provost/designee for final selection.

4.8 FACULTY: PROFESSIONAL DEVELOPMENT**

The University supports the development of its faculty as teachers, scholars, and practitioners by providing resources and programs. Such support includes but is not limited to internal research grants, financial support, orientation programs, instructional technology workshops, and speakers' series.

V. UNIVERSITY-WIDE REGULATIONS & POLICIES

5.1 ACADEMIC FREEDOM AND RESPONSIBILITY

Academic freedom, which encompasses freedom of thought and expression, is essential to the University and applies to teaching, research/creative activities, and professional, public, and University service. University regulation FPU-5.001 governs Academic Freedom and Responsibility at the University and embodies all applicable rights and responsibilities of faculty members.

The University administration and faculty are fully committed to maintaining, encouraging, and protecting academic freedom. In accordance, University policy FPU-5.0012AP Protection of Academic Freedom provides the necessary procedures, which work to supplement FPU-6.0011P Employee Grievance Procedure, to safeguard academic freedom and promote a prompt and equitable process to resolve alleged violations of such. This policy requires academic freedom violation allegations be referred to the Faculty Professional Interests Committee of the Faculty Governing Body, which works to serve in an advisory role by reviewing the details surrounding such an allegation and issuing a written opinion detailing the Committee's findings and recommendation for resolution.

See [FPU-5.001 Academic Freedom and Responsibility](#)

See [FPU-5.0012AP Protection of Academic Freedom](#)

See [FPU-6.0011P Employee Grievance Procedure](#)

5.2 DISCRIMINATION / SEXUAL HARASSMENT

Florida Polytechnic's Non-Discrimination regulation and Sexual Harassment policy affirms its commitment to ensure that each member of the University community shall be permitted to work, study, and interact with each other in a dignified learning environment free from any form of unlawful discrimination. University policy imposes mandatory reporting of violations for certain University employees, and all faculty members are expected to comply with such requirements.

Note: The definition of sexual harassment excludes the use of sexual material in a classroom setting for academic purposes. If you need advice about how to present sexual material in classrooms or how to respond to student concerns about such material, contact the Provost.

See [FPU-1.005P Sexual Harassment](#)

See [FPU-1.004 Non-Discrimination and Equal Opportunity](#)

See [FPU-1.005 Discrimination and Harassment Complaint Policy and Procedures](#)

5.2.1 TITLE IX COORDINATOR

Title IX of the Education Amendments of 1972 prohibits discrimination based on sex in any educational program or activity that receives financial support from the Federal government. Under Title IX, discrimination based on sex includes sexual harassment, sexual violence, and sexual assault. Title IX also prohibits retaliation against individuals who complain about or participate in an investigation regarding an alleged Title IX violation.

The Title IX Coordinator at Florida Polytechnic University accepts complaints of unlawful sexual discrimination affecting the University campus and its educational programs.

Title IX Coordinator

863-874-8484

titleixcoordinator@floridapoly.edu

Faculty members may direct any person that believes he or she has been subjected to sexual harassment; any person that believes he or she has been subjected to retaliation related to an allegation of sexual harassment; or any person that believes that others have been subjected to sexual harassment, in violation of the University's sexual harassment policy, that may wish to seek guidance, counseling, or file a complaint to:

[Title IX Discrimination Complaint Form](#)

[Title IX FAQ](#)

5.3 USE OF UNIVERSITY NAME AND LOGOS

Faculty are permitted to use their titles in public. However, faculty should take care to avoid the appearance that their public statements represent the official positions of Florida Polytechnic University. A faculty member may not use his or her title in a way that implies that the university is actually or implicitly espousing a particular view or endorsing any person, organization, product, service, or belief.

Similarly, faculty may not use the name, logos, facilities, or resources of the university for any personal, commercial, or similar purposes, or to participate in, or intervene in (including the publishing or distribution of statements) any political campaign on behalf of, or in opposition to, any candidate for political office.

General Guidelines for Use of University Trademarks (Name, logo, mascot)

- The University has an obligation to its students, faculty, staff, donors, and others to ensure that the use of its name falls, in general, within its primary mission of education and research. Some activities such as promotion of individual causes, political or otherwise, clearly fall outside its mission as a public institution.
- Use of University trademarks in connection with an activity, project, or product implies a close association with the University and is generally construed as sponsorship or endorsement. The University must ensure that this portrayal is accurate and that it has the requisite control of the activity, project, or product to ensure that the implied close association remains an accurate representation of the affiliation with the University.
- Use of University trademarks in situations having a potential to diminish or damage the University's image and reputation must be avoided.
- If there is a potential for financial, legal, or reputational risk to the University through the use of its trademarks, for example on a particular product, such use of University trademarks should be avoided.
- Florida Polytechnic University's trademarks may not be used in any way that discriminates or implies discrimination against any person or group based on race, color, national origin, marital status, sex, religion, age, disability, sexual orientation, gender identity, gender expression, or veteran status, or in any other way that would be in violation of Florida Polytechnic University's non-discrimination policies or practices.
- No one other than the Florida Polytechnic University may claim copyright or trademark rights to the University trademarks or seek to register any design that incorporates a University trademark.
- Use of any University trademarks shall follow these guidelines and additionally must adhere to the graphic standards outlined in the University's Graphic Standards & Brand Guide. In most

cases, such use will require review and approval by the Director of Marketing and Communications before printing or manufacturing is permitted.

- The University's trademarks may not be used to create new trademarks and may not be integrated or combined with existing trademarks. Issues regarding co-branding must follow the guidelines above and require review and approval by the Director of Marketing and Communications and the Office of the General Counsel.
- The University Seal is used to authenticate official University documents and to communicate the significance of special occasions and events. It is generally reserved for more formal uses such as graduation programs, transcripts, diplomas, and certificates.

Internal Approval Process

Any proposed use of the University name and/or trademarks that refers to the institution as a whole, or which requires approval in advance pursuant to university policy *FPU-1.0132P Use of University Name and Logo*, must be submitted to the Director of Marketing and Communications. The Director of Marketing and Communications will review all requests upon submission and will subsequently forward each request, with a recommendation to the Office of the General Counsel, who will make the final decision.

See [FPU-1.0132P Use of University Name and Logo](#)

See [University Graphic Standards & Brand Guide](#)

See [University Phoenix \(Mascot\) Brand Style Guide](#)

5.4 ANTI-HAZING

Florida Polytechnic University believes every student has the right to pursue their education in an enriching and fulfilling environment without fear of being degraded or exposed to harm. The entire University community is committed to raising awareness of the importance of hazing prevention so that all students are able to participate in campus life without concern of being hazed.

The University prohibits all forms of hazing as defined by the Student Code of Conduct, regardless of where or when the hazing occurs. In addition to facing disciplinary actions by the University, students engaging in hazing may face criminal charges under *Section 1006.63, Florida Statutes*.

See [FPU-3.0062P Anti-Hazing](#)

See [FPU-3.006 Student Code of Conduct](#)

See [Florida Statutes, Section 1006.63](#)

5.5 PUBLIC RECORDS & OPEN MEETING REQUIREMENTS

Florida's State Constitution, in conjunction with the provisions of **Chapter 119, Florida Statutes**, provides what is commonly known as "Florida's Public Records Law." The Public Records Law provides the structure for the State's open government by affording the public a constitutional right of access to state governmental meetings and records. Florida Polytechnic faculty members are employees of the state and therefore are expected and required to adhere to any applicable provisions of the public record requirements.

Under Florida law, most of the University's records are considered open and subject to public inspection upon request. However, there are specific exceptions that result in certain records, or portions thereof, to be held and maintained as confidential. To ensure compliance, all faculty members should refer public records requests to their supervisors or to the Office of the General Counsel.

Open Meetings

The Sunshine Law Open Meetings Act, under **Chapter 286 of the Florida Statutes**, provides an open government by establishing the public's basic right of access to all meetings held by any board or commission of a public entity, at which official business is to be conducted. The law requires meetings of boards or commissions to be open to the public, the public be provided with reasonable notice of such meetings, and that the minutes of such meetings are taken.

Public Records

Public records, as determined by the Florida Supreme Court, include all materials made or received by the University in connection with official business that are used to perpetuate, communicate, or formalize knowledge. In addition to traditional written documents, public records include, but are not limited to, tapes, photographs, films, sound recordings, data processing software. Public records are subject to public inspection, upon request, unless a statutory exemption applies. Requirements pertaining to public records, including a list of specific exceptions that prevent those records from the mandatory disclosure requirements, can be found in **Chapter 119 of the Florida Statutes**. All University employees should review the applicable statutory provisions in order for Florida Polytechnic to ensure compliance is continuously maintained.

The two primary exceptions that apply to the University and provide the records with confidentiality protections include: (1) faculty academic evaluative materials, and (2) student records protected under The Family Educational Rights and Privacy Act ("FERPA").

Record Retention Requirements

The University is subject to certain recordkeeping requirements and must maintain specific records in accordance with the applicable retention period required by federal and state laws and regulations.

Faculty members should be aware that the retention periods set forth in Records Schedule **GS1-SL State and Local Government Agencies** and **GS5 Public Universities and Colleges**, established by the Department of State, provides the minimum retention period required by law and that University rules, regulations, and policies may impose extended retention periods for certain records.

See [FPU-1.0123P Public Records Policy](#)

See [FPU-1.0122P Record Retention Policy](#)

5.6 INTELLECTUAL PROPERTY

Intellectual Property Policy

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.

Intellectual Property Ownership

As a public institution, Florida Polytechnic University is entrusted with the responsibility to see that intellectual property produced at the University is administered in the best interest of the local and national public. Pursuant to university policy, faculty own IP 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. On the other hand, ownership of all other IP immediately vests with the university upon creation, conception and/or reduction to practice in the following circumstances: (i) IP is created by university faculty pursuant to a sponsored project agreement to which the university is a party; (ii) IP is 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; and (iii) IP is developed by university faculty within his/her scope of employment and with significant use of university resources.

Faculty Outside Consulting Agreements

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 do not conflict with his/her commitment to the University. 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.

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.

According to the University's Intellectual Property Policy, the author or inventor and the university share in the proceeds of such intellectual property. Faculty members are not authorized to waive Florida Polytechnic's intellectual property rights.

It is the responsibility of Florida Polytechnic to manage the technology transfer process for all patent, trademark and copyright matters relating to the identification, protection and commercialization of Florida Polytechnic-owned Works and Inventions. Technology Transfer represents Florida Polytechnic in the implementation of the Florida Polytechnic Intellectual Property Policy with regard to governmental entities, industry and the public. Technology Transfer works to transfer all Florida Polytechnic technologies available for licensing to industry and start-up companies.

Process

All Florida Polytechnic supported works and inventions created by faculty members are required by state and federal laws to be promptly disclosed. The disclosure is made using the Florida Polytechnic Invention Disclosure form. When completed, the Disclosure should be submitted in accordance with the University's Intellectual Property Policy. These documents provide the University with the necessary information to evaluate feasibility, patentability, market demand, inventorship, and any obligations to research sponsors.

Disclosures must be kept confidential until a patent application or copyright has been filed or certain rights may be lost. Faculty should refrain from discussing the invention or sending it to others, including any sponsor, until necessary confidentiality agreements can be signed by all parties. This includes discussions, papers, posters, publications, and presentations. Research notebooks referencing

the work or invention described in the Disclosure should be witnessed and kept in a safe place. The location of the notebooks should be documented in the Disclosure.

The University will evaluate all 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 faculty creator(s). The University 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 IP.

See [FPU-1.0061P Intellectual Property](#)

5.7 DEMONSTRATIONS

Subject to the limitations of University regulation FPU-1.007, University grounds may be used for demonstrations and other exercises of free speech and assembly by the University and University-related organizations. However, demonstrations are not permitted inside University buildings. Such use must not disrupt or interfere with the normal operations of the University, any academic or other University activities, or the rights of other members of the University community. Persons engaging in protected speech on University grounds must follow all applicable University regulations and policies and shall be fully responsible for any violation of federal or state law or University regulation.

See [FPU-1.007 Demonstrations](#)

5.8 COMMERCIAL SOLICITATION ON CAMPUS

Persons or entities wishing to solicit business on University property, including advertising and other promotional marketing efforts, must first obtain written approval from the University CFO or designee. The University may assess fees and charges for commercial solicitation, advertising, or other promotional efforts conducted on University property.

Students and student groups wishing to conduct commercial solicitations on University property must first obtain written approval from the Vice Provost of Student Affairs to do so and must comply with the applicable University policies and procedures.

See [FPU-1.009 Commercial Solicitation on University Property](#)

5.9 EVENTS OF CAMPUS

University facilities are scheduled on a priority basis to serve university needs and, when available, to accommodate non-university groups and the general public. University regulation provides set priorities for facility use, scheduling procedures and fees.

Events that are hosted by non-university individuals or entities require written authorization from the Facilities Department prior to advertising or commencing an event on University property. The organizing individual or entity may request permission to hold an event on campus by completing and submitting a SAFE Form to the Facilities Department at least two (2) weeks prior to the date of the proposed event. Events involving fireworks or temporary structures require the SAFE Form be submitted at least thirty (30) days in advance.

See [FPU-1.003 Use of University Facilities and Property](#)

See [FPU-1.0038P Events on Campus by Non-University Groups](#)

See [FPU-1.009 Commercial Solicitation on University Property](#)

See [FPU-1.011 Political Activity on Campus](#)

5.10 ALCOHOL & SMOKING POLICIES

See [FPU-1.0035P Smoking and Tobacco Use on University Campus](#)

See [FPU 1.0003P Alcohol Policy](#)

5.11 ANIMALS ON CAMPUS

See [FPU-1.014 Animals on University Property](#)

5.12 CAMPUS LAKES

The University does not permit boating, swimming, diving, fishing, or wading in the campus waterways without prior written approval by the President or designee for safety reasons.

Alligators and Snakes

Alligators can be found in virtually every body of water on campus and are normally shy creatures. But when fed by people, they lose that fear and associate people with food. An alligator that has lost the fear of man can be extremely dangerous and can approach you looking for food. There are numerous cases in Florida where alligators have attacked people or pets because they have lost the fear of man.

Be aware of the possibility of alligator attacks when in or near fresh or brackish water bodies. Attacks may occur when people do not pay close enough attention to their surroundings when working or recreating near water.

- Do not swim in any of the ponds or lakes on or near the campus as the waters might be inhabited by alligators.
- Alligators are most active between dusk and dawn.
- Leave alligators alone: State law prohibits killing, harassing or possessing alligators.
- Never feed or entice alligators: it is dangerous and illegal. When fed, alligators overcome their natural wariness and learn to associate people with food.

Report nuisance alligators to Florida Fish and Wildlife Conservation Commission (FFWCC) by calling 1-866-FWC-GATOR. 866-392-4286. for more about alligators click here:

http://myfwc.com/media/152524/Alligator_Brochure.pdf

Of the many species of native snakes in Florida, not all are venomous. Still, we strongly suggest that you give all snakes plenty of room.

See [FPU-1.0031P Campus Water Bodies](#)

5.13 USE OF UNIVERSITY INFORMATION TECHNOLOGY RESOURCES

The use of University IT resources is a privilege and imposes certain responsibilities and obligations on Users whose use of University IT Resources is subject to state and federal law, as well as University regulations and policies (collectively referred to as “rules”). These rules apply when the User is accessing the Internet using University IT Resources and when using University mobile devices inside or outside the University premises.

See [FPU-11.0018P Appropriate Use of IT Resources](#)

See [FPU-11.00111P Data Security Plan](#)

See [FPU-11.0011P Mandatory Information Security Training-Employees](#)

See [FPU-11.00115P Virus and Spyware Protection on Computing Devices](#)

See [FPU-11.0017P Electronic Communications and Data Transmission](#)

See [FPU-11.0014P Use of IT Resources when Traveling Abroad](#)

VI. EMPLOYMENT REGULATIONS & POLICIES

6.1 PROFESSIONAL ETHICS & UNIVERSITY COMMUNITY

The University acknowledges a concern for values and ethics that are important to the educational experience and process. Faculty members are expected to show an awareness that membership in the academic profession carries with it special responsibilities. The following responsibilities of faculty members are taken from the *American Association of University Professors (AAUP)* Statement on Professional Ethics, with slight modifications.

The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities of the profession. The professor's primary responsibility to his or her subject is to seek and to state the truth as he or she sees it. To this end, the professor devotes energies to developing and improving scholarly competence. The professor accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. The professor must never seriously hamper or compromise freedom of inquiry.

As an instructor, the professor encourages the free pursuit of learning in students. The professor holds before him/her the best scholarly standards of his or her discipline. The professor demonstrates respect for the student as an individual and adheres to the proper role of intellectual guide and counselor. The professor makes every reasonable effort to foster honest academic conduct and to assure that the evaluation of students reflects their true merit. The professor respects the confidential nature of the relationship between professor and student. The professor avoids any exploitation of students for private advantage and acknowledges significant assistance from them. The professor protects academic freedom.

As a colleague, the professor has obligations that derive from common membership in the community of scholars. The professor respects and defends the free inquiry of associates. During the exchange of criticism and ideas, the professor must show due respect for others' opinions. The professor acknowledges academic debts and strives to be objective in the professional judgment of colleagues. The professor accepts his or her share of faculty responsibilities for the governance of the institution.

As a member of an institution, the professor seeks above all to be an effective teacher and scholar. Although the professor observes the stated regulations of the institution,

provided they do not contravene academic freedom, the professor maintains the right to criticize and seek revision. The professor determines the amount and character of his or her work performed outside the institution (the amount of work is governed by the University policy), with due regard to his or her paramount institutional responsibilities. When considering the interruption or termination of employment, the professor recognizes the effect of this decision upon the program of the institution and gives due notice of his or her intentions.

As a member of the community, the professor has the rights and obligations of any citizen. The professor measures the urgency of these obligations in light of responsibilities to his or her subject, to students, to the profession, and to the institution. The professor, when speaking or acting as a private person, should avoid creating the impression that he or she speaks or acts for the college or University. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

6.2 EMPLOYEE CODE OF CONDUCT AND ETHICS

The Florida Polytechnic University's Board of Trustees and the University's administration value high ethical standards. Thus, it is expected that all of the University's businesses, operations, and interactions with those within and outside the University community will be executed in a manner exhibiting the highest degree of ethical standards and conduct. To provide the University faculty, staff, and representatives guidance and notice of their obligations, this Code of Conduct and Ethics describes general expectations for achieving and maintaining an organizational culture that affirms the University's responsibility to protect its resources, its employees, its students, and its reputation.

The University, through its personnel, is entrusted by the public with financial resources and social responsibilities. All University personnel play a key role in assuring that high standards of ethical practice are utilized regarding the custody and use of these resources. To accomplish this, it is expected that University personnel observe and be faithful to the values embodied in this Code of Conduct and Ethics so that all in the University community will enjoy a professional and supportive work environment.

This Code is not intended to stand alone. Rather, it complements and serves as a link with state and federal laws and other rules and regulations that govern the University's operations and its personnel's ethical conduct. Further, this Code is described in a general manner and is not intended to address every circumstance of expected ethical behavior. As such, any member of the University community who may be confronted with an ethical dilemma should first contact his or her immediate supervisor or others in their supervisory chain to seek guidance in addressing issues that are not directly covered by this Code.

All University personnel are required to observe and comply with all state and federal laws applicable to the University. Any questions regarding the application of law to situations, or the compliance requirements of the law, should be referred by University personnel to their immediate supervisor or

any other individual in his or her supervisory chain. Should anyone in the supervisory chain require assistance in interpreting the legal requirements of compliance efforts, they may contact the Office of the General Counsel.

See [FPU-6.002 Personnel Code of Conduct and Ethics](#)

6.2.1 DISCRIMINATION, HARASSMENT AND MISTREATMENT

The University is committed to providing and maintaining an environment that is free of discrimination, harassment, or mistreatment based on one's membership in a protected class. The University does not tolerate any form of prohibited discriminatory or harassing behavior directed toward another member of the University community.

See [FPU-1.004 Non-Discrimination and Equal Opportunity](#)

See [FPU-1.005 Discrimination and Harassment Complaint Policy and Procedures](#)

See [FPU-1.005P Sexual Harassment](#)

6.2.2 USE OF UNIVERSITY RESOURCES

The University's resources and facilities are for official and authorized use only and in furtherance of the University's mission and organizational culture. Thus, University personnel should not misuse the University's resources and/or facilities and should not permit others to inappropriately use these resources and/or facilities. The University understands the occasional use of certain resources (e.g. computer and telephone) for personal reasons; however, such personal use by University personnel should not result in expense to the University or interfere with the performance of required duties or the University's mission. Moreover, it is expected that University personnel will not use any of the University's resources and facilities for any illegal or unauthorized commercial activities, or in any manner which is inconsistent with the University's mission. University personnel shall not allow or assist others in illegal or unauthorized commercial use of these resources.

See [FPU-1.0132P Use of University Name and Logo](#)

See [FPU-1.009 Commercial Solicitation on University Property](#)

See [FPU-1.003 Use of University Facilities and Property](#)

See [FPU-1.011 Political Activity on Campus](#)

See [FPU-1.0039P Use of University Vehicles and Other Vehicles for University Business](#)

6.2.3 OUTSIDE EMPLOYMENT & ACTIVITIES

All University employees have certain ethical and professional responsibilities as public employees, which include the requirements of the *Code of Ethics for Public Officers and Employees*, located in Chapter 112, Part III, Florida Statutes. Full-time personnel who wish to engage in outside employment or activities must report to their supervisor, in writing, the details of such proposed employment or outside activity and must obtain written approval prior to engaging in the employment/activity.

See [FPU-6.008 Outside Employment / Outside Activity](#)

See [Florida Board of Governors Regulation 1.006](#)

See [Florida Statutes, Chapter 112, Part III](#)

6.2.4 PROTECTION OF CONFIDENTIAL INFORMATION

Florida Polytechnic University is subject to Florida's "Government-in-the-Sunshine" law meaning that most University-related documents, in any form including e-mail, are subject to request and inspection by the public. However, certain personal and official information regarding students, faculty, staff and donors are confidential and cannot be disclosed to others pursuant to federal and/or state laws, including but not limited to the Family Educational Rights and Privacy Act (FERPA), the Americans with Disabilities Act (ADA) and state law regarding limited access to faculty evaluative information. As such, the University expects confidential information about its students, faculty, staff, and donors to be protected in accordance with the provisions of these and other pertinent laws. Any questions regarding what constitutes "confidential" information and laws applicable to specific situations should be referred by University personnel to their immediate supervisor or any other individual in his or her supervisory chain. Similarly, should anyone in the supervisory chain require assistance regarding "confidential" information, questions should be directed to the Office of the General Counsel.

Student Information. The Federal Family Educational Rights and Privacy Act (FERPA), commonly known as the Buckley Amendment, along with its State counterpart located in Section 1002.22 of the Florida Statutes, protect the privacy of student records and allow individual students access to their education records. The only information within a student's record that may be subject to disclosure, without the student's written permission, is information deemed by the University to be public directory information. However, a student may submit a written request to the University to keep his or her directory information confidential if the student does not want such information to be disclosed.

University regulation requires faculty members to maintain and protect the privacy and confidentiality of student education records. If an individual, including a parent, guardian, spouse or other interested party, inquires about academic information or any other matter regarding a student, the faculty member should not divulge information as it may be privileged. In these circumstances, the faculty member shall take the following action:

(1) Refer the party to the Provost/designee for a determination as to whether the student has waived their privilege;

(2) Advise the individual that under the Family Educational Rights and Privacy Act, a federal law covering Florida Polytechnic University, the requested information cannot be divulged absent a waiver or authorization from the student.

See [FPU-3.001 Confidentiality of Student Records and Applicant Records](#)

See [6C13-6.008 Personnel and Limited Access Records](#)

See [Florida Statutes, Section 1002.22](#)

See [FERPA](#)

6.2.5 USING ORGANIZATIONAL STATUS TO INFLUENCE BUSINESS DECISIONS

The university expects that its personnel who hold purchasing or other decision-making positions will not attempt to use their University status to influence business transactions which may result in their experiencing any personal, financial, or material gain on behalf of themselves or others.

See [FPU-8.001 Purchasing](#)

6.2.6 NEPOTISM / REPORTING STRUCTURE

University personnel should avoid situations where they may influence the decision to hire a family member at the University. A conflict of interest would exist, for example, if personnel serve on a selection committee or in a decision-making chain where a family member has applied for employment. In such a scenario, University personnel should disclose their familial status to the chair of the selection committee or the Director of Human Resources prior to the candidate's interview. Further, employees are not permitted to supervise family members as a conflict of interest would exist if a supervisor had to conduct a performance appraisal on a family member.

See [FPU-6.009 Employment of Relatives](#)

6.2.7 PURCHASE OF PROPERTY FROM BOARD OF TRUSTEES

No University personnel should enter into a personal agreement or a contract to purchase goods or services, except those available to the general public, from a member of the University's Board of Trustees or the Trustee's firm without first discussing the transaction with the University's Office of the General Counsel. Transactions of this type may have the appearance of impropriety and result in a conflict of interest that at the very least may reflect poorly on the individual, the Trustee, and/or the University.

6.2.8 GIFTS AND HONORARIA

In accordance with Florida law, certain University personnel are prohibited from giving, soliciting, or accepting certain gifts from vendors doing business with the University and must comply with the reporting requirements of the statute.

6.2.9 USE OF UNIVERSITY INTELLECTUAL PROPERTY, COPYRIGHTS, PATENTS AND TRADEMARKS

The University observes all intellectual property, patent, and copyright laws and expects all University personnel to comply with the laws regarding the use of such property. For example, the University's trademark, seal, and letterhead must only be used in relation to University-related activities and University business matters. Any other use of the University's intellectual property is strictly prohibited. Should University personnel have any questions regarding whether their intended use of the University's intellectual property may be in contradiction to "University-related activities and University business matters" the individual should consult their immediate supervisor or any other individual in his or her supervisory chain. Should anyone in the supervisory chain require assistance in interpreting whether the intended use of patents, copyrights, or trademarks falls within accepted University activities or business matters, the supervisor should contact the Office of the General Counsel to seek guidance regarding any question that they may have regarding the intended use of the intellectual property.

See [FPU-1.0132P Use of University Name and Logo](#)

See [FPU-1.0061P Intellectual Property](#)

6.2.10 PROFESSIONAL ETHICS

All University personnel who are members of professional associations external to the University are expected to abide by their association's code of ethics and other membership guidelines. If University personnel are found to have violated an external association's code of ethics or membership guidelines and such violation may negatively impact the University or the individual's employment at the University, such personnel must report the alleged violation to their supervisor, or other in his or her

supervisory chain so that the impact of the alleged violation may be evaluated by the appropriate University representatives.

6.3 FACULTY CREDENTIALING

See [FPU-5.0002AP Faculty Credentialing Policy](#)

6.4 FACULTY ASSIGNMENT OF RESPONSIBILITIES

The assignment of responsibilities to faculty members is one of the mechanisms by which the University establishes its priorities, carries out its mission, and creates opportunities to increase the quality and integrity of its academic programs. The University approaches faculty assignments in the spirit of equity and fairness. Teaching, research, and service are integral parts of a faculty member's assignment. Ideally, interaction between teaching, research, and service will occur and each will enhance and complement the other.

The University recognizes that there are legitimate differences in faculty development needs within the academic community, in interests and areas of expertise among faculty members, in conventions among academic disciplines, and in academic program needs. A prescriptive, rigid and uniform formula that inflexibly dictates annual workloads for individual faculty is not conducive to responding to these differences. This policy is intended to provide assignment flexibility, allowing for shifts in the emphasis placed on teaching, research, and service throughout a faculty member's career.

Faculty members receive their assignments of duties and responsibilities, in writing, from their Provost/designee at the beginning of each year of employment. Assignments generally include instruction, research, and service activities.

All faculty members, regardless of status, will have the same general responsibilities and expectations. However, the responsibilities and expectations of part-time faculty shall be proportionate to the number of hours in pay status when compared to a full-time faculty member.

See [FPU-6.01222AP Faculty Assignment of Responsibilities](#)

6.4.1 FLORIDA'S 12-HOUR LAW

In accordance with **Section 1012.945, Florida Statutes**, full-time teaching faculty members who are paid wholly by state funds shall teach a minimum of twelve (12) classroom contact hours per week. A faculty member may be assigned, by an appropriate administrator, other responsibilities and duties in proportion to twelve (12) classroom contact hours per week. Classroom contact hour means a regularly scheduled one-hour period of classroom activity in a course of instruction which has been approved by the University.

Faculty members that are paid partly from state funds and partly from other funds or appropriations shall teach a minimum number of classroom contact hours in such proportion to twelve (12) classroom contact hours per week as his or her salary is paid from state funds to total salary.

For this provision, “full-time teaching faculty member” shall mean all faculty personnel budgeted in the instruction and research portion of the budget, exclusive of those full-time faculty positions assigned to research, public service, administrative duties, and academic advising. State funds shall be interpreted to mean those funds appropriated annually in the General Appropriations Act.

See [Section 1012.945, Florida Statutes](#)

6.4.2 UNIVERSITY FARE FORM

The *Florida Polytechnic University Faculty Assignment of Responsibilities and Effort Report* (FARE Form) was developed in order to comply with the Standard Practice for the Instructional and Research Data File and 12 Hour Law. The FARE Form is the University's official record of a faculty member's activities for each term (form maintained by the Office of Academic Affairs).

As the official record, the University uses these reports in a number of different ways. The University submits this data to the State as documentation of faculty productivity in the areas of teaching, research, and service. Additionally, the FARE Form also serves as record of faculty effort devoted to externally funded contracts and grants. Each FARE Form must be signed by the faculty member and the Provost or designee and shall be maintained in the Office of Academic Affairs in the faculty members' official personnel files.

FARE Forms shall be completed and submitted to Academic Affairs no later than two (2) weeks after the start of each semester. In addition, each FARE Form shall be updated and certified by the faculty member at the end of each academic term to include the individual faculty member's actual activities for the term.

See [FARE Form](#)

See [Chancellor's Memo - Standard Practice for the Instructional and Research Data File](#)

6.5 EMPLOYEE DISABILITY ACCOMMODATIONS

6.5.1 REASONABLE ACCOMMODATIONS

Upon request, the University provides reasonable accommodations to persons with disabilities. Under the employment provisions (Title I) of the Americans with Disabilities Act or ADA (PL 101-336), employers are required to provide “reasonable accommodation” as a means of overcoming unnecessary barriers that prevent or restrict employment opportunities for otherwise qualified individuals with disabilities.

The ADA defines a qualified individual with a disability as a person who “satisfies the requisite skill, experience, education, and other job-related requirements of the employment position such individual holds or desires and who, with or without reasonable accommodation, can perform the essential functions of such position.” The term “reasonable accommodation” means a modification or adjustment to the job, the work environment, or the way things usually are done that enables a qualified individual with a disability to enjoy an equal employment opportunity. Essential functions are, by definition, those that the individual who holds the job would have to perform, with or without reasonable accommodation, in order to be considered qualified for the position.

It is the intent of Florida Polytechnic to extend reasonable accommodation to the known limitations of qualified persons with disabilities who are employees or applicants for employment, in order that these individuals may perform the essential functions of a position and/or participate in the employment application process. In general, it is the responsibility of the applicant or employee with a disability to inform the University that an accommodation is needed in order for him or her to participate in the application process, to perform the essential job functions, or to receive benefits and privileges of employment.

All requests for accommodations will be evaluated on an individual basis to determine the appropriateness of the request. Moreover, employment opportunities will not be denied because of the need to make reasonable accommodations to an individual’s disability. To request a reasonable accommodation, contact Human Resources if you are an applicant, or your immediate supervisor if you are an employee, and make your request known.

6.5.2 NOTIFICATION OF SPECIAL NEEDS FOR AN EMERGENCY SITUATION

Individuals are encouraged to report any special needs to their supervisor and the Human Resources Department to ensure that the required needs are satisfied in an emergency situation. The employee should make arrangements with his or her department if the employee will need assistance in exiting a building during an emergency.

6.6 GENERAL EMPLOYMENT INFORMATION

6.6.1 COMPENSATION

Paydays. University employees are paid on a semi-monthly pay cycle. Pay dates fall on the 15th and last day of the month. If either the 15th or the last date of day of the month falls on a weekend day, then the preceding Friday will be the pay date.

Paychecks. The University strongly encourages direct deposit. Your pay will be deposited directly into the account you create in Workday during your onboarding process. No paper copies of pay slips will be provided, as they can be printed directly from Workday.

Federal income and Social Security taxes are deducted each pay period. You may request other deductions from your pay such as payments for insurance plans, tax sheltered annuities, parking and voluntary contributions to the Florida Poly Scholarship Fund.

Once you receive your first pay, please verify that all the information is accurate; particularly your benefit deductions (if applicable). Contact the Payroll Department immediately if you have any concerns about the information on your pay slip.

Support employees and non-exempt employees' pay is based on an hourly rate times the number of hours submitted in a workweek. Florida Poly's standard workweek is Friday to Thursday. If an employee physically works over 40 hours in a workweek, those hours over 40 will be calculated as overtime at one and a half times the hourly rate. Support employees and non-exempt employees must obtain approval from their supervisor prior to working overtime.

Exempt employees' pay is based on an annual rate. Semi-monthly rates are calculated by dividing the annual rate by 24 (the number of semi-monthly pay cycles in a calendar year).

Please note: Prompt completion of your new hire paperwork and the Workday onboarding process will ensure prompt payment of your wages. It's critical that your personal information in Workday is verified and any changes be made by you in a timely manner.

Visa Status. An employee's visa status affects appointment eligibility as well as withholding for federal, Social Security and Medicare (FICA) taxes. Employees who fail to provide their departments with copies of their past or current visa documents are responsible for paying their respective tax liability.

The Foreign National Tax Information Form and the I-9 must be completed and sent to the Human Resources Department if there is an extension or change of status for the employee. An employee will not be put on payroll without the report from the Human Resources Department. Employees are encouraged to consult with their own tax advisers concerning their visa and tax status.

6.6.2 FLORIDA POLY ID CARDS

The Florida Polytechnic ID card is the official picture ID card of Florida Polytechnic University. All students and employees are required to have a Florida Polytechnic ID Card. In addition to the card being your official identification card, this card is also your “key” to accessing many of the buildings and rooms on campus. Please store this card in a safe place at all times. Should you lose your ID card, please contact Business & Auxiliary Services as soon as possible to obtain a replacement. You will be charged \$15.00 for a replacement card.

Please Note: Business & Auxiliary Services is not able to produce an employee ID card prior to receiving the appropriate authorization from Human Resources. Accordingly, please wait until you have been contacted by a member of Business & Auxiliary Services to have your photo taken for the ID card.

6.6.3 PARKING ON CAMPUS

Employees parking on campus must obtain a parking permit and are responsible for complying with the University’s Parking rules. Parking & Transportation Services (P.A.T.S.) is responsible for regulating the parking of vehicles on campus. P.A.T.S. issues parking decals, processes parking fines and appeals, and maintains parking lots and signs. You may contact P.A.T.S. at Parking@FLPoly.org.

You may purchase your employee parking permit for campus by visiting P.A.T.S. in the Wellness Center, Monday through Friday during normal business hours or by going online to: www.floridapolytechnic.org/parking-and-transportation-services.

Parking Permit Fees for employees may be referenced at: www.floridapolytechnic.org/parking-and-transportation-services.

See [6C13-1.003 Parking on University Property](#)

6.6.4 BENEFITS ENROLLMENT

All benefit-eligible employees have the opportunity to enroll in state benefit plans. (See the “University Benefits” section below for details.) Please note that new employees must complete the enrollment process themselves by going online to the People First web site **within 60 days** of becoming employed in the benefit-eligible position or will otherwise have to wait until the next open enrollment period occurs.

For more information on benefit enrollment, please contact Human Resources.

6.6.5 CELL PHONE ALLOWANCE

Employees who are required to maintain and carry a cell phone for work may be eligible to receive a cell phone allowance. Your supervisor is responsible for determining which employees are required to maintain and carry a cell phone to perform their University duties, and are therefore eligible for a cell phone allowance to assist with the cost.

For more information regarding cell phone allowances, please contact your immediate supervisor or Human Resources.

See [FPU-6.0005P Cell Phone Allowance](#)

6.6.6 EMPLOYEE DRESS CODE

All employees are expected to dress professionally and in a manner consistent with the University environment. It may be appropriate for certain University departments to develop their own dress code in accordance with the University's public interests. Any dress code established by an individual department will be enforced consistently within that department. It is recommended that you talk with your supervisor about what type of dress is considered appropriate for your work area.

See [FPU-6.006P Florida Polytechnic University Dress Code Policy](#)

6.6.7 OFFICIAL UNIVERSITY TRAVEL

Employees who intend on traveling for official University business must have a supervisor approved travel authorization completed in Workday prior to their departure and before accruing any nonrefundable fees or expenses related to the request. With the granting of approval by the designated supervisor, employees may be reimbursed, within limits, for certain costs of travel on official University business. Such costs must be submitted through a Spend Authorization in Workday. An approved Spend Authorization is necessary in order for an employee to be eligible for coverage under Worker's Compensation while traveling on business.

Employees who are traveling on official University business are subject to the applicable requirements and restrictions governing travel by state employees, as provided in **Florida Statutes, Sections 112.061, 1004.22, 1011.90 and 1012.06** and with export control requirements. Employees are responsible for ensuring compliance with these provisions while traveling on official University business.

If an employee uses his/her personal car for approved travel, the employee will be reimbursed at the current official mileage rate. The designated departure and return times are used for calculating per diem.

Hours Worked while Traveling on Official University Business. Travel to and from an employee's home to the employee's regularly assigned work location cannot be counted as hours worked. If a non-exempt employee is required to work outside his or her scheduled hours of work for the day, the employee will be credited with the additional actual time worked. The additional actual time worked will include the travel time from the employee's home to the assigned work location, the time spent working at the location, and travel time from the assigned work location back to the employee's home or a minimum of two additional hours of work—whichever is greater.

An employee may be required to attend a meeting or conference or otherwise work at an out-of-town location as part of their employment with the University. During such times, the official travel time that occurs either during or outside of the employee's normal work schedule is considered time worked. If official travel time results in a non-exempt employee exceeding 40 hours in the work week, the employee must be compensated for overtime according to standard overtime policies.

Please direct questions about University travel to the Human Resources department.

International Travel. International travel for official University business requires specific approval by the Vice President of the employee's department or designee prior to the commencement of the travel. International travel requests should be prepared well in advance to allow time for processing and must comply with any export control requirements.

6.6.8 ATTENDANCE

When you are hired at Florida Polytechnic, you accept the responsibility to work each day as scheduled. As a general guideline, you will be considered excessively absent if your absences are impacting the efficient operation of your department. Excessive absenteeism may lead to disciplinary action, up to and including termination.

If you are unavoidably absent from your job (absent for reasons other than for the preapproved use of annual or sick leave), it is your responsibility to let your supervisor know of the circumstances of your absence as soon as possible on the first day of your absence and when you expect to return to work. If your anticipated return date changes, you must keep your supervisor informed.

Please note: An employee who is absent without authorization for three or more consecutive workdays may be considered to have abandoned his or her position and to have voluntarily resigned from the University.

6.6.9 WORK BREAKS

Lunch Break. Your lunch break is set by your supervisor. University employees work a variety of schedules and are permitted varying amounts of time for lunch depending upon their regular working schedule. For example, if an employee works from 8 a.m. to 5 p.m., Monday through Friday, they will typically be scheduled for a one-hour lunch break. If an employee works from 8 a.m. to 4:30 p.m., Monday through Friday, they will typically be scheduled for a half-hour lunch period. Employees are encouraged to leave their workstations during their regularly scheduled lunch breaks.

Work Break Periods. Employees work better when they are refreshed. During each four hours that you work, you are permitted to take a 15-minute break period whenever possible. You are encouraged to leave your workstation during the break period. Your supervisor will advise you of particular arrangements necessary for taking breaks in your department. Break periods may not be accumulated for later use—that is, break periods may not be accumulated in order to extend your lunch hour or to arrive late or leave early. You also may not combine break periods to allow one half-hour break during an eight-hour shift.

6.6.10 BREAKS FOR NURSING MOTHERS

See [FPU-6.0131P Break Time for Nursing Mothers](#)

6.6.11 WORK HOURS

For most full-time employees, the University's normal work schedule is a five-day, 40-hour week. Employees who work less than full-time will work the number of hours proportional to their FTEs. The University may require employees to work non-traditional work shifts where such is necessary to maintain continuous operations. Your supervisor will inform you if your work schedule needs to be changed.

You must obtain your supervisor's pre-approval for any variations to your normal schedule. Any approved adjustment in a work schedule to make up time missed during regular working hours or to offset working beyond the regular standard workweek must be arranged with your supervisor within the affected workweek.

For payroll purposes, including overtime accrual concerns for non-exempt employees, the University's workweek begins at 12:00 a.m. each Friday and ends on the following Thursday at 11:59 p.m..

See [FPU-6.003 Hours of Work and Overtime](#)

6.6.12 NON-EXEMPT AND EXEMPT STATUS

Positions are designated as either non-exempt or exempt for overtime compensation under the Fair Labor Standards Act. Non-exempt (hourly) employees are eligible for overtime compensation, while exempt employees—whose duties are usually executive, professional or administrative—are not eligible for overtime compensation.

6.6.13 TIME WORKED

1. Support, non-exempt, and OPS employees must record their daily work hours via the “Time” Worklet in Workday. All time for the workweek must be submitted by the employee every Thursday to allow time for supervisors to review and approve the information every Friday. Instructions on how to complete this process are located on the “P” Drive, Workday Job Aids section.
2. Exempt employees must certify their time *once* a pay period via the “Time Off” Worklet within Workday. Instructions on how to complete this process are located on the “P” Drive, Workday Job Aids section.
3. Time-worked and leave reported by an employee within Workday must be approved by the employee’s immediate supervisor or by the designated approver to ensure proper and accurate payment and leave balance accruals.
4. In computing the workweek, time off charged to any type of leave or holiday is not considered to be hours worked for purposes of overtime pay.
5. Regardless of the amount of leave originally approved for an employee to use (including some types of administrative leave) an employee may be charged with or granted the amount of paid leave necessary to bring the employee to his or her normal workweek not to exceed 40 hours.
6. A Support, non-exempt, or OPS employee should not begin work before the employee’s normal work schedule starting time, nor should they work beyond the established work schedule quitting time unless specifically authorized, in advance, by their supervisor.
7. A Support, non-exempt, or OPS employee may not take work home to be completed after scheduled working hours unless approved in advance by their immediate supervisor, as work completed after scheduled working hours will be treated as hours worked.
8. Employees who falsify any type of University document or falsely report time-worked, leave usage, etc., will be subject to disciplinary action up to, and including dismissal.

6.6.14 OVERTIME COMPENSATION

Due to the fact that the University operates on a set budget each fiscal year, overtime worked by non-exempt (hourly) employees is limited to emergency situations or pre-planned and approved overtime for peak work periods.

Please direct questions about overtime compensation **to Human Resources**.

6.6.15 UNIVERSITY HOLIDAYS

The following holidays are observed by the University. All offices in which functions can be discontinued temporarily are closed on these days:

New Year's Day	Veteran's Day
Martin Luther King Day	Thanksgiving Day
Memorial Day	Friday after Thanksgiving
Independence Day	Christmas Day
Labor Day	Winter Break

When a holiday falls on Saturday, the preceding Friday will be observed as a holiday; when a holiday falls on a Sunday, the following Monday is observed as the holiday.

See [FPU-1.008 University Holidays](#)

See [FPU-1.0081P Compensation Related to University Holidays](#)

6.7 LEAVE POLICIES

6.7.1 ANNUAL LEAVE

Annual leave is earned on the last day of each pay period in proportion to the amount of time in paid status. There is no waiting period for using annual leave. Once annual leave is posted to the balance, employees may request to use it. However, requests for annual leave should be submitted to the supervisor in advance and taken only after the supervisor's approval has been received. Annual leave may be used only up to the regular FTE, not to exceed the 40-hour workweek.

Hours Accrued During Pay Period:

	SEMI-MONTHLY	YEAR-END MAXIMUM	MAXIMUM PAYOUT
FACULTY	7.3125	352	352
ADMINISTRATIVE	7.3125	352	352
EXECUTIVE SERVICE	9.75	480	480
SUPPORT (Months of service)			
0-6	4.3334	240	240
6-120	5.4167	240	240
Over 120	6.5000	240	240

Employees may accrue annual leave throughout the year. However, any accrued hours in excess of 240 hours for Support employees, 352 for Faculty and Administrative employees, and 480 hours for Executive Service employees will convert to sick leave hours at the end of the pay period in which December 31 falls.

Annual leave transfers with the employee if he or she moves to other benefits-eligible positions within Florida Polytechnic.

See [FPU-6.004 Annual Leave](#)

6.7.2 SICK LEAVE

Sick leave is earned on the last day of each pay period in proportion to the amount of time in paid status. There is no waiting period for using sick leave. Once sick leave is posted to the balance, employees may request to use it. Earned sick leave may be approved for time off from work because of exposure to a contagious disease that may endanger others, personal visits to doctors or dentists and for personal illness. Sick leave may be used only up to the regular FTE, not to exceed the 40-hour workweek.

Sick leave transfers with the employee if he or she moves to other benefits-eligible positions within the University.

See [FPU-6.005 Sick Leave](#)

6.7.3 SICK LEAVE POOL

The University's Sick Leave Pool is a way for employees to contribute a portion of their individually accrued sick leave for collective use of the members. Leave-accruing who have at least 64 hours of sick leave on balance may apply to join the Sick Leave Pool during the Open Enrollment period in October/November. Membership is approved if the criteria are met. Once membership is approved, full-time employees contribute 8 hours of sick leave automatically to the Sick Leave Pool. All figures associated with the sick leave pool are figured on a prorated basis for part-time employees.

Members of the Sick Leave Pool who have exhausted all their accrued leave (sick, annual, etc.) may apply for hours from the pool in the event of a personal catastrophic illness or injury. Catastrophic injury or illness is defined as “a severe condition or combination of conditions affecting the mental or physical health of the employee that has resulted in a life-threatening condition and/or has had a major impact on life functions.”

See [FPU-6.006 Sick Leave Pool](#)

6.7.4 ADMINISTRATIVE LEAVE

Administrative leave is leave with pay that is not charged against individually accrued leave balances. It is designed to keep employees in full pay status under certain circumstances and typically can be granted only in the amount necessary to the regular FTE, not to exceed the 40-hour workweek. University employees may be granted administrative leave in specific enumerated circumstances such as jury duty or Florida disaster volunteer leave.

See [FPU-6.007 Other Types of Leave](#)

6.7.5 FAMILY AND MEDICAL LEAVE ACT (FMLA)

Covered employees may take up to twelve weeks of unpaid leave under the Family and Medical Leave Act of 1993. This leave is permitted for either a serious health condition of the employee, the birth or adoption of a child by the employee, to care for a spouse, child or parent of the employee who has a serious health problem, or to care for a member of the military.

Whenever possible, employees must provide at least thirty (30) days' notice of their intent to take this leave. If thirty days' notice is not practicable, then the employee must provide as much notice as possible.

Please consult Human Resources for specific terms and conditions of this leave, or if you think you may be in need of this type of leave.

6.7.6 OTHER TYPES OF LEAVE

Other types of leave may include:

- Bereavement Leave
- Compulsory Leave
- Military Leave
- Workers Compensation Leave
- Domestic Violence Leave
- Personal Holiday (for support employees only)

See [FPU-6.007 Other Types of Leave](#)

6.8 UNIVERSITY BENEFITS

Your benefits can represent a significant portion of your overall compensation, based on the elections you've made. As your employer, Florida Polytechnic picks up a large percentage of the overall cost of some types of insurance, particularly health and basic life, resulting in your paying lower premiums. A variety of other supplemental plans, which are strictly employee-paid, are also available.

6.8.1 BENEFITS ENROLLMENT

State/People First Plans

Within a few weeks of your employment, a People First ID (PFID) will be mailed to your home address along with password information. The PFID is assigned by the state.

Your PFID is your permanent identifier that will allow you to:

- Enroll in your selected benefits
- View benefits during the year
- Make qualified status changes
- Make other adjustments to your benefits during the annual Open Enrollment periods

Your premiums and deductions for benefits will be established based upon your enrollment decisions.

New employees and those experiencing a qualifying status event must complete enrollments through the People First portal or by calling the People First service center at 1-866-663-4735.

Eligibility

All active, permanent, full or part-time Florida Polytechnic employees qualify for coverage under the State of Florida Insurance Programs. Employees who work less than .75 FTE (full-time equivalency) pay a prorated share of the cost for the health and basic life plans.

Certain variable hour and OPS employees qualify for the State's Insurance Program. OPS employees who regularly work 30 hours/week or more may enroll in the state's plans upon hire. OPS employees are eligible to participate in a majority of the state plans with the exception of Optional Term Life, Medical Reimbursement and Limited Purpose Reimbursement Accounts. Employees will be notified of their eligibility for state plans by the state.

All eligible employees should review the Marketplace Notice included in the appendix section of the Description Employee Benefits Package administered to new employees upon hiring. The Marketplace

Notice is required under the Affordable Care Act and provides employees additional information about affordable health plan options that are available through the Marketplace or Health Care Exchanges.

Coverage for Dependents

Dependents eligible for State of Florida sponsored plans include:

- Employee's spouse
- Employee's children through age 30* (natural, adopted, step, foster, and those for whom the employee has legal guardianship)
- Employee's disabled children beyond age limits; incapable of self-sustained employment; dependent for financial support
- Employee's eligible dependent's newborn child for 18 months after birth, or until eligible dependent who is the infant's parent no longer qualifies as a dependent, whichever comes first

**Eligibility of dependent children ages 19 through 30 include:*

- Family Coverage Tier: Children age 19 through the end of the calendar year in which they turn 26, are covered under the regular "family plan"
- Optional Over-Age Coverage: For health insurance only—coverage for children age 26 through the end of the calendar year they turn 30 may be purchased at an additional premium if they:
 - A.
 - are not married,
 - have no dependents (i.e., children, domestic partner),
 - are dependent for financial support,
 - are not provided or otherwise have available health insurance,
 - And**
 - B.
 - Either live in Florida or are a student in another state.

The eligibility requirements listed above apply to the State of Florida-sponsored plans.

Spouse Program

An eligible employee whose spouse works in a benefits-eligible position for a State of Florida government agency may enroll in the health insurance Spouse Program. This program combines the state's matching portion of each member's insurance premium, providing health insurance at a minimal cost provided that both employees are in full-time, benefits eligible positions. Should one spouse terminate employment with the State of Florida—or in the event of a divorce, change in FTE, or leave of absence—the employee must notify People First of the event within 60 days of the event.

Open Enrollment

Open Enrollment is a period of time when employees have an opportunity to make additions, changes or deletions to their elected benefit options. During this time, Open Enrollment communications provide information to employees regarding critical dates, new plan options, or other important changes for the upcoming plan year. After the Open Enrollment period begins, employees may access the People First enrollment system 24 hours a day to make necessary changes. Benefit elections can be made throughout

the Open Enrollment period, however once the Open Enrollment period ends, all of the employee's elections in the system are final and coverage for the elections will begin on the following January 1. The Open Enrollment period generally varies from year to year and usually occurs around mid-October to November. For specific dates, check with the Human Resources Department each fall.

Qualifying Events for Changing Coverage

Under certain circumstances, you may be allowed to make changes to your benefit elections during the plan year. Within 60 calendar days of the qualified event date, you must make these changes through the People First portal or by calling the People First service center at 1-866-663-4735.

Qualifying status changes/events include:

- Employee gives birth to, adopts, or becomes the legal guardian of a child (employee must add each child even if the employee already has family coverage)
- Employee gets married or divorced
- Employee's spouse or dependent dies
- Employee's employment is changed from full-time to part-time or from part-time to full-time
- A change in employee's spouse's employment status (resulting in a gain or loss of other coverage)
- A change in dependent's eligibility for benefits
- Termination of employee's employment

The employee may be required to submit documentation for certain events and such documents must be consistent with the requested benefit change. Outside of the 60-day qualifying status change window, changes to an employee's plans are limited to the annual Open Enrollment period.

6.8.2 HEALTH BENEFITS

Benefit Eligible employees may choose from several health insurance plan options.

Current available state health plans include:

- Preferred Provider Organization (PPO) Plans
- Health Maintenance Organizations (HMO) Plans
- Health Investor (High Deductible) PPO or HMO Plans
- Health Savings Accounts
- State Prescription Drug Program
- Flexible Health Spending Accounts

No matter which plan you choose, health insurance premiums are deducted on a pre-tax basis unless you request post-tax deductions through a state pre-tax waiver. Please note that coverage is NOT effective until AFTER you receive your insurance cards from the companies.

The State of Florida makes a variety of other health insurance and benefit programs available to eligible employees. For more information, please visit:

<http://www.myflorida.com/MyBenefits/Health/Health.html>.

6.8.3 LIFE INSURANCE

The State of Florida offers Basic and Optional term life insurance coverage to eligible full-time and part-time employees.

For more information, please visit:

<http://www.myflorida.com/mybenefits/Health/Life Insurance/Life Insurance.html>.

6.9 UNIVERSITY RETIREMENT PLANS

Eligible employees may choose to participate in one of three plans: the State University System Optional Retirement Program, the Florida Retirement System's Florida Pension Plan, or the Florida Retirement System's Florida Investment Plan. All three retirement plans include employer and mandatory employee contributions.

To select a retirement plan, you will need to fill out the appropriate form and turn it in to the Human Resources department for processing.

State University System's Optional Retirement Program (SUSORP)

For more information regarding the please visit:

http://www.dms.myflorida.com/workforce_operations/retirement/optional_plans/state_university_system_optional_retirement_program

Florida Retirement System's Florida Pension Plan (FPP) and Florida Investment Plan (FIP)

For more information about the, please visit: <https://www.myfrs.com/>

Deferred Retirement Option Program (DROP)

For more information, please visit: https://www.myfrs.com/FRSPro_Pension_DropRoll.htm

Deferred Compensation Plan

For more information, please visit:

<https://www.myfloridadeferredcomp.com/SOFWeb/default.aspx>

6.10 EMPLOYEE PERFORMANCE & CONDUCT

6.10.1 DISCIPLINARY ACTION

While the majority of University employees may never need discipline, exceptions do occur. Disciplinary actions may include oral reprimands, written reprimands, suspensions and dismissals, depending on the severity of the offense. Management has the discretion to determine the degree of discipline to administer for a particular offense.

To ensure equity in disciplinary action, the following categories act as guidelines for the University to determine when discipline may be necessary: unsatisfactory attendance; misconduct; negligence; and violation of provision of law, University regulation or departmental policy, procedure, or practice that is verbal, written, or understood.

The University will consider each individual employee's record of offenses and disciplinary action history when determining whether an adverse employment action is both appropriate and in the best interest of the University.

Discipline And Termination From Employment. The appointment of any faculty member may be terminated or disciplinary action taken during the term of employment contract for just cause. Just cause includes, but is not limited to, the following examples of conduct:

- (a) neglect of duty or responsibilities, including unauthorized absence, which impairs teaching, research or other normal and expected services to the University;
- (b) failure to perform the terms of employment;
- (c) willful violation of the policies and regulations of the Florida Board of Governors and/or the University;
- (d) failure to discharge assigned duties effectively because of incompetence;
- (e) misconduct, professional or personal, involving moral turpitude;
- (f) violation of the ethics of the academic profession; and
- (g) actions which impair, interfere with or obstruct, or aid, abet or incite the impairment, interference with or obstruction of the orderly conduct, processes and functions of the University.

If a faculty member is absent without authorized leave for five or more consecutive days shall be considered job abandonment and treated as a voluntarily resignation from the University.

A faculty member's activities which fall outside the scope of employment shall constitute misconduct only if such activities adversely affect the legitimate interests of the University.

The President designee may immediately place a faculty member on leave with pay pending investigation. The leave pending investigation shall commence immediately upon the President designee providing the faculty member with a written notice of the reasons. The leave shall be with pay, with no reduction of accrued leave. If, as a result of the investigation, the faculty member is to be suspended or terminated, written notices shall be given to the faculty member. An employee shall be given written notice of termination or suspension prior to the effective date, unless it is determined that the actions adversely affect the functioning of the University or jeopardize the safety or welfare of the faculty member, colleagues or students.

For additional information about disciplinary issues, [please consult Human Resources](#).

6.10.2 EMPLOYEE GRIEVANCE PROCESS

Florida Polytechnic encourages informal resolution of grievances and complaints whenever possible. Your immediate supervisor is available to help you resolve any work-related concerns or misunderstandings. Should this type of informal resolution be unsuccessful, you may choose to initiate a formal grievance or complaint. Please contact the Human Resources department for assistance.

See [FPU-6.0011P Employee Grievance Procedure](#)

6.11 EMPLOYEE SAFETY

6.11.1 BACKGROUND CHECKS

See [FPU-6.011 Employee Criminal Background Checks](#)

6.11.2 DRUG-FREE WORKPLACE

See [FPU- Drug-Free Environment](#)

6.11.3 WORKERS' COMPENSATION

Florida Polytechnic is committed to providing a safe and healthy environment in which faculty, staff and students may work and study. In order to help uphold this commitment, the Division of Environmental Health & Safety (EH&S) is responsible for informing the Florida Polytechnic community of the general safety training that is required of employees.

As a University employee, you will want to practice good safety habits and observe appropriate precautions at all times for the protection of yourself and others. Even then, accidents and injuries on the job can happen. If you sustain a work-related injury, your medical expenses and a portion of your earnings may be covered under the Florida Polytechnic Workers' Compensation program.

What to Do If You Are Injured While Performing Your Job

1. Notify your supervisor immediately. You/your supervisor must then contact the Human Resources department. An incident report will need to be completed.
2. If you require medical attention, contact Human Resources prior to going to a medical care provider. Human Resources will assist you getting the medical attention that you may need.
3. To obtain authorization for Workers' Compensation claims, employees need to contact AmeriSys at 1-800-752-0886. They will be asked a series of questions about their work related injury and then will be instructed on which medical facility to go to for services.
4. When you arrive at an authorized medical care provider's facility, be prepared to show proof of identification.
5. Provide both your supervisor and HR with medical documentation of your initial work status and any subsequent changes to it. Your authorized medical care provider must support, in writing, all injury-related time away from work.
6. Contact your supervisor daily, or according to a schedule established by your supervisor, in order to keep him/her informed about your current work status, ongoing treatment and prognosis for recovery.
7. Attend all of your scheduled medical appointments.
8. When an authorized medical care provider releases you to return to work (regardless of your assigned limitations or restrictions), you must be willing and able to return to the workplace.

For more information regarding Workers' Compensation, please contact the Human Resources department.

6.12 WORKPLACE VIOLENCE

See [FPU-6.0024P Workplace Violence](#)

VII. ACADEMIC POLICIES & PROCEDURES

7.1 ACADEMIC INTEGRITY

Florida Polytechnic is committed to a policy of honesty in academic affairs. Academic dishonesty is considered a serious breach of ethical standards in the academic environment and because it interferes with the University's mission to provide a high quality education in which no student enjoys an unfair advantage over any other. Dishonesty is also destructive of the University community, which is grounded in a system of mutual trust and places high value on personal integrity and individual responsibility. All of us in the Florida Polytechnic community are responsible for discouraging academic dishonesty by taking preventative measures and by insuring that appropriate action is taken when irregularities are discovered.

Florida Polytechnic students are expected to maintain the highest ethical standards in order to prevent academic irregularities, which frustrate the efforts of both the faculty and serious students to meet university goals. Since faculty, students, and staff have a stake in these goals, all must be responsible for discouraging academic irregularities by taking preventative measures and by insuring that appropriate action is taken when such irregularities are discovered. Thus, Florida Polytechnic Regulation **FPU-5.005 Academic Integrity** that requires a faculty member, student, or staff member to notify an instructor when there is reason to believe an academic irregularity is occurring or has occurred in a course. The faculty's duty is to properly investigate any reasonable allegation and to take the necessary action where it is deemed appropriate, in accordance with the University's regulations and policies.

See [FPU-5.005 Academic Integrity](#)

7.2 ACADEMIC CALENDAR

The Florida Polytechnic Academic Calendar defines each semester's and summer session's beginning and ending dates, as well as any important dates or deadlines. Classes must be scheduled and held in conformity with the academic calendar in order to assure that each class meets for the minimum amount of time required by the state. Any deviation from the calendar, such as starting a course later or concluding it sooner than the date indicated in the calendar, requires prior, written approval from the Provost/designee. Instructors are required to provide all students enrolled in a course with sufficient notice of any deviations from the course schedule provided in the academic calendar.

See [Academic Calendar](#)

7.3 TEXTBOOK ADOPTION

Course textbooks and instructional materials must be adopted in compliance with the requirements provided by both federal and state law. These requirements regarding textbook adoption and affordability have been imposed with the intended goal of reducing the expense of instructional materials to students by providing them with the necessary information on required purchases with sufficient time to shop for the best prices.

Faculty members may require students in their classes to buy course manuals, study guides, and other materials prepared by the faculty member so long as the faculty member complies with all applicable copyright laws. Such materials may be produced and sold by the copy center or bookstore on campus. The fee charged to students for such materials shall not exceed the cost of producing and distributing the material and must be approved by the program coordinator.

Textbooks and course pack information required for use in a course will be posted in a single online location for students no later than forty-five (45) days prior to the first day of class for each term. Textbook orders are to be placed through departmental offices no later than the provided deadline, which is approximately twelve (12) weeks prior to the start of the term. The Bookstore will order all required texts and shall make them available for purchase by students for the upcoming term. Although all required textbooks and course pack information may be obtained at the university bookstore, students may choose to purchase their instructional materials from any vendor.

7.3.1 USE OF FACULTY-AUTHORED TEXTBOOKS

Since University faculty members are expected to be experts in their disciplines, the best textbook for use in a class may be one written by the course faculty member. A faculty member may select a textbook he or she has written for use in the course provided that the textbook has been published by a nationally recognized, commercial book company. (Report of Specified Interest, Florida Code of Ethics.) Any faculty member who is instructing a course and wishes to use a text that he or she has authored is required to obtain prior written approval from the Provost.

7.3.2 TEXTBOOK ADOPTION PROCEDURE

FacultyEnlight is a web-based platform built exclusively for faculty and department administrators that enables you to research and adopt course materials in one, convenient place. When you use **FacultyEnlight**, you can quickly see the formats available and the estimated student price for any textbook you choose, including our selection of rental titles available right from the campus bookstore. To get started, you will need to create a new account the first time using **FacultyEnlight**. Click the **Create account** link, located in the upper right of www.facultyenlight.com, and enter a username and password of your choosing.

You will also find a quick demo video to get acquainted with the many features of the site at <http://www.facultyenlight.com/content/facultyenlight-demo-video>.

See [FPU-5.003 Textbook Adoption and Affordability](#)

See [Board of Governors Regulation 8.003](#)

See [Section 1004.085, Florida Statutes](#)

7.4 ACADEMIC CREDIT

Florida Polytechnic's academic schedule consists of two semesters (Fall and Spring), and the Summer Term. University regulation and federal law states that the amount of academic credit that counts toward a student's accrual of credit hours toward graduation is stated in terms of academic "credit hours." A credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than:

- (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or the equivalent amount of work over a different amount of time; or
- (2) At least an equivalent amount of work as required in paragraph (1) of this definition for academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

See [FPU-5.0003AP Credit Hour Policy](#)

7.4.1 NONCREDIT COURSE WORK EQUIVALENT

Florida Polytechnic does not typically award credit or credit equivalencies for course work taken on a noncredit basis. Transfer credit awarded on a non-credit basis from another institution will not be accepted by Florida Polytechnic unless approved according to BOG Regulation.

See [FPU-5.0082AP Transfer of Credits Policy – Undergraduate](#)

See [FPU-5.0082AP Transfer of Credits Policy – Graduate](#)

See [BOG Regulation 6.020](#)

7.5 ACADEMIC STANDING

The University has established minimum academic standards to which all students must adhere. Academic standing defines academic progress as it is indicated on student records, and how the status will affect a student's academic standing is denoted on his/her student record. The University Registrar will notify students of a change in academic standing via email.

See [FPU-5.0074AP Academic Standing \(Undergraduate\)](#)

See [FPU-5.00744AP Graduate Academic Standing, Academic Dismissal, and Readmission](#)

7.6 DROP / ADD

Students may drop and add courses up to the end of the drop/add period, which is notated on the Academic Calendar for each semester. Students are responsible for all fees for courses remaining on their schedule after the drop/add period.

See [FPU-5.0101AP Course Drop / Add](#)

7.7 CLASSROOM POLICIES

Faculty members may not cancel classes at their own discretion. In the event that extraordinary circumstances require a faculty member to miss a scheduled class meeting, he or she must notify the Department's Administrative Assistant (whenever possible, prior to the scheduled class meeting) and arrangements must be made to make up for the lost class time. In the event of a hurricane or other emergency, classes will be cancelled only if the University is officially closed.

In most cases, classes must meet during the scheduled Final Exam period. Courses may not end prior to the scheduled end of the term except in exceptional circumstances, and then only with prior, written approval from the Provost/designee.

7.8 CLASSROOM REQUESTS

Classrooms for academic courses are assigned each semester when class schedules are submitted by departments. Instructors may indicate preferences for a particular location or a specific classroom for consideration.

Instructors wishing to change their classroom assignment for the term, should contact their Department Chair to make arrangements with scheduling. Because a room change will affect the online schedule, the request for a change in classroom assignment may only come from the Department Chair to the Registrar. Instructors must ensure that all students enrolled in the course are sufficiently notified of any changes to the assigned classroom.

Instructors should not hesitate to report a problem no matter how small: the university counts on the faculty to bring any problems to our attention so that they can be resolved.

7.9 THE USE OF TECHNOLOGY TO ENHANCE STUDENT LEARNING

Florida Polytechnic is committed to enhancing instructional technology resources and to preparing its students to thrive in a technology-rich work environment. To that end, the University employs information technology in creative, experimental, and practical ways for the delivery of instruction, for administrative and information management, and for student access and support. This commitment includes engaging faculty and students in the strategic planning and decision making process for instructional technology acquisition and implementation.

7.10 FEES FOR COURSE MATERIALS AND SUPPLIES

Proposed material fees for consumable course materials and supplies must be based on the actual costs of the materials. Such fees must be preapproved by the President and are required to be publicized in the course schedule.

7.11 GRADING POLICY

The individual responsible for the assignment of grades is the instructor of the course. The grade assigned must be appropriate for the student's academic performance in the course. The Provost or designee will determine if a course will be graded by the pass/fail or satisfactory/unsatisfactory grading process. When a student registers for a course but fails to complete the course requirements without timely dropping the course, the student will normally receive a grade of "F" from the course instructor.

A student who is passing a course but has not completed all of the required work due to exceptional circumstances may, with the approval of the instructor, temporarily receive a grade of "Incomplete" (I). An incomplete must be changed to a grade within a specified time defined by policy.. Students cannot graduate with an incomplete grade on their record.

In circumstances where an instructor fails to submit a grade for a student in a particular course by the deadline, the Registrar will enter an "NR" (No Grade Reported) on the transcript. When the instructor

subsequently submits a grade to the Registrar, it will replace the NR designation. It is expected that the instructor shall submit grades prior to the deadline for submission of grades for the semester in which the course was taken.

See [FPU-5.0071AP Grading Policy](#)

See [FPU-5.00711AP Grade Submission](#)

See [FPU-5.00712AP Incomplete Grade](#)

See [FPU-5.0006AP Grade Forgiveness Policy](#)

See [FPU-5.00715AP Grade Change](#)

7.12 COURSE SYLLABUS

The University specifies the scope of content that must be included in all course syllabi.

See [FPU-5.0065AP Course Syllabi](#)

7.13 OFFICE HOURS

All faculty members are required to post office hours during which time they will be available for consultation with students. In establishing the office hour schedule, faculty should carefully consider the availability of his or her students during the scheduled times. All full-time faculty members must schedule his or her office hours so that he or she is available to meet with students on at least three (3) weekdays. Faculty members with special advisement responsibilities may have additional office hours assigned. Faculty are expected to be in their office and available during these hours. Individual departments may establish a requirement beyond these minimum University requirements. —

7.14 STUDENT ATTENDANCE

Students are expected to attend all of their scheduled University classes and to satisfy all academic objectives as defined by the instructor. The effect of unexcused absences upon a student's grade is to be determined by the instructor, however, the University reserves the right to deal, at any time, with individual cases of non-attendance.

Students are responsible for arranging to make up work missed due to a valid, excused class absence, such as illness, family emergencies, military obligation, court-imposed legal obligations, or participation in University-approved activities. Examples of University approved reasons for absences include

participating on an athletic or scholastic team, musical and theatrical performances, and debate activities. It is the student's responsibility to give the instructor notice prior to any anticipated absence, and within a reasonable period of time after an unanticipated absence, ordinarily by the next scheduled class meeting.

Reasonable accommodations shall be made for religious observance, practice, and belief of individual students in regard to class attendance, the scheduling of examinations, and work assignments. Instructors must allow each student the opportunity to make up work missed, due to a validly excused absence, without any reduction in the student's final course grade because of the absence alone.

See [FPU-5.0010AP Student Attendance](#)

7.15 STUDENT WITHDRAWAL

See [FPU-5.01034AP Student Withdrawal from a Course](#)

See [FPU-5.01033AP Student Withdrawal for Mitigating Circumstances](#)

See [FPU-5.01032AP Student Withdrawal from the University](#)

7.16 READING DAYS

In order to provide students with additional examination preparation time before the commencement of final exam week, the University has sanctioned Reading Days, which are incorporated into the Academic Calendar.

See [FPU-5.0018AP Reading Days](#)

7.17 FINAL EXAMS

The procedure for handling student examinations varies not only among academic units, but among the faculty within those units. While the University has no specific policy regarding student examinations, it supports a practice that every student has a right of access to review examinations. Most faculty members are willing to let the students review the test along with their answer sheets in a faculty member's office. In other cases, the faculty may choose to post a copy of the examination along with the answers.

When scheduling examinations and assignment due dates, faculty members should keep in mind that undergraduate students need to have some indication of their progress prior to the deadline to withdraw

from a course. Major tests or other major class events should not be scheduled on days that will be observed as holy days by a significant number of students.

Comprehensive final examinations are to be given only at the time published by the University Registrar.

See [FPU-5.0073AP Final Exams](#)

7.18 GRADE APPEALS

Florida Polytechnic states that Faculty exercise professional judgment in determining how to assess student performance based on departmental standards and on their own student achievement expectations. A student may request a review of the final course grade only when the student believes that one or more of the following conditions apply:

- Computational or recording error in grading occurred
- Non-academic criteria applied in the grading process
- Gross violation of the instructor's own grading statement

The student is responsible for monitoring his/her grades and student email account and availing himself/herself of this process in a timely manner if the student wishes to appeal a grade. If the student fails to submit the forms and information to the designated official on or before the stated deadline, the student's appeal or further access to the grade appeal process will be denied.

See [FPU-5.00714AP Student Grade Appeals](#)

See [FPU-5.00715AP Grade Change](#)

7.19 COURSE EVALUATION

University regulations require that a survey be conducted in all sections of all courses with enrollments of five or more students. The survey is administered during the last three weeks of the course, except in summer when it is conducted during the last week.

7.20 STUDENT ACCOMMODATION REQUESTS

Florida Polytechnic provides students with disabilities the services and accommodations needed in order to ensure that each student has the opportunity to attain the same quality of education without compromising academic integrity or altering specific course or program requirements.

See [Disability Services Website](#)

See [Request Form for Disability Services](#)

7.21 GRADUATE THESIS COMMITTEE OR PROJECT ADVISORY GROUP

A student working towards a degree that requires a thesis or project must have a Graduate Thesis Committee or Project Advisory Group. The Thesis Committee must be comprised no more than two faculty members in addition to the Committee Supervisor. The Project Advisory Group must be comprised no more than one faculty member in addition to the Primary Advisor. The Committee Supervisor/Primary Advisor must be an expert in the subject matter of the proposed thesis/project. At least one Committee/Group member must represent a field outside of the student's major. Industry partners may also serve as members of the Committee. The Committee/Group approves the student's proposal and course of study plans for research; supervises the research and reads and approves the thesis/project for content and format.

See [FPU-5.0123AP Graduate Thesis Committee](#)

7.22 HONORARY DEGREES

The University may grant honorary degrees to persons whose achievements align with the University's purpose and mission. Honorary degrees are awarded to recognize sustained achievement of lasting significance in scholarship, the arts, public service, and/or contributions to the University.

See [FPU-8.0095AP Honorary Degrees](#)

7.23 ACADEMIC DEGREE PROGRAMS

See [FPU-5.001AP New Degree Program Planning and Approval](#)

See [FPU-5.0008AP Academic Program Termination](#)

7.23.1 REVIEW & ASSESSMENT

Assessment is the ongoing process of establishing clear, measurable expectations of student learning; systematically gathering, analyzing, and interpreting evidence of learning; comparing outcomes to expectations; and, using results to understand and improve student learning throughout the University.

Florida Polytechnic is committed to assessment that is meaningful, manageable, efficient, and useful for making decisions at the department, division, and University levels. Although assessment processes are required by state regulation and regional and discipline accrediting agencies, assessment works best when guided by the curiosity and intellectual dialogue that characterize the culture of higher education.

See [FPU-5.0062AP Academic Program Review and Continuous Improvement Process](#)

VIII. RESEARCH REGULATIONS & POLICIES

8.1 CAMPUS ENVIRONMENTAL HEALTH & SAFETY

The University is committed to providing a safe and healthful campus that is free from recognizable occupational safety, health, and environmental hazards. Every member of the university community is responsible for observing applicable requirements for safety and health.

University employees are responsible for conducting their work in a manner that adheres to applicable requirements for safety and health and minimizes the potential for illness or injury to themselves or the university community. Individual employees are expected to report any unsafe acts or conditions to his/her supervisor and shall complete the Safety Concern form (FPU-9.0042P). Employees should suspend activities in the event unsafe acts or conditions have been identified and/or reported until the employee receives clearance from his/her supervisor.

See [FPU-9.0042P Campus Environmental Health & Safety](#)

8.2 HAZARDOUS MATERIALS & EQUIPMENT

The Department of Environmental Health and Safety (EHS) is the designated authority for compliance with applicable hazardous materials and radiation-producing equipment regulations, including those regulations that apply to research activities and any safety requirements specified in grants. EHS acts as an informational resource for researchers who have questions about best safety practices, who must procure safety equipment, correct potential hazards and respond to inquiries from external agencies.

All individuals are required to disclose the details of hazardous material procurement, use, storage, security, and disposal measures, in accordance with current EHS policy and procedure. Hazardous materials include any material that, because of its quantity, concentration, or physical, chemical, or biological, radiological characteristics, may pose a hazard to human health or the environment.

The university will notify individuals in the event of noncompliance with safety issues and will request correction within thirty (30) days and if necessary, the authority to direct the individual to suspend unsafe activity until corrected.

See [FPU- 9.0041P The Procurement, Use and Possession of Hazardous Materials & Radiation Producing Equipment](#)

8.3 SPONSORED RESEARCH ROLES AND RESPONSIBILITIES

It is the policy of the University to encourage faculty members to participate in research sponsored by outside agencies when such research is consistent with the basic aims of the University in regard to the education of students, the extension of knowledge, and supports the University in fulfilling its mission as an innovative, interdisciplinary high-tech institution. All members of the University community involved in research will take personal responsibility for their actions in pursuit of individual and organizational excellence. Each individual will uphold the highest standards of ethical and professional conduct in accordance with University, state, federal and sponsoring agency policies and regulations.

The **Office of Research Services** (“ORS”), which is under the direction of the Provost, is responsible for all external research proposal submissions. ORS assists faculty, staff and students in proposal preparation, funding source identification, compliance issues pertaining to the use of human and animal subjects in research, budget preparation, and any other aspect of research and sponsored programs at the University. ORS also acts as liaison between the sponsor agency and the faculty when requested to do so. The Director of ORS is the University's reviewing, certifying, and negotiation coordinating officer for all research proposals submitted to outside agencies.

See [FPU-12.0011AP Sponsored Research Roles and Responsibilities](#)

8.4 RECIPIENT / SUBRECIPIENT MONITORING

The University is obligated in its role as primary recipient or grantor to undertake certain stewardship activities as well as comply with federal, state and local regulations. When the University assigns responsibility for conducting work sponsored by an award to a subrecipient, the University remains responsible for managing funds and meeting performance goals. Thus, the monitoring of technical and financial activities associated with a subrecipient is an integral part of the University stewardship of sponsor funds.

FPU-12.0016AP addresses institutional responsibilities and assists PIs and staff to ensure that, in addition to achieving performance goals, subrecipients comply with federal laws and regulations and with the provisions of any agreements that govern the subaward. This policy applies to all subawards

issued under sponsored research projects regardless of primary source of funding; however, it does not apply to consultant agreements or the procurement of goods or services from contractors as defined within the policy.

See [FPU-12.0016AP Recipient-Subrecipient Monitoring](#)

See [Recipient/Subrecipient Profile Questionnaire Form](#)

IX. HANDBOOK REVISIONS

9.1 ACADEMIC POLICIES & PROCEDURES COMMITTEE

The charge of the University Academic Policies & Procedures Committee (APPC) includes to review annually the Faculty Handbook and to recommend changes to the Provost. Maintenance of the Faculty Handbook is the responsibility of both the APPC and the Provost. Each year the Handbook is updated for changes and additions in operating policies, procedures, and descriptive information. During the academic year, the APPC does the following:

- Considers issues related to academic governance that may require updates or additions to the Handbook and drafts additions for inclusion in the Handbook;
- Works with the Provost to update the Handbook; and,
- Reviews proposed changes and additions to the Handbook.

9.2 INITIATION OF HANDBOOK CHANGES

Revisions to the Faculty Handbook may originate in one of the following ways:

- A proposal to the APPC from the administration, the faculty, faculty members, or any faculty governing body;
- An emendation initiated by the APPC in the course of its annual review;
- A Board of Trustees action or a change required to align the Handbook with prior or new policy.

9.3 PROCESS FOR PROPOSING HANDBOOK CHANGES

Any member of the faculty may propose a revision to the Faculty Handbook. Proposed revisions to the Handbook shall be written and include a statement of supporting rationale, and be submitted to any member of the APPC who will then forward the proposed revision to the chair of the APPC.

Immediately upon receipt, the chair of the APPC will forward all proposed revisions to the Provost, who then establishes priority of such consideration, as appropriate. Faculty representatives serving on the APPC shall timely report on APPC action and recommendations to the faculty governing body to ensure faculty members are informed through appropriate communication channels.

With the exception of revisions initiated by either Board of Trustees action, or adoption / revision of any applicable Collective Bargaining Agreement or university rule, regulation, or policy, the APPC shall ensure all proposed revisions approved by the Provost for further consideration are forwarded to university stakeholders, for review and comment, which will include the general faculty and staff.

The comment period provided to stakeholders shall be, at minimum, seven (7) calendar days and in no event shall the entire process exceed thirty (30) calendar days. Comments received from the faculty governing body, the faculty, and staff will be reviewed by the APPC. The APPC will consider all comments and, in consultation with the Provost, will (i) recommend adoption of the revisions as distributed to stakeholders for comment, (ii) recommend adoption of the revisions with editorial changes, or (iii) recommend reconsideration of sections of the proposed revisions to the Handbook. The APPC may recommend adoption of certain proposed new sections while recommending reconsideration of other sections, as appropriate.

9.4 APPROVAL OF HANDBOOK CHANGES BY BOARD OF TRUSTEES

All proposed revisions to the Handbook will be submitted to the Provost who will seek authorization of the changes by the President and Board of Trustees, as may be appropriate. Once approved, revisions to the Handbook will be updated in the most recent electronic version of the Faculty Handbook on the university's website.

The Provost and the APPC will promptly announce to the university community the publication of the updated version of the Faculty Handbook and provide a summary detailing that version's updates.

APPENDIX A

2018-19 UNIVERSITY COMMITTEE DESCRIPTIONS

NOTE: University rules, regulations & policies are referenced herein; governing documents should be referenced and read in entirety at: <https://floridapolytechnic.org/board-of-trustees/university-policies-and-regulations/>

University Undergraduate Curriculum Committee (UCC)
<p><i>The purpose of the University Undergraduate Curriculum Committee is to make recommendations on academic policies and standards related to undergraduate curriculum; provide a directional force for the planning, development, approval, and implementation of new academic curricula; and for the review, evaluation, approval, and disposition of existing curricula.</i></p>
<p style="text-align: center;">Committee Membership:</p> <ul style="list-style-type: none"> ❖ One (1) faculty representative from <i>each</i> academic department. <ul style="list-style-type: none"> ❖ University Registrar (Chair), <i>Ex officio</i> ❖ Vice Provost, Assessment & Instruction, <i>Ex officio</i> ❖ Vice Provost, Academic Success Services, <i>Ex officio (non-voting)</i> ❖ Vice Provost, Enrollment & Student Development, <i>Ex officio (non-voting)</i>
<ul style="list-style-type: none"> ➤ The UCC is a university committee managed by the faculty governing body. <ul style="list-style-type: none"> ➤ The University Registrar shall serve as chair of the committee. ➤ The faculty governing body shall appoint faculty representatives to serve on the committee in effort to provide representation consisting of the faculty who “own” undergraduate curriculum, develop courses, and degrees, as relevant. <ul style="list-style-type: none"> ➤ The UCC will review proposed changes in, additions to, and deletions from the undergraduate curriculum, course descriptions, and catalog information and will forward recommendations to the Graduate Studies Committee or Provost, as appropriate.
<ul style="list-style-type: none"> ➤ <i>FPU-5.0003AP Credit Hour Policy</i> ➤ <i>FPU-5.00812AP Curriculum and Course Changes</i> <ul style="list-style-type: none"> ➤ <i>FPU-5.0065AP Course Syllabi</i> ➤ <i>FPU-5.0086AP Credit for Online Courses Completed Prior to Initial Enrollment</i>

University Graduate Studies Committee

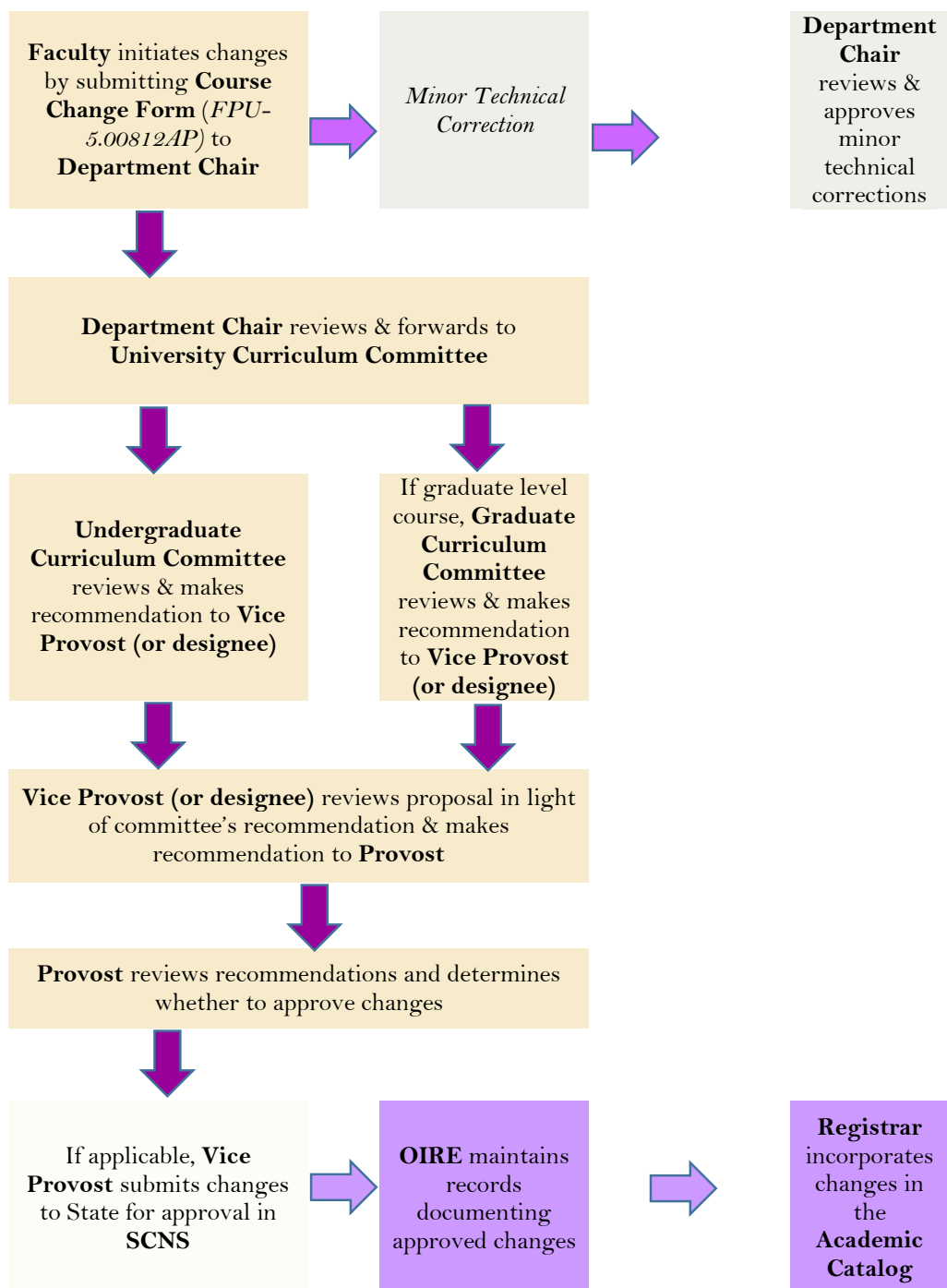
The purpose of the University Graduate Studies Committee is to review and make recommendations as to graduate academic policies and standards related to graduate level curriculum (approval of any new graduate programs or major changes to existing programs), graduate program monitoring and evaluation, graduate admissions requirements, graduate teaching and research assistantships, criteria for and appointment to the graduate faculty and other matters of importance pertaining to graduate education and programs.

Committee Membership:

- ❖ One (1) faculty representative from each academic department directly associated with a graduate degree program or concentration.
 - ❖ One (1) faculty representative at-large
 - ❖ Graduate Division Director, (Chair), *Ex officio*
 - ❖ University Registrar, *Ex officio*
 - ❖ Vice Provost, Assessment & Instruction, *Ex officio*
 - ❖ Vice Provost, Academic Success Services, *Ex officio (non-voting)*
 - ❖ Vice Provost, Enrollment & Student Development, *Ex officio (non-voting)*

- The University Graduate Studies Committee is a university committee managed by the faculty governing body.
 - The Director of the Graduate Division shall serve as chair of the committee.
- The faculty governing body shall appoint faculty representatives to serve on the committee in effort to provide representation consisting of the faculty who “own” graduate curriculum, develop courses, and degrees, as relevant.
- The University Graduate Studies Committee will review proposed changes in, additions to, and deletions from the graduate curriculum, course descriptions, and catalog information and will forward recommendations to the Provost.

- *FPU-5.0003AP Credit Hour Policy*
- *FPU-5.00812AP Curriculum and Course Changes*
 - *FPU-5.0065AP Course Syllabi*
- *FPU-5.0086AP Credit for Online Courses Completed Prior to Initial Enrollment*
 - *FPU-5.0096AP Graduate Degree Graduation Requirements*

Process for initiating proposed curriculum and course changes (FPU-5.00812AP):

University Academic Policies & Procedures Committee (APPC)

The University Academic Policy and Procedures Committee is a standing committee appointed by the Provost to make recommendations regarding the creation, revision, and management of university academic policies. The APPC shall review academic policy and procedure proposals in order to determine whether they are aligned with the mission of the University.

Committee Membership:

- ❖ Department Chair selected by the Provost
- ❖ Two (2) faculty representatives selected by faculty governing body
- ❖ Two (2) faculty representatives nominated by the faculty governing body, selected by Provost
 - ❖ Chair, Faculty Governing Body, *Ex officio*
 - ❖ University Registrar, *Ex officio*
 - ❖ Vice Provost, Assessment & Instruction, *Ex officio*
 - ❖ Vice Provost, Enrollment & Student Development, *Ex officio*
 - ❖ Vice Provost, Academic Success Services, *Ex officio*
 - ❖ General Counsel representative, *Ex officio*

- The APPC Chair is appointed by the Provost.
- The APPC will ensure proper distribution of proposed policies to university stakeholders for review and comment.
- The APPC reviews and recommends proposed changes to the Faculty Handbook to the Provost.

- ***FPU-1.001AP Policy Creation and Development Process – Academic Policies***

University Non-Academic Policies & Procedures Committee (NPPC)
<p><i>University policies provide specific guidance and procedures in compliance with applicable state, federal, and University regulations. The University Non-Academic Policy and Procedures Committee oversees the development of non-academic policies by circulating policies and soliciting comments from stakeholders, modifying policy drafts, and approving policies and related procedures to direct and guide the operations of the University.</i></p>
<p style="text-align: center;">Committee Membership:</p> <ul style="list-style-type: none"> ❖ Faculty representative selected by faculty governing body ❖ Student Affairs representative selected by Vice Provost for Enrollment & Student Development, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Finance representative, <i>Ex officio</i> ❖ Advancement representative, <i>Ex officio</i> ❖ Human Resources representative, <i>Ex officio</i> ❖ General Counsel representative, <i>Ex-Officio</i> ❖ General Counsel representative, <i>Ex-Officio (non-voting)</i>
<ul style="list-style-type: none"> ➤ The chair of the Non-Academic Policy & Procedures Committee is appointed by the President or designee. ➤ The Non-Academic Policy & Procedures Committee will ensure proper distribution of proposed policies to university stakeholders for review and comment.
<ul style="list-style-type: none"> ➤ <i>FPU-1.001P Policy Creation and Development Process – Non-Academic Policies</i>

APPENDIX A

University Institutional Effectiveness Committee (IEC)

The University Institutional Effectiveness Committee is responsible for reviewing the effectiveness and soundness of the University's planning and assessment practices and processes. The IEC provides oversight and guidance with the development and implementation of the University's assessment framework and processes.

Committee Membership:

- ❖ Two (2) faculty representatives selected by Provost
- ❖ Two (2) faculty representatives selected by faculty governing body
 - ❖ Vice Provost, Assessment & Instruction (Chair), *Ex officio*
 - ❖ Director, Institutional Research, *Ex officio*
- ❖ Two (2) Academic Affairs representatives, *Ex officio*
- ❖ Staff representative (non-academic department), *Ex officio*
 - ❖ Finance representative, *Ex officio*

University Diversity Recruitment Committee

The purpose of the University Diversity Recruitment Committee is to develop recommendations for increasing the recruitment of African American and other underrepresented groups for faculty and staff positions at Florida Polytechnic. The Committee will also discuss strategies for retaining African American male students.

Committee Membership:

- ❖ Two (2) faculty representatives selected by faculty governing body
 - ❖ Student representative selected by SGA
- ❖ Government Relations / External Affairs representative, *Ex officio*
 - ❖ Student Development representative, *Ex officio*
 - ❖ Institutional Research representative, *Ex officio*
 - ❖ Human Resources representative, *Ex officio*
 - ❖ Academic Support Services representative, *Ex officio*
- ❖ Marketing & Communications representative, *Ex officio*
 - ❖ General Counsel representative, *Ex officio*

➤ **FPU-1.005 Non-Discrimination and Equal Opportunity**

University Student Technology Fee Committee

The University Student Technology Fee Committee administers the annual distribution of Student Technology Fee revenues. This Committee will administer the budget, review recommendations, and create necessary policies and procedures in order to govern the fees that will be applied to information technology for the University.

Committee Membership:

- ❖ Director, Technology Services (Chair), *Ex officio*
 - ❖ Director, Student Life, *Ex officio*
 - ❖ Finance representative, *Ex officio*
- ❖ Two (2) Department Chairs (APCs) selected by the Provost
 - ❖ Faculty representative selected by the Provost
- ❖ Faculty representative selected by the faculty governing body
 - ❖ Three (3) student representatives selected by SGA

University Parking Appeals Committee

The University Parking Appeals Committee is responsible for coordinating the appointment of Appeal Hearing Officers to receive, evaluate, and resolve written appeals of citations for university-issued parking infractions and/or charges or procedures for towing, impounding, or immobilization of vehicles.

Committee Membership:

- ❖ Assistant Director, Treasury Management (Chair), *Ex officio*
- ❖ Business & Auxiliary Services representative, *Ex officio (non-voting)*
 - ❖ Director, Facilities & Safety Services, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body
- ❖ Student representative selected by the student government association

➤ **6C13-1.003 Parking on University Property**

University Enrollment Management Committee (EMC)

The University Enrollment Management Committee is responsible for monitoring the effective management of the university's enrollment (both undergraduate and graduate) including practices and procedures necessary to ensure student diversity and persistence to graduation in addition to forecasting future student enrollments. The EMC plans, develops, and implements programs and events in effort to maintain a positive experience for all students. The Committee will make recommendations for continuous improvement in the practices and procedures that affect student recruitment, enrollment, and persistence until graduation so that diversity and degree production goals will be attained.

Committee Membership:

- ❖ Vice Provost, Enrollment & Student Development (Chair), *Ex Officio*
 - ❖ Vice Provost, Assessment & Instruction, *Ex officio*
 - ❖ Vice Provost, Academic Success Services, *Ex officio*
- ❖ Three (3) staff representatives selected by President or Provost
- ❖ Three (3) faculty representatives selected by faculty governing body

- The committee may wish to ask non-members from the University community to attend specific meetings and address topics of interest.
- While it is perceived that most of the tasks that will be undertaken by the EMC will be discussed and handled by the committee as a whole, there may be occasions when sub groups may be formed to address specific tasks.

University Admissions Appeals Committee

The University Admissions Appeals Committee is responsible for reviewing all admissions appeals.

Committee Membership:

- ❖ Vice Provost, Enrollment & Student Development (Chair), *Ex officio*
 - ❖ Admissions representative, *Ex officio*
 - ❖ Student Development representative, *Ex officio*
 - ❖ University Registrar representative, *Ex officio*
 - ❖ Faculty representative selected by the Provost
- ❖ Faculty representative selected by the faculty governing body
 - ❖ General Counsel representative, *Ex officio*

- *FPU-2.001 Admission to the University and Appeal Process-General link*
- *FPU-2.008 Graduate Admissions link*

University Financial Aid Committee

The purpose of the University Financial Aid Committee is to discuss, recommend, and create policies, procedures, and regulations that are necessary in servicing financial aid to all Florida Polytechnic students. The Financial Aid Committee is charged with reviewing student financial aid appeals and rendering final decisions. The committee also assists in developing and implementing various financial aid programs that assist Florida Polytechnic students with costs of attending the University.

Committee Membership:

- ❖ Director, Financial Aid (Chair), *Ex officio*
- ❖ Vice Provost, Enrollment & Student Development, *Ex officio*
 - ❖ Two (2) Finance representatives, *Ex officio*
 - ❖ Admissions representative, *Ex officio*
 - ❖ Student Development representative, *Ex officio*
- ❖ Assistant Director, Treasury Management, *Ex officio*
 - ❖ University Budget Officer, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body

- The Financial Aid Policy Committee recommends university policy on matters relating to financial aid; recommends specific financial aid program objectives in support of the University's master plan; and facilitates the conduct of financial aid activities.

- ***FPU-7.002 Student Financial Aid link***
- ***FPU-7.0021P Financial Aid Appeals link***

APPENDIX A

University Continuity of Operations Planning Committee (COOP)

The University Continuity of Operations Planning Committee is responsible to plan for emergency activity associated with natural and man-made events which may interrupt normal operations of the campus. The COOP Committee will work in concert with the National Incident Management System procedures.

Committee Membership:

- ❖ Chief of Police (Chair), *Ex officio*
- ❖ Director, Facilities & Safety Services, *Ex officio*
- ❖ Two (2) Technology Services representatives, *Ex officio*
 - ❖ FIPR representative, *Ex officio*
 - ❖ Lab Technician, *Ex officio*
- ❖ Executive Director, Auxiliary and Business Services, *Ex officio*
 - ❖ Human Resources representative
 - ❖ Director, Marketing & Communications, *Ex officio*
- ❖ Facilities and Safety Services representative, *Ex officio*
 - ❖ General Counsel representative, *Ex officio*
- ❖ Vice Provost, Enrollment & Student Development, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body

University Property Surplus Committee

The purpose of the University Surplus Property Committee is to establish and maintain a uniform process that will aid in certifying property as surplus and determining the best method for disposing of surplus property.

<p style="text-align: center;">Committee Membership:</p> <ul style="list-style-type: none"> ❖ Procurement representative (Chair), <i>Ex officio</i> ❖ Technology Services representative, <i>Ex officio</i> ❖ Budget & Finance representative, <i>Ex officio</i> ❖ Two (2) Facilities & Safety Services representatives, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Human Resources representative, <i>Ex officio</i> ❖ Admissions representative, <i>Ex officio</i> ❖ University Lab Technician, <i>Ex officio</i> ❖ Faculty representative selected by the faculty governing body
<p style="text-align: center;">➤ <i>FPU-8.0041P Surplus Property Policy</i></p> <p style="text-align: center;">➤ <i>FPU-8.0042P Disposition of Lost or Abandoned Personal Property</i></p>

APPENDIX A

University Safety Committee
<p><i>The purpose of the University Safety Committee is to conduct an ongoing systematic review of safety and security conditions throughout the University; to regularly review community safety/security concerns and evaluate accident and “near miss” incident reports to promote safety through a comprehensive safety education/training program for all employees, students and visitors to university facilities; to promote compliance with federal/state/local regulations and industry standards regarding health and safety; and to make monthly recommendations to the President’s Cabinet for the maintenance and improvement of a safe and healthy environment throughout the University and its affiliated properties.</i></p>
<p style="text-align: center;">Committee Membership:</p> <ul style="list-style-type: none"> ❖ Director, Environmental Health & Safety (Chair), <i>Ex officio</i> <ul style="list-style-type: none"> ❖ University Chief of Policy, <i>Ex officio</i> ❖ Representative from Academic Success Services, <i>Ex officio</i> ❖ Executive Director, Auxiliary & Business Services, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ University Lab Technician, <i>Ex officio</i> ❖ Facilities & Safety Services representative, <i>Ex officio</i> ❖ Two (2) Technology Services representatives, <i>Ex officio</i> ❖ Marketing & Communications representative, <i>Ex officio</i> <ul style="list-style-type: none"> ❖ Human Resources representative, <i>Ex officio</i> ❖ Faculty Representative selected by the faculty governing body
<p style="text-align: center;">➤ <i>FPU-9.0042P Campus Environmental Health & Safety</i></p>

University Tuition & Fee Appeals Committee

The purpose of the University Fee Appeals Committee is to review and determine to approve or reject appeals from students who wish to appeal their late registration fee, late payment fee, or repeat course surcharge.

Committee Membership:

- ❖ Assistant Director, Treasury Management (Chair), *Ex officio*
 - ❖ Assistant Director, Financial Aid, *Ex officio*
 - ❖ University Registrar, *Ex officio*
 - ❖ Admissions representative, *Ex officio*
 - ❖ Student Development representative, *Ex officio*
 - ❖ Academic Success Services representative, *Ex officio*
- ❖ Faculty representative selected by the faculty governing body

- *FPU-4.001 Tuition and Related Fees Schedule*
- *FPU-4.002 Waiver of Tuition and Fees*
- *FPU-4.003 Special Fees, Fines and Charges*
- *FPU-4.004 Procedure for Payment, Waiver, and Refund of Tuition, Fees, Fines, and Penalties*
- *FPU-4.005 Student Withdrawal from Courses due to Military Service*
- *FPU-4.006 Third Time Repeat Course Fee Exception*

University Employee Activities Committee

The purpose of the University Employee Activities Committee (EAC) is to coordinate and promote enjoyable and rewarding activities, programs, and services for Florida Polytechnic faculty, staff, and their families. Their mission is to facilitate employee interaction and enhance and sustain employee morale.

Committee Membership:

- ❖ Eleven (11) staff representatives selected by the President
- ❖ One (1) faculty representative selected by the faculty governing body

APPENDIX B

Florida Polytechnic University Faculty Assembly Constitution and Bylaws

Constitution

Article 1. Purpose

The purpose of the Florida Polytechnic University Faculty Assembly is to ensure effective shared governance between the university's administration and faculty in all matters related to instruction, curriculum and program development, faculty hiring, research, academic advising, and other areas related to the university's academic mission. The assembly provides a collegial forum for open communication among faculty and between faculty and administration and advises the administration in all academic matters. The assembly is committed to promoting academic freedom, academic rigor, constructive dialogue, and the professional development of the faculty. The assembly is also committed to furthering the university's mission to prepare 21st century learners in advanced fields of science, technology, engineering, and mathematics (STEM) to become innovative problem-solvers and high-tech professionals through interdisciplinary teaching, leading-edge research, and collaborative local, regional and global partnership.

Article 2. Membership

Voting members of the faculty include all full-time professors, instructors, and librarians. Non-voting members include part-time professors, adjunct instructors, visiting professors, administrators with faculty appointments, the university president, the provost, and the registrar. The faculty assembly may admit other categories of faculty as voting members via the ratification of bylaws.

Article 3. Officers

Section 1. Eligibility

To be eligible to serve as an officer in the faculty assembly, an individual must be a voting member of the assembly. See Article 2. An individual may not serve concurrently in more than one faculty assembly office.

Section 2. Terms of Service

The terms of service for all officers will extend from the day after the end of the spring semester's final exams to the last day of the spring semester's final exam two years after the beginning of their term.

Section 3. Offices

The membership shall, every two years, elect by secret ballot a chair-elect. Upon the completion of a two year term as chair-elect, the chair-elect will become the chair. Upon the completion of a two year term as chair, the chair will become the past-chair.

Section 4. Executive Council

The executive council will consist of all of the officers of the faculty assembly.

Section 5. Faculty Advisory Council

The officers of the faculty assembly will serve on the Faculty Advisory Council.

Article 4. The Faculty Advisory Council Department Representatives

Section 1. Definition

Each academic department will elect one representative to serve on the Faculty Advisory Council.

Section 2. Eligibility

To be eligible to serve as a Faculty Advisory Council department representative, an individual must be a voting member of the assembly. See Article 2. A Faculty Advisory Council Department representative may not concurrently serve as chair-elect, chair, or ex-chair. A Faculty Advisory Council Department representative may serve consecutive terms.

Section 3. Terms of Service

The terms of service for Faculty Advisory Council Department Representatives will extend from the day after the end of the spring semester's final exams to the last day of the spring semester's final exam one year after the beginning of their term.

Article 5. Referenda, Recall, and Overrule*Section 1. Referenda*

A referendum on any faculty governance issue may be initiated by a majority vote of the Faculty Advisory Council or by petition of 30% of the voting membership. A referendum must be held within thirty days. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership. The membership shall resolve the issue through a fair and secret vote.

Section 2. Recall of Faculty Assembly Officers

A recall of a Faculty Assembly officer may be initiated by a majority vote of the Faculty Advisory Council or by petition of 30% of the voting membership. A recall election must be held within thirty days of one of these two actions. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership. The membership shall resolve the issue through a fair and secret vote.

Section 3. Recall of Faculty Advisory Council Department Representatives

A recall of a Faculty Advisory Council department representative may be initiated by a majority vote of the Faculty Advisory Council or by petition of 40% of that department's membership. A recall election must be held within thirty days of one of these two actions. During this period of time the Faculty Advisory Council shall guarantee ample opportunity for the pro and con arguments to be communicated to the membership from that department. That department's membership shall resolve the issue through a fair and secret vote.

Section 4. Overrule by Faculty Assembly

The Faculty Assembly may, by majority vote at a Faculty Assembly meeting at which a quorum is present, overrule any decision made by the Faculty Advisory Council.

Article 6. Amendment to the Bylaws

The Faculty Advisory Council, 20% of the Faculty Assembly voting members (by petition), or a majority of the attending members at any Faculty Assembly meeting may propose amendments to the bylaws. The proposed changes shall then be sent to the membership thirty days before a vote. Ratification of the proposed change(s) requires approval of a majority of those voting.

Article 7. Amendment to the Constitution

The Faculty Advisory Council, 30% of the Faculty Assembly voting members (by petition), or a majority of the attending members at any Faculty Assembly meeting may propose amendments to the constitution. The proposed changes shall then be sent to the membership thirty days before a vote. Ratification of the proposed change(s) requires approval of two-thirds of those voting.

Article 8. Compliance

The provisions of this Constitution shall not be construed in any manner so as to conflict with federal laws, the laws of the State of Florida, the policies of the Board of Governors of the State University System of Florida system, or the policies of the Board of Trustees.

Florida Polytechnic University Faculty Assembly BylawsArticle 1. Rules of Order

Section 1. Roberts Rules of Order, Revised, shall govern in all cases not governed by the Constitution and Bylaws.

Section 2. Quorum for the Faculty Advisory Council shall be a majority of the Faculty Advisory Council membership. If quorum is not achieved, business shall be deferred to a subsequent Council meeting. At that subsequent Council meeting, actions may be approved by a majority of the members of the Council who are present.

Section 3. Quorum for the Faculty Assembly will be 30% or more of voting members of the Faculty Assembly.

Article 2. Committees

Section 1. Standing Committees shall be:

1. Undergraduate Curriculum Committee
2. Graduate Studies Committee
3. Committee on Committees
4. Faculty Handbook Committee
5. Academic Standards Committee
6. Faculty Professional Interests Committee

Section 2. The chair with the consent of the Faculty Advisory Council may create special committees when needed. The chair shall determine if the membership of these committees is appointed or elected.

Article 3. Membership of the Standing Committees

Section 1: Undergraduate Curriculum Committee.

The University Undergraduate Curriculum Committee is a university wide committee managed by the Faculty Assembly. The faculty membership shall consist of one representative from each academic department. The non-faculty members of the committee shall be as provided in the faculty handbook, as determined by consultation between the provost and the faculty.

Section 2: Graduate Studies Committee

The University Graduate Studies Committee is a university wide committee managed by the Faculty assembly. The faculty membership shall consist of one representative from each academic department directly associated with a graduate degree program or concentration thereof and one member representing the interests of other academic departments. The non-faculty members of the committee shall be as provided in the faculty handbook, as determined by consultation between the provost and the faculty.

Section 3: Committee on Committees

The membership of the Committee on Committees shall consist of three representatives serving on the Faculty Advisory Council, determined by the Faculty Advisory Council, and the Chair-Elect who will chair the committee.

Section 4: Faculty Handbook Revision Committee

The membership of the Faculty Handbook Revision Committee shall consist of the four members of the Faculty Advisory Council not serving on the Committee on Committees and the Past-Chair, who will chair the committee.

Section 5: Academic Standards Committee

The membership of the Academic Standards committee shall consist of one faculty member from each Academic Department Grouping defined for that year by the Committee on Committees.

Section 6: Faculty Professional Interests Committee

The membership of the Faculty Professional Interests committee shall consist of one faculty member from each Academic Department Grouping defined for that year by the Committee on Committees.

Article 4. Duties of the Standing Committees*Section 1: Undergraduate Curriculum Committee*

The Undergraduate Curriculum Committee oversees all matters relating to undergraduate curriculum and instruction. The committee initiates, evaluates, monitors and recommends policies and procedures related to curricula and teaching techniques to the faculty and administration. The committee provides a directional force for the planning, development, approval, and implementation of new academic curricula; and for the review, evaluation, approval, and disposition of existing curricula.

Section 2: Graduate Studies Committee

The purpose of the University Graduate Studies Committee is to review and make recommendations as to academic policies and standards related to graduate curriculum including approval of any new graduate programs or major changes to existing programs, graduate program monitoring and evaluation, graduate admissions requirements, graduate teaching and research assistantships, criteria for and appointment to the graduate faculty and other matters of importance pertaining to graduate education and programs.

Section 3: Committee on Committees

1. Contingent on the approval of a majority of the Faculty Advisory Council, group existing academic departments in to Academic Department Groups for purposes of membership of standing committees not otherwise determined. The purpose is to keep committee size and the number of committee assignments held by individual faculty members manageable while assuring even representation of the perspectives of different departments on committees of the faculty. The groupings should take into consideration department size and similarity of disciplines.
2. Subject to approval of the Faculty Advisory Council, determine which faculty seats on university committees that are to be filled by Faculty Assembly election and which by appointment.
3. Solicit nominations for open committee seats to be filled by election.
4. Subject to approval of the Faculty Advisory Council, determine the process by which elections for open committee seats will proceed each academic year. All such elections must be by secret ballot. This process must be proposed to the Faculty Advisory Council by February 1 to allow for consideration, possible revisions, and approval of a final process by the opening of nominations on March 15.
5. Solicit faculty preferences for appointed committee seats.
6. Subject to approval of the Faculty Advisory Council, make appointments to university committee seats with the goal of balancing individual committee workloads and faculty preferences.
7. Ensure each committee selects a chair in a timely way where applicable.
8. Ensure information flows appropriately between the committees and the Faculty Assembly, the Faculty Advisory Council, and the academic departments.

Section 4: Faculty Handbook Revision Committee

Each year the Faculty Handbook Revision Committee will conduct a comprehensive review of the Faculty Handbook, solicit input from the faculty as a whole on the handbook through the Faculty Advisory Council department representatives, and prepare a list of suggested revisions which, with the approval of a majority of the Faculty Advisory Council, will be forwarded as recommendations to the University Academic Policies and Procedures Committee. This activity shall be conducted in accord with the timeline for the revision established in the Faculty Handbook.

Section 5: Academic Standards Committee

The Academic Standards Committee advised the administration and the faculty in order to ensure educational goals, standards, assessment, and outcomes are consistent with Florida Polytechnic University's mission. The committee initiates, evaluates, and recommends policies and procedures related to academic standards, suspensions, dismissals, grade appeals, and the awarding of academic honors and prizes.

Section 6: Faculty Professional Interests Committee

The Faculty Professional Interests Committee advises the administration and the faculty on matters of academic freedom, standards of professional faculty conduct, professional development, resources needs, evaluation, promotion, hiring, and related matters insofar as these matters affect the professional interests of the faculty.

Article 5. Duties of Officers, the Executive Council, and the Faculty Advisory Council*Section 1. Chair*

The chair of the faculty assembly serves a two-year term. The chair may serve other terms but they may not be contiguous. In the event that the chair resigns or is unable to finish the term, the chair-elect becomes chair. The chair becomes the past-chair at the end of the chair's term. The chair has five primary areas of responsibility:

- 1) The chair convenes and presides over faculty assembly meetings.
- 2) The chair convenes and presides over faculty advisory council meetings.
- 3) The chair serves as a trustee on Florida Polytechnic University's Board of Trustees.
- 4) The chair communicates the concerns and goals of the faculty assembly to the administration in regular leadership meetings with the president and provost.
- 5) The chair calls and presides over meetings of the executive council.

Section 4. Chair-Elect

The chair-elect serves a two-year term. Any voting member of the faculty assembly may serve as the chair-elect except for the current chair. The chair-elect becomes the chair at the end of the chair-elect's term. The chair-elect convenes and presides over faculty assembly, faculty advisory, and executive council meetings when the chair is absent. The chair-elect attends regular leadership meetings with the president and the provost.

Section 5. Past-Chair

The past-chair serves a two year term. The past-chair advises the chair on all matters pertaining to the chair's duties. The past-chair may attend regular leadership meetings with the president and provost.

Section 6. The Executive Council

The purpose of the executive council is to provide a forum for the officers of the faculty assembly to discuss matters and make decisions that do not require the consent of the full faculty assembly or the Faculty Advisory Council. These matters and decisions include, but are not limited to, setting the agenda for Faculty Advisory Council and Faculty Assembly meetings, cancelling or calling such meetings, and setting items to discuss with the administration. The council will meet as frequently as the chair deems necessary.

Section 7. The Faculty Advisory Council

The purpose of meetings of the Faculty Advisory Council is to discuss and vote on issues related to shared governance; to discuss, consider, and vote on proposals made by the standing committees; and to address other relevant issues that impact the faculty.

Article 7. Meetings

Section 1. Faculty Assembly

At least one Faculty Assembly meeting must be held during both the fall and spring semesters. The exact date should be fixed by the Faculty Advisory Council. Special meetings shall be called by the President within two weeks upon petition of at least 20% of the Faculty Assembly's members.

Section 2. Faculty Advisory Council

The Faculty Advisory Council shall hold regular meetings during the fall and spring semesters of the academic year at a frequency deemed necessary to conduct council business, but at least once per month. Special meetings may be called by the Chair or by a majority of the Faculty Advisory Council.

Section 3. Announcement

The officers of the Faculty Assembly will publicize Faculty Assembly and Faculty Advisory Council meetings at least one week prior to the meeting.

Section 4. Open Meetings

All Faculty Assembly and Faculty Advisory Council meetings are open to interested members of Florida Polytechnic University's administration, staff, and students.

Article 8. Elections

Section 1. Regular Elections

- a. Elections for the chair, Faculty Advisory Council department representatives, and standing committee members to begin service during the summer preceding the next academic year must be held by the last day of classes but no earlier than April 1. The chair, in consultation with the executive council, will schedule the elections.
- b. The chair will solicit nominations for chair, Faculty Advisory Council department representatives, and committee members beginning on March 15. Nominations will continue until the day before the meeting at which voting will occur. Any member of the assembly may nominate. Self-nominations will be accepted.
- c. Voting for chair
 - i. Voting will take place in a Faculty Assembly meeting.
 - ii. Voting will be by secret ballot.
 - iii. Votes will be counted immediately. Vote counting will be undertaken by the members of the Executive Council with the assistance of any voting member the chair might wish to designate. Vote counting will take place in full view of the assembled faculty.
 - iv. To be elected chair-elect a candidate must receive a majority of the votes cast for the given position. If no candidate receives a majority in the first ballot, runoffs will be held immediately between the two candidates receiving the most votes. If a tie means that three or more candidates finish in the top two positions, all these candidates will be included in the runoff election. If a tie persists after three rounds of voting, the winner will be determined by coin toss.

- d. Voting for committee members
 - i. The process for voting for committee members will be determined by the Committee on Committees.
 - ii. All such elections must be by secret ballot.
- e. Voting for Faculty Advisory Council department representatives
 - i. Voting will take place in a department meeting convened either by the department chair or by the Faculty Advisory Council for the purpose of this vote.
 - ii. Voting will be by secret ballot.
 - iii. Votes will be counted immediately. Vote counting will be undertaken by at least two members of the department. Vote counting will take place in full view of department members. Any member of the department may inspect the ballots.
 - iv. To be elected a candidate must receive a majority of the votes cast. If no candidate receives a majority in the first ballot, runoffs will be held immediately between the two candidates receiving the most votes. If a tie means that three or more candidates finish in the top two positions, all these candidates will be included in the runoff election. If a tie persists after three rounds of voting, the winner will be determined by coin toss.

Section 2. Special Elections

- a. Chair-elect and Committee Seats

If an office or committee seat is left vacant, the chair will call a special election to fill the remainder of the vacant office or committee seat's term provided at least four months remain in the term. This special election will be held at the next regularly scheduled faculty assembly meeting, and nominations will be solicited beforehand. Nominations must be open for at least one week prior to the vote. If the period between the vacating of the office and the next regularly scheduled faculty assembly meeting is less than a week, the special election will be held at the second regularly scheduled faculty assembly meeting after the office is vacated. Voting during a special election should follow the rules laid out in Article 8, Section 1.
- b. Faculty Advisory Committee Department Representative

If a Faculty Advisory Committee department representative seat is left vacant, the chair will call a special election to fill the remainder of the vacant seat's term provided at least four months remain in the term. This special election will be held at a department meeting called by the chair or the chair of the Faculty Assembly. Nominations must be open for at least one week prior to the vote. Voting during a special election should follow the rules laid out in Article 8, Section 1.

FOUR YEAR GRADUATION RATE 2018 IMPROVEMENT PLAN



UNIVERSITY NAME

This appendix subcomponent of the 2018 Accountability Plan is in response to the “Florida Excellence in Higher Education Act of 2018” that revised section 1001.706(5), Florida Statutes, to require each university board of trustees to submit a comprehensive proposal to improve undergraduate four-year graduation rates to the Board of Governors for implementation beginning in the fall of 2018 academic semester.

1. Identify academic, financial, policy, and curricular incentives and disincentives for timely graduation. [1 page max]

The University engages in several efforts intended to support the four-year graduation rate:

Academic & Policy/Procedure

1. Close tracking of FTIC cohort, priority advising and registration.
2. Academic Success Center focused on advising every student on their best pathway to graduation.
3. Automatic registration of incoming FTIC and transfers to ensure that they start on the correct degree path.
4. Demand-based registration: provides seats for on-track classes based on need, not teaching capacity
5. Trailer sections: provides off-cycle delivery of “gateway” courses to allow students to recover from class withdrawals and failures
6. Summer Session: summer delivery of courses arranged to provide a pathway to “catch-up” for students that get off-track.
7. Developing 3-year course rotation to assist in planning that includes repair pathways and summer fast-lanes.
8. The Enrollment Management committee identifies and recommends major and minor initiatives and actions for implementation, monitors their progress and reports results/findings, identifies gaps and integrates processes into the university's ongoing continuous efforts to increase retention and graduation rates.

Curricular

1. Common Freshman Year (CFY): for nearly all majors the freshman year of required courses is the same, creating peer cohorts and providing students time to acclimate to our rigorous STEM curriculum without having the burden of potential lost credit if they change majors. Within this CFY is a sequence of courses, called the Foundations Sequence, an 8-hour block of credit spread evenly over fall and spring designed to accomplish the following:
 - a. Introduce core knowledge, skills, and abilities that are technical, practical, and professional in nature, including teamwork, project management, collaboration, communication, and critical thinking;
 - b. Establish appropriate Florida Poly dispositions—code of work ethic and habits of mind appropriate to STEM exploration;
 - c. Foster campus enculturation through co-curricular engagement and career positioning and exploration.
2. Developing and implementing policies and practices to ensure timely feedback to students and early-alert systems.

FOUR YEAR GRADUATION RATE
2018 IMPROVEMENT PLAN



UNIVERSITY NAME

2. Outline the implementation of a proactive financial aid program to enable full-time students with financial need to take at least 15 credit hours in the fall and spring semesters. [1 page max]

Financial aid program to enable full time students with financial need to take at least 15 credit hours in the fall and spring semesters

1. Aid packages to incentivize students to limit work during the school year to 20 hours or less.
2. Proactive Financial Aid Literacy Counseling to support students' self-assessment and options for resolving unmet need.
3. Florida Student Assistance Grant (FSAG):
 - a. Active counseling of student to use FSAG to supplement their aid.
 - b. Utilize FSAG to support 4-Year Graduation Incentive Program: designed to encourage qualifying students to take a full fifteen credits in fall and spring semesters with summer support included. Eligibility based on satisfactory academic progress, qualifying GPA, and other factors. Awardees must have completed a FAFSA and will need to sign a Memorandum of Understanding, including a 4 year course completion plan. Priority given to upperclassmen who are on-track to graduate in four years but have unmet financial need.

FOUR YEAR GRADUATION RATE
2018 IMPROVEMENT PLAN



UNIVERSITY NAME

3. The signature below of the Chair of the university board of trustees certifies that the information in this plan is true and correct to the best of my knowledge and that the board of trustees provides assurances that there will be no increased cost to students associated with the above plans, per Section 1001.706(5) of the Florida Statutes.

Certification: _____
(Chair, University of Board of Trustees)

Date: _____



Board of Trustees Audit & Compliance Committee Meeting

Tuesday, May 22, 2018
3:15 PM-4:15 PM
(or upon conclusion of previous Committee meeting)

Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805

Cliff Otto, Chair
Dr. Richard Hallion

Don Wilson, Vice-Chair
Gary Wendt

Mark Bostick
Dr. Louis Saco

AGENDA

- | | |
|---|-------------------|
| I. Call to Order | Cliff Otto, Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Cliff Otto, Chair |
| IV. Approval of the February 28, 2018 Minutes
Action Required | Cliff Otto, Chair |
| V. 2016-18 Audit and Compliance Committee Work Plan Review | Cliff Otto, Chair |
| VI. Audit & Compliance Update | David Blanton |
| VII. University Financial Audit – FYE 6/30/17
Action Required | David Blanton |
| VIII. Foundation Financial Audit – FYE 6/30/17
Action Required | David Blanton |
| IX. University Compliance & Ethics Program Plan
Action Required | David Blanton |
| X. Enterprise Risk Management (ERM) Workshop | David Blanton |
| XI. Closing Remarks and Adjournment | Cliff Otto, Chair |

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
AUDIT & COMPLIANCE COMMITTEE
MEETING MINUTES**

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

February 28, 2018 @ 8:30 AM

I. Call to Order

Committee Chair Cliff Otto called the Audit and Compliance Committee meeting to order at 8:30 a.m.

II. Roll Call

Maggie Mariucci called the roll: Committee Chair Cliff Otto, Trustee Mark Bostick, Trustee Louis Saco, and Trustee Gary Wendt were present and a quorum was declared.

Other trustees present: Board Chair Frank Martin, Trustee Henry McCance, Trustee Philip Dur, Trustee Jacob Livingston, and Trustee Bob Stork were present.

Staff present: President Randy Avent, Mr. Kevin Aspegren, Ms. Gina DeIulio, Mr. Mark Mroczkowski, Dr. Terry Parker, Mrs. Maggie Mariucci, Mr. David Blanton and Mr. Rick Maxey.

III. Public Comment

There were no requests for public comment.

IV. Approval of Minutes

Trustee Gary Wendt made a motion to approve the Audit and Compliance Committee meeting minutes of December 6, 2017. Trustee Mark Bostick seconded the motion; a vote was taken, and the motion passed unanimously.

V. 2016-2018 Audit and Compliance Committee Work Plan

Mr. David Blanton presented the revised Audit & Compliance Work Plan.

Trustee McCance made a motion to approve the revised 2016-2018 Audit and Compliance Committee Work Plan. Trustee Livingston seconded the motion; a vote was taken and the motion passed unanimously.

VI. Audit and Compliance Update

Mr. Blanton gave an update on the external and financial audits. The fieldwork for the operational audit is complete. The federal financial audit will be released by March 31, 2018. There were no findings in the financial audit and Trustee Otto and David Blanton will attend an exit conference later

this afternoon. The fieldwork for a Bright Futures audit has been completed. The Foundation financial audit will be presented at the May board meeting.

The fieldwork is just beginning for an internal sponsored research audit. This will ensure compliance with policies and procedures.

Mr. Blanton also reported that a compliance hotline is now in place.

VII. Closing Remarks and Adjournment

With no further comments, the meeting adjourned at 8:44 a.m.

DRAFT

Florida Polytechnic University
Audit & Compliance Committee
Work Plan 2016-2018

March 15, 2017	June 7-8, 2017	September 13, 2017	December 6, 2017
<ul style="list-style-type: none"> • New BOG Audit & Compliance regulations workshop • Adopt BOT regulation in conformance with BOG 	<ul style="list-style-type: none"> • Risk Assessment workshop 	<ul style="list-style-type: none"> • UAC short-term work plan 	<ul style="list-style-type: none"> • UAC 2016-17 Annual Report • UAC 2017-18 Risk Assessment/Activity Plan • FIPRI payroll review • BOG Survey, Certification, and Checklist
February 28, 2018	May 22-23, 2018	September 5, 2018	December 5, 2018
<ul style="list-style-type: none"> • Audit & Compliance Update 	<ul style="list-style-type: none"> • Audit & Compliance Update • University Financial Audit – FYE 6/30/17 • University Operational Audit • University Compliance & Ethics program plan • Enterprise Risk Management (ERM) workshop • Foundation Financial Audit – FYE 6/30/17 	<ul style="list-style-type: none"> • Audit & Compliance Update • UAC 2017-18 Annual report • UAC 2018-19 Risk Assessment/Activity Plan 	<ul style="list-style-type: none"> • Audit & Compliance Update • University Financial Audit FYE 6/30/18 • Foundation Financial Audit FYE 6/30/18

AGENDA ITEM: VI

**Florida Polytechnic University
Audit and Compliance Committee
Board of Trustees
May 22, 2018**

Subject: Audit and Compliance Update

Proposed Committee Action

No action required.

Background Information

David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will provide the Committee with an update of all University and Foundation audit activity including (1) the University Financial Audit for the fiscal year ended 6/30/17 (2) the University Operational Audit conducted by the Auditor General for the audit period 1/1/16 to 3/31/17 (3) the Foundation Financial Audit for the fiscal year ended 6/30/17 (4) the University Compliance & Ethics Program Plan for the fiscal year ending 6/30/18 (5) an Enterprise Risk Management workshop and (6) other audit & compliance activities currently in progress.

Supporting Documentation: Supporting documentation located in the presentation prepared for the Audit and Compliance Committee.

Prepared by: David A. Blanton, CAE/CCO



FLORIDA POLYTECHNIC
UNIVERSITY

Audit & Compliance Update

David A. Blanton, CPA



- **External Audits**
 - University Financial Audit (FYE 6/30/17)
 - Foundation Financial Audit (FYE 6/30/17)
- **Compliance Program**
- **Enterprise Risk Management**
- **University Audit & Compliance Update**

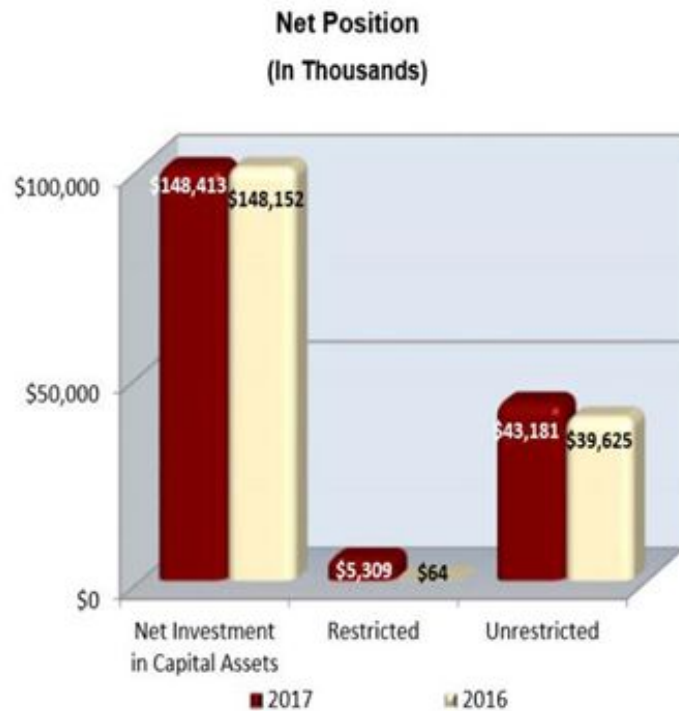


University Financial Audit

- **Fiscal year ended June 30, 2017**
- **Unqualified opinion**
- **No deficiencies in internal control or noncompliance cited**



University Net Position Changes



- **Net investment in capital assets (slight increase)**
- **Restricted net position increased (\$5.3 M)**
- **Unrestricted net position increased (\$3.5 M)**



University Financial Audit

Condensed Statement of Revenues, Expenses, and Changes in Net Position
For the Fiscal Years
 (In Thousands)

	<u>2016-17</u>	<u>2015-16</u>
Operating Revenues	\$ 8,502	\$ 6,167
Less, Operating Expenses	<u>46,387</u>	<u>43,398</u>
Operating Loss	(37,885)	(37,231)
Net Nonoperating Revenues	<u>40,064</u>	<u>36,221</u>
Income (Loss) Before Other Revenues	2,179	(1,010)
Other Revenues	<u>6,883</u>	<u>35</u>
Net Increase (Decrease) In Net Position	<u>9,062</u>	<u>(975)</u>
Net Position, Beginning of Year	<u>187,841</u>	<u>188,816</u>
Net Position, End of Year	<u><u>\$ 196,903</u></u>	<u><u>\$ 187,841</u></u>

- **Operating revenues increased (auxiliary & student tuition fees)**
- **Operating expenses increased (staffing & related growth)**
- **Nonoperating revenues increased (Financial aid, State appropriations)**
- **Other revenues increased (capital appropriations)**
- **Net position increased**

ACTION: Recommend approval of the University Financial Audit FYE 6/30/17 to the Board.



Foundation Financial Audit

- **Fiscal year ended June 30, 2017**
- **Unqualified opinion**
- **No deficiencies in internal control or compliance cited**
- **Management letter concerns:**
 - Develop an endowment spending policy
 - Repayment terms for long-term liability to university not approved



Foundation Audit

Statement of Financial Position

Florida Poly Foundation - Statement of Financial Position			
	2017		
CURRENT ASSETS			
Cash	402,511		
Contributions Receivable, Net	1,205,043		
Investments	1,220,851		
Total Current Assets	2,828,405		
LONG-TERM ASSETS			
Investments - Endowment	886,292		
Investments restricted for other long-term purposes	4,257,261		
Contributions Receivable, Net	135,096		
Total Assets \$ 8,107,054	8,107,054		
LIABILITIES AND NET ASSETS			
CURRENT LIABILITIES			
Accounts Payable	32,474		
Due to Florida Polytechnic University	1,207,763	A	
Accrued Liabilities	170,825		
Other Liability	2,750,000		
Total Current Liabilities	4,161,062		
LONG-TERM LIABILITIES			
Other Long-Term Liability	4,698,053	B	
Total Liabilities	8,859,115		
NET ASSETS			
Unrestricted, Undesignated	(2,432,221)		
Temporarily Restricted	840,397		
Permanently Restricted	839,763		
Total Net Assets	(752,061)		
TOTAL LIABILITIES AND NET ASSETS	8,107,054		
A + B =	5,905,816		

- **Deficit net assets balance (\$2.4 M)**
- **Larger liabilities contribute to the deficit**
 - Due to University (\$5.9 M)
 - Donor restricted asset (\$2.75 M)



Foundation Liability to University

NOTE 7 OTHER LONG-TERM LIABILITY

The Foundation has pledged to fund certain scholarships and other expenses for the University. At June 30, 2017, the amounts outstanding pledged for the fiscal year ended June 30, 2016 is \$1,170,000 and the outstanding amount pledged for the year ended June 30, 2017 is \$4,735,816. The Board has agreed to pay the amounts relating to scholarships in equal installments over ten years bearing no interest. Payments for non-scholarship pledges are due in the fiscal year ending June 30, 2018.

Below is a summary of amounts to be paid to the University:

	Amount
2018	\$ 1,207,763
2019	587,257
2020	587,257
2021	587,257
2022	587,257
Thereafter	2,349,025
Total	<u>\$ 5,905,816</u>

- **Currently, repayment extends to 2026**
- **No formal agreement in 2017 for \$4.7M (same terms applied)**



Foundation Audit - Statement of Activities

	Unrestricted	Temporarily Restricted	Permanently Restricted	2017
REVENUES				
Contributions, Net of Allowances and Discounts	\$ 741,544	\$ 416,248	\$ 164,927	\$ 1,322,719
Interest Income	49,020	45,629	-	94,649
In-Kind Salaries	199,351	-	-	199,351
Net Assets Released from Restrictions	737,466	(737,466)	-	-
Total Revenues	<u>1,727,381</u>	<u>(275,589)</u>	<u>164,927</u>	<u>1,616,719</u>
EXPENSES				
Program Services	4,935,740	-	-	4,935,740
Management and General	663,223	-	-	663,223
Fundraising	256,933	-	-	256,933
Total Expenses	<u>5,855,896</u>	<u>-</u>	<u>-</u>	<u>5,855,896</u>
CHANGES IN NET ASSETS	(4,128,515)	(275,589)	164,927	(4,239,177)
NET ASSETS - BEGINNING OF YEAR	<u>1,696,294</u>	<u>1,115,986</u>	<u>674,836</u>	<u>3,487,116</u>
NET ASSETS - END OF YEAR	<u>\$ (2,432,221)</u>	<u>\$ 840,397</u>	<u>\$ 839,763</u>	<u>\$ (752,061)</u>

- **Total revenues (\$1.6M)**
- **Operating expenses \$900K (excluding university support)**
- **\$700K residual**
- **Overall, \$(4.2M deficit) in net assets (equity) for FYE 6/30/17**

ACTION: Recommend approval of the Foundation Financial Audit FYE 6/30/17 to the Board.



- **External Audits**
- **Compliance Program**
 - Compliance & Ethics Program Plan (2018-19)
- **Enterprise Risk Management**
- **University Audit & Compliance Update**



Compliance Program Plan

- **Federal Sentencing Guidelines**
 - Standards, policies, procedures
 - Compliance and Ethics program administration
 - Conduct Controls for employees (background checks)
 - Communication, education and training
 - Monitoring, auditing, and reporting system (hotline)
 - Discipline and incentives
 - Program modifications
- **Program deemed effective**



Compliance Program Plan Key Risks/Focus Areas

- **Federal compliance**
- **Environmental health & safety**
- **Data privacy & cybersecurity**
- **Operational audit compliance follow-up**
- **General compliance/training**
- **Program plan review/investigations**



Compliance Program Evaluations

- **Internal**
 - Based on Federal Sentencing Guidelines, Program deemed effective

- **External**
 - Program needs to operate for a period of time before evaluated
 - An external evaluation not required until November 2021

ACTION: Recommend approval of the University Compliance and Ethics Program Plan to the Board.



- External Audits
- Compliance Program
- **Enterprise Risk Management**
- **University Audit & Compliance Update**



Enterprise Risk Management (ERM)

	<p>Office of the Chancellor 225 West Gaines Street, Suite 1014 Tallahassee, FL 32399 Phone 904-245-3466 Fax 904-245-3466 www.flbog.edu</p>
<p>September 1, 2017</p>	
<p>MEMORANDUM</p>	
<p>To: Chairs, University Boards of Trustees University Presidents</p>	
<p>From: Thomas G. Kuntz, Chair</p>	
<p>Subject: 2017 SUI ERM Practices Survey - Due September 15, 2017</p>	
<p>An important part of governance for higher education is having processes in place to ensure that administrators and boards of trustees identify, assess, manage, and control risks. According to the Society of Corporate Compliance and Ethics, universities are the most regulated industry. This is due to the broad portfolio of risks that universities must manage.</p>	
<p>Enterprise Risk Management (ERM), as used by governing boards and senior administrators, combines traditional risk management, strategic planning, and internal controls. The goal of ERM is to move away from viewing risk in silos, separate and distinct from the university's overall mission. Instead, ERM encourages a more holistic view of risk by considering risks across the university. By adopting this approach, leadership can focus more broadly on the risks most likely to impede the university's achievement of its mission.</p>	
<p>The board of trustees has overall responsibility for ensuring that risks are managed. In practice, the board of trustees delegates the operation of the risk management framework to the management team, who are responsible for its implementation. Everyone in the organization plays a role in ensuring successful ERM, but the primary responsibility for identifying and managing risks lies with management. Done well, ERM identifies potential events that may adversely affect the university and appropriately manages risks within the range of risk tolerance acceptable to each board.</p>	
<p>Florida A&M University Florida Atlantic University Florida Gulf Coast University Florida International University Florida Polytechnic University Florida State University New College of Florida University of Central Florida University of Florida University of North Florida University of South Florida University of West Florida</p>	

14 A Wake-up Call: Enterprise Risk
Management and university governing boards
An effective institutional or ERM
framework, will increase the likelihood that
each university will achieve its

responsibility, the Board of Governors
governs the State University System. I
return the attached 2017 SUI ERM
survey, due September 15, 2017, to our Inspector
General below.

Informing the Board of Governors
Inspector General will summarize and
present findings to the Board and Compliance Committee

We do not hesitate to contact the Board
Inspector General at general@flbog.edu or 850-245-0466.

Chair

Inspector of Compliance



Other Institutions Utilizing an ERM Approach

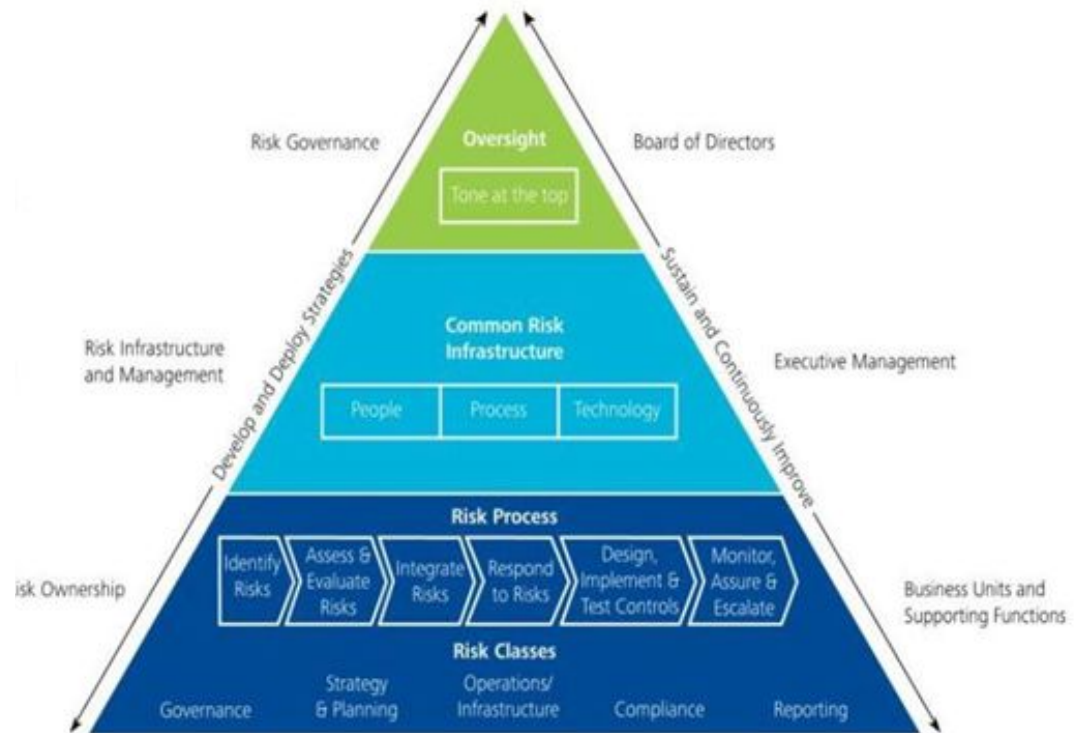
University	Best Practices
FIU	<ul style="list-style-type: none">• Enterprise Risk Management Framework (23-pages)• Executive ERM sponsor
UWF	<ul style="list-style-type: none">• Risk and Compliance Council (with Charter)• Annual risk heat matrix
USF	<ul style="list-style-type: none">• Triennial enterprise-wide risk assessment (2011)• Risk mitigation follow-up in years 2 and 3

Source: BOG Inspector General Presentation



Why ERM?

- **Assists Board in their oversight responsibility for strategic risk**
- **Risk committee would be charged with reporting to the BOT**



Source: BOG Inspector General Presentation



Traditional Risk Management vs. ERM

Traditional Risk Management	Enterprise Risk Management
Segmented	Enterprise-wide
Department-driven risk approach	Board-driven risk approach
Little or no knowledge of overall organizational risks	Broad perspective on overall organizational risk
Focused on preventing loss within the business unit (tactical)	Focused on enhancing value, capitalizing on opportunities, and managing all risks across the entire organization (strategic)
Scope: physical and financial assets	Scope: entire asset portfolio
Siloed risk mitigation	Enterprise-wide risk mitigation

Source: BOG Inspector General Presentation



- **External Audits**
- **Compliance Program**
- **Enterprise Risk Management**
- **University Audit & Compliance Update**



University Audit & Compliance – Progress Status

- **Audit - Sponsored Research Audit**
 - Fieldwork started
 - Report in draft form

- **Compliance**
 - Program plan in place for 2018-19
 - Working with HR and Purchasing to assist with training
 - Intranet page established for Audit & Compliance

AGENDA ITEM: VII.

**Florida Polytechnic University
Audit and Compliance Committee
Board of Trustees
May 22, 2018**

Subject: University Financial Audit – Fiscal Year Ending 6/30/17

Proposed Committee Action

Recommend approval of the Florida Polytechnic University Financial audit conducted by the Auditor General for the fiscal year ended June 30, 2017.

Background Information

In accordance with Section 11.45, Florida Statutes, a financial audit was performed on the University's basic financial statements for the fiscal year ended June 30, 2017 by the Florida Auditor General. David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will present the results of the financial audit to the Committee for their consideration and approval.

Supporting Documentation: Florida Polytechnic University Financial audit report for the fiscal year ended June 30, 2017.

Prepared by: David A. Blanton, CAE/CCO

Report No. 2018-146
March 2018

STATE OF FLORIDA AUDITOR GENERAL

Financial Audit

FLORIDA POLYTECHNIC UNIVERSITY

For the Fiscal Year Ended
June 30, 2017



Sherrill F. Norman, CPA
Auditor General

Board of Trustees and President

During the 2016-17 fiscal year, Dr. Randy K. Avent served as President of Florida Polytechnic University and the following individuals served as Members of the Board of Trustees:

Frank T. Martin, Chair from 7-31-16, Vice Chair through 7-30-16	Dr. Sandra Featherman
Donald H. Wilson, Vice Chair from 7-31-16	Dr. Richard P. Hallion
R. Mark Bostick, Chair through 7-30-16	Jacob Livingston from 4-20-17 ^b
William M. Brown	Henry McCance
Dr. James Dewey from 5-02-17 ^a	Clifford "Cliff" K. Otto
Dr. Christina Drake through 5-01-17 ^a	Veronica Perez Herrera through 4-19-17 ^b
Rear Admiral Philip A. Dur, USN (Ret.)	Robert W. Stork
	Gary C. Wendt from 5-17-17 ^c

^a Faculty Senate Chair.

^b Student Body President.

^c Trustee position vacant through 5-16-17.

The Auditor General conducts audits of governmental entities to provide the Legislature, Florida's citizens, public entity management, and other stakeholders unbiased, timely, and relevant information for use in promoting government accountability and stewardship and improving government operations.

The team leader was Gregory J. Lemieux, CPA, and the supervisor was Mark A. Arroyo, CPA.

Please address inquiries regarding this report to Jaime Hoelscher, CPA, Audit Manager, by e-mail at jaimehoelscher@aud.state.fl.us or by telephone at (850) 412-2868.

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FLORIDA POLYTECHNIC UNIVERSITY

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SUMMARY

SUMMARY OF REPORT ON FINANCIAL STATEMENTS

Our audit disclosed that the basic financial statements of Florida Polytechnic University (a component unit of the State of Florida) were presented fairly, in all material respects, in accordance with prescribed financial reporting standards.

SUMMARY OF REPORT ON INTERNAL CONTROL AND COMPLIANCE

Our audit did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses.

The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards* issued by the Comptroller General of the United States.

AUDIT OBJECTIVES AND SCOPE

Our audit objectives were to determine whether Florida Polytechnic University and its officers with administrative and stewardship responsibilities for University operations had:

- Presented the University's basic financial statements in accordance with generally accepted accounting principles;
- Established and implemented internal control over financial reporting and compliance with requirements that could have a direct and material effect on the financial statements; and
- Complied with the various provisions of laws, rules, regulations, contracts, and grant agreements that are material to the financial statements.

The scope of this audit included an examination of the University's basic financial statements as of and for the fiscal year ended June 30, 2017. We obtained an understanding of the University's environment, including its internal control, and assessed the risk of material misstatement necessary to plan the audit of the basic financial statements. We also examined various transactions to determine whether they were executed, in both manner and substance, in accordance with governing provisions of laws, rules, regulations, contracts, and grant agreements.

An examination of Federal awards administered by the University is included within the scope of our Statewide audit of Federal awards administered by the State of Florida.

AUDIT METHODOLOGY

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and applicable standards contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.



Sherrill F. Norman, CPA
Auditor General

AUDITOR GENERAL STATE OF FLORIDA

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The President of the Senate, the Speaker of the
House of Representatives, and the
Legislative Auditing Committee

INDEPENDENT AUDITOR'S REPORT

Report on the Financial Statements

We have audited the accompanying financial statements of Florida Polytechnic University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2017, and the related notes to the financial statements, which collectively comprise the University's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of the discretely presented component unit, which represent 100 percent of the transactions and account balances of the discretely presented component unit's columns. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for the discretely presented component unit, is based solely on the report of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the

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

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

Opinions

In our opinion, based on our audit and the report of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of Florida Polytechnic University and of its discretely presented component unit as of June 30, 2017, and the respective changes in financial position and, where applicable, cash flows thereof for the fiscal year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matter

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that **MANAGEMENT'S DISCUSSION AND ANALYSIS**, the **Schedule of Funding Progress – Other Postemployment Benefits Plan**, **Schedule of the University's Proportionate Share of the Net Pension Liability – Florida Retirement System Pension Plan**, **Schedule of University Contributions – Florida Retirement System Pension Plan**, **Schedule of the University's Proportionate Share of the Net Pension Liability – Health Insurance Subsidy Pension Plan**, **Schedule of University Contributions – Health Insurance Subsidy Pension Plan**, and **Notes to Required Supplementary Information**, as listed in the table of contents, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued a report dated March 13, 2018, on our consideration of the Florida Polytechnic University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, rules, regulations, contracts, and grant

agreements and other matters included under the heading **INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Florida Polytechnic University's internal control over financial reporting and compliance.

Respectfully submitted,



Sherrill F. Norman, CPA
Tallahassee, Florida
March 13, 2018

MANAGEMENT'S DISCUSSION AND ANALYSIS

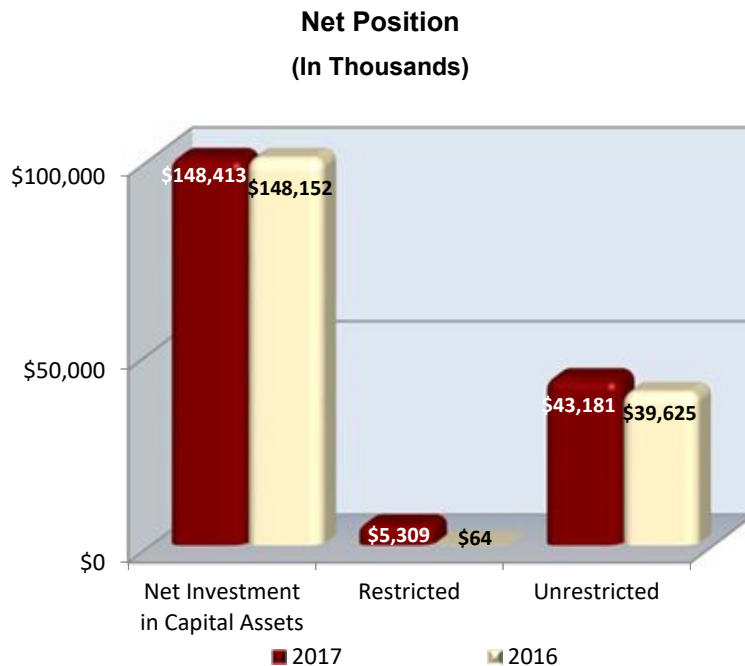
Management's discussion and analysis (MD&A) provides an overview of the financial position and activities of the University for the fiscal year ended June 30, 2017, and should be read in conjunction with the financial statements and notes thereto. The MD&A, and financial statements and notes thereto, are the responsibility of University management. The MD&A contains financial activity of the University for the fiscal years ended June 30, 2017, and June 30, 2016.

FINANCIAL HIGHLIGHTS

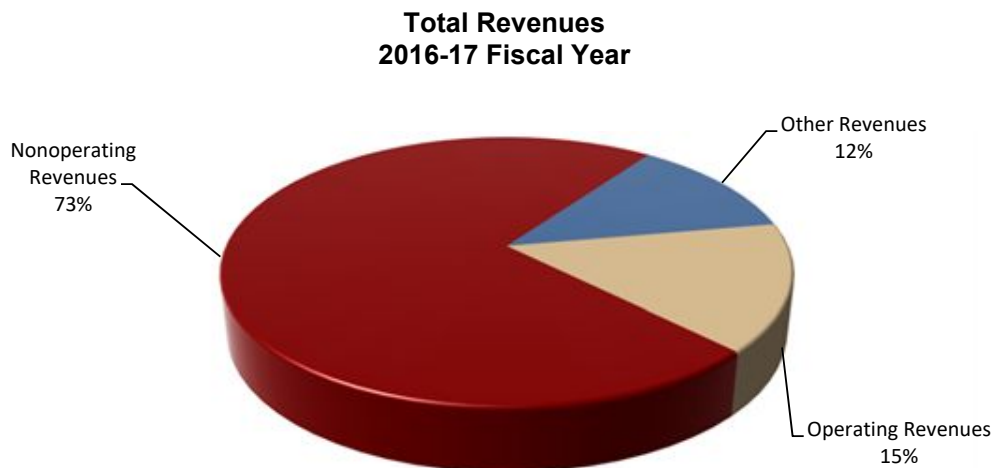
The University's assets and deferred outflows of resources totaled \$219.4 million at June 30, 2017. This balance reflects a \$13.2 million, or 6.4 percent, increase as compared to the 2015-16 fiscal year, resulting from increased investments and receivables from government agencies. While assets and deferred outflows of resources grew, liabilities and deferred inflows of resources increased by \$4.1 million, or 22.6 percent, totaling \$22.5 million at June 30, 2017, resulting from increased net pension liability and amounts due to component unit. As a result, the University's net position increased by \$9.1 million, resulting in a year-end balance of \$196.9 million.

The University's operating revenues totaled \$8.5 million for the 2016-17 fiscal year, representing a 37.9 percent increase compared to the 2015-16 fiscal year due mainly to increases in auxiliary revenues, and grants and contract due to increasing financial aid awards. Operating expenses totaled \$46.4 million for the 2016-17 fiscal year, representing an increase of 6.9 percent as compared to the 2015-16 fiscal year due mainly to additional faculty and staff.

Net position represents the residual interest in the University's assets and deferred outflows of resources after deducting liabilities and deferred inflows of resources. The University's comparative total net position by category for the fiscal years ended June 30, 2017, and June 30, 2016, is shown in the following graph:



The following chart provides a graphical presentation of University revenues by category for the 2016-17 fiscal year:



OVERVIEW OF FINANCIAL STATEMENTS

Pursuant to GASB Statement No. 35, the University's financial report consists of three basic financial statements: the statement of net position; the statement of revenues, expenses, and changes in net position; and the statement of cash flows. The financial statements, and notes thereto, encompass the University and its component unit. Based on the application of the criteria for determining component units, the Florida Polytechnic University Foundation, Inc., is included within the University reporting entity as a discretely presented component unit.

Information regarding the component unit's separately issued financial statements, is presented in the notes to financial statements. This MD&A focuses on the University, excluding the discretely presented component unit.

The Statement of Net Position

The statement of net position reflects the assets, deferred outflows of resources, liabilities, and deferred inflows of resources of the University, using the accrual basis of accounting, and presents the financial position of the University at a specified time. Assets, plus deferred outflows of resources, less liabilities, less deferred inflows of resources, equals net position, which is one indicator of the University's current financial condition. The changes in net position that occur over time indicate improvement or deterioration in the University's financial condition.

The following summarizes the University's assets, deferred outflows of resources, liabilities, deferred inflows of resources, and net position at June 30:

Condensed Statement of Net Position at June 30

(In Thousands)

	<u>2017</u>	<u>2016</u>
Assets		
Current Assets	\$ 50,069	\$ 38,168
Capital Assets, Net	150,917	150,805
Other Noncurrent Assets	<u>11,063</u>	<u>12,305</u>
Total Assets	<u>212,049</u>	<u>201,278</u>
Deferred Outflows of Resources	<u>7,343</u>	<u>4,909</u>
Liabilities		
Current Liabilities	10,581	8,868
Noncurrent Liabilities	<u>11,848</u>	<u>8,800</u>
Total Liabilities	<u>22,429</u>	<u>17,668</u>
Deferred Inflows of Resources	<u>60</u>	<u>678</u>
Net Position		
Net Investment in Capital Assets	148,413	148,152
Restricted	5,309	64
Unrestricted	<u>43,181</u>	<u>39,625</u>
Total Net Position	<u>\$196,903</u>	<u>\$187,841</u>

Assets increased \$10.8 million due primarily to capital appropriations due from the State, and increases in cash and investments as a result of increases in State noncapital appropriations, grants and contracts, and student tuition and fees, and as a result of a noncurrent receivable due from the Foundation.

Deferred outflows of resources increased \$2.4 million primarily due to an increase in projected and actual earnings on Florida Retirement System (FRS) plan investments and changes in the proportionate share of contributions.

Total liabilities increased \$4.8 million primarily as a result of increased net pension liability related to increased staffing levels.

Deferred inflows of resources decreased \$0.6 million primarily due to a reduction in projected and actual earnings on FRS investments.

Net position is reported in three major categories. The first category, net invested in capital assets, provides the University's equity in property, plant and equipment owned by the University. Restricted expendable net position is available for use by the University, but must be spent for purposes as determined by donors or external entities that have placed time or purpose restrictions on the use of the assets. The final category is unrestricted net position and is available for any lawful purpose of the University.

The Statement of Revenues, Expenses, and Changes in Net Position

The statement of revenues, expenses, and changes in net position presents the University's revenue and expense activity, categorized as operating and nonoperating. Revenues and expenses are recognized when earned or incurred, regardless of when cash is received or paid.

The following summarizes the University's activity for the 2016-17 and 2015-16 fiscal years:

Condensed Statement of Revenues, Expenses, and Changes in Net Position For the Fiscal Years

(In Thousands)

	2016-17	2015-16
Operating Revenues	\$ 8,502	\$ 6,167
Less, Operating Expenses	46,387	43,398
Operating Loss	(37,885)	(37,231)
Net Nonoperating Revenues	40,064	36,221
Income (Loss) Before Other Revenues	2,179	(1,010)
Other Revenues	6,883	35
Net Increase (Decrease) In Net Position	9,062	(975)
Net Position, Beginning of Year	187,841	188,816
Net Position, End of Year	<u>\$ 196,903</u>	<u>\$ 187,841</u>

Operating Revenues

GASB Statement No. 35 categorizes revenues as either operating or nonoperating. Operating revenues generally result from exchange transactions where each of the parties to the transaction either gives or receives something of equal or similar value.

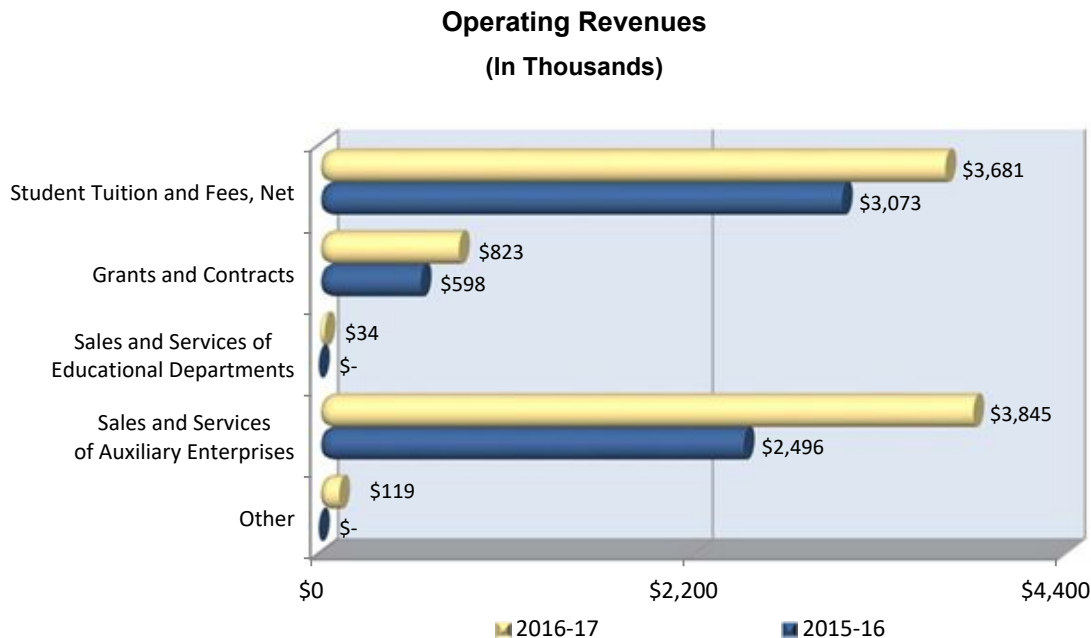
The following summarizes the operating revenues by source that were used to fund operating activities for the 2016-17 and 2015-16 fiscal years:

Operating Revenues For the Fiscal Years

(In Thousands)

	2016-17	2015-16
Student Tuition and Fees, Net	\$ 3,681	\$ 3,073
Grants and Contracts	823	598
Sales and Services of Educational Departments	34	-
Sales and Services of Auxiliary Enterprises	3,845	2,496
Other	119	-
Total Operating Revenues	\$ 8,502	\$ 6,167

The following chart presents the University's operating revenues for the 2016-17 and 2015-16 fiscal years:



University operating revenue changes were the result of the following factors: an increase in sales of auxiliary services from increased bookstore revenues.

Operating Expenses

Expenses are categorized as operating or nonoperating. The majority of the University's expenses are operating expenses as defined by GASB Statement No. 35. GASB gives financial reporting entities the choice of reporting operating expenses in the functional or natural classifications. The University has chosen to report the expenses in their natural classification on the statement of revenues, expenses, and changes in net position and has displayed the functional classification in the notes to financial statements.

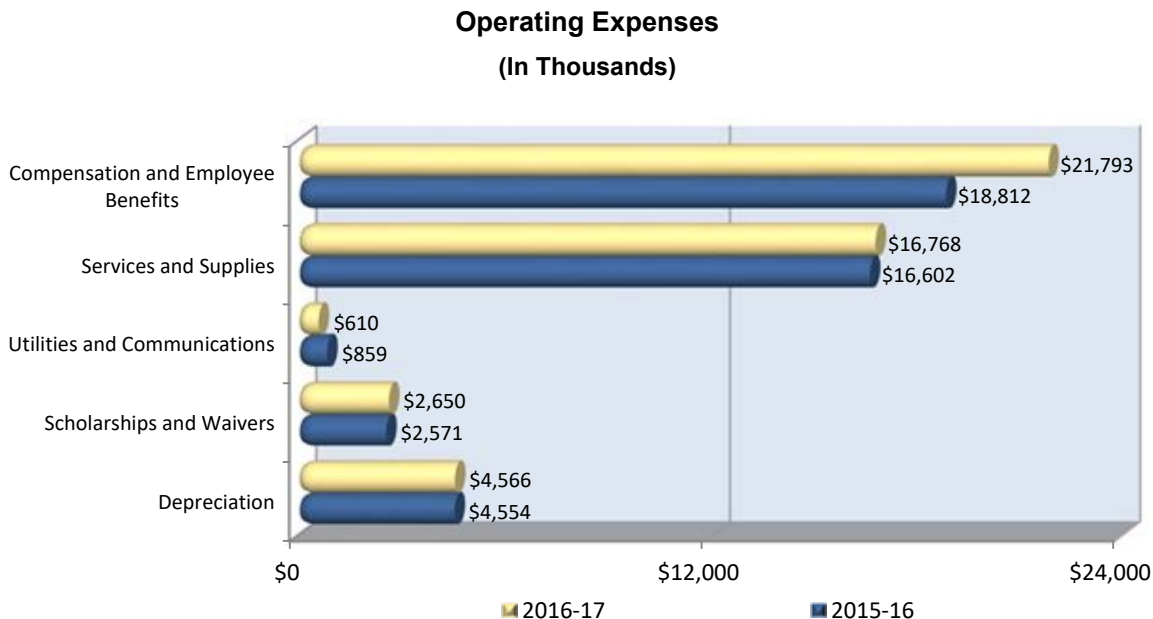
The following summarizes operating expenses by natural classification for the 2016-17 and 2015-16 fiscal years:

Operating Expenses For the Fiscal Years

(In Thousands)

	2016-17	2015-16
Compensation and Employee Benefits	\$ 21,793	\$ 18,812
Services and Supplies	16,768	16,602
Utilities and Communications	610	859
Scholarships and Waivers	2,650	2,571
Depreciation	4,566	4,554
Total Operating Expenses	\$ 46,387	\$ 43,398

The following chart presents the University's operating expenses for the 2016-17 and 2015-16 fiscal years:



Changes in operating expenses were the result of the increase in compensation and benefits due to increased faculty and staff levels.

Nonoperating Revenues and Expenses

Certain revenue sources that the University relies on to provide funding for operations, including State noncapital appropriations, Federal and State student financial aid, and investment income are defined by GASB as nonoperating. Nonoperating expenses include capital financing costs and other costs related to capital assets. The following summarizes the University's nonoperating revenues and expenses for the 2016-17 and 2015-16 fiscal years:

**Nonoperating Revenues (Expenses)
For the Fiscal Years**

(In Thousands)

	<u>2016-17</u>	<u>2015-16</u>
State Noncapital Appropriations	\$ 36,735	\$ 34,073
Federal and State Student Financial Aid	2,972	1,076
Investment Income	699	615
Unrealized Gain (Loss) on Investments	(378)	599
Other Nonoperating Revenues	101	8
Loss on Disposal of Capital Assets	(12)	(98)
Interest on Capital Asset-Related Debt	(53)	(52)
Net Nonoperating Revenues	<u><u>\$ 40,064</u></u>	<u><u>\$ 36,221</u></u>

Net nonoperating revenues increased \$3.8 million primarily due to increased State noncapital appropriations and increased Federal and State Student Financial Aid.

Other Revenues

This category is composed of State capital appropriations and capital grants, contracts, donations, and fees. The following summarizes the University's other revenues for the 2016-17 and 2015-16 fiscal years:

**Other Revenues
For the Fiscal Years**

(In Thousands)

	<u>2016-17</u>	<u>2015-16</u>
State Capital Appropriations	\$ 5,083	\$ 10
Capital Grants, Contracts, Donations, and Fees	1,800	25
Total	<u><u>\$ 6,883</u></u>	<u><u>\$ 35</u></u>

Other revenues increased primarily due to capital contributions from our housing and food service providers and Public Education Capital Outlay (PECO) appropriations recognized this fiscal year for the Applied Research Center.

The Statement of Cash Flows

The statement of cash flows provides information about the University's financial results by reporting the major sources and uses of cash and cash equivalents. This statement will assist in evaluating the University's ability to generate net cash flows, its ability to meet its financial obligations as they come due, and its need for external financing. Cash flows from operating activities show the net cash used by the operating activities of the University. Cash flows from capital financing activities include all plant funds and related long-term debt activities. Cash flows from investing activities show the net source and use of cash related to purchasing or selling investments, and earning income on those investments. Cash flows from noncapital financing activities include those activities not covered in other sections.

The following summarizes cash flows for the 2016-17 and 2015-16 fiscal years:

**Condensed Statement of Cash Flows
For the Fiscal Years**

(In Thousands)

	<u>2016-17</u>	<u>2015-16</u>
Cash Provided (Used) by:		
Operating Activities	\$ (38,522)	\$ (30,596)
Noncapital Financing Activities	41,305	35,196
Capital and Related Financing Activities	(3,063)	(6,285)
Investing Activities	(942)	2,007
Net Increase (Decrease) in Cash and Cash Equivalents	(1,222)	322
Cash and Cash Equivalents, Beginning of Year	1,422	1,100
Cash and Cash Equivalents, End of Year	\$ 200	\$ 1,422

Major sources of funds came from State noncapital appropriations (\$36.7 million), Federal and State student financial aid (\$3 million), net student tuition and fees (\$3.1 million), sales and services of auxiliary enterprises (\$3.8 million), and capital grants, contracts, donations and fees (\$1.8 million). Major uses of funds were for payments made to and on behalf of employees totaling \$21.3 million; payments to suppliers totaling \$18 million; payments to and on behalf of students for scholarships totaling \$7.2 million; and purchases of capital assets totaling \$3.9 million. Changes in cash and cash equivalents were the result of an increase in the faculty and staff level, increased purchases of capital assets, and increased payments to suppliers.

**CAPITAL ASSETS, CAPITAL EXPENSES AND COMMITMENTS,
AND DEBT ADMINISTRATION**

Capital Assets

At June 30, 2017, the University had \$164.6 million in capital assets, less accumulated depreciation of \$13.7 million, for net capital assets of \$150.9 million. Depreciation charges for the current fiscal year totaled \$4.6 million. The following table summarizes the University's capital assets, net of accumulated depreciation, at June 30:

Capital Assets, Net at June 30

(In Thousands)

	<u>2017</u>	<u>2016</u>
Land	\$ 18,156	\$ 18,156
Construction in Progress	6,112	2,703
Buildings	83,894	85,856
Infrastructure and Other Improvements	33,834	35,435
Furniture and Equipment	5,615	4,887
Library Resources	5	9
Other Capital Assets	3,301	3,759
Capital Assets, Net	\$150,917	\$150,805

Additional information about the University's capital assets is presented in the notes to the financial statements.

Capital Expenses and Commitments

Major capital expenses through June 30, 2017, were incurred on the following projects: expansion of the wellness center and parking lot construction. The University's construction commitments at June 30, 2017, are as follows:

	Amount (In Thousands)
Total Committed	\$ 11,152
Completed to Date	(6,112)
Balance Committed	\$ 5,040

Additional information about the University's construction commitments is presented in the notes to financial statements.

Debt Administration

As of June 30, 2017, the University had \$2.5 million in outstanding installment purchases payable representing a decrease of \$0.1 million, or 5.6 percent, from the prior fiscal year.

ECONOMIC FACTORS THAT WILL AFFECT THE FUTURE

The University's economic condition is closely tied to that of the State of Florida. The budget that the Florida Legislature adopted for the 2017-18 fiscal year provided a 4.86 percent increase for the State University System. The University's budget increased by 3.87 percent over the same period. The University expects an increase in revenue from student tuition and fees due to increased enrollment as we enter our fifth year of operations.

REQUESTS FOR INFORMATION

Questions concerning information provided in the MD&A or other required supplemental information, and financial statements and notes thereto, or requests for additional financial information should be addressed to Mark Mroczkowski, Vice President/Chief Financial Officer, Florida Polytechnic University, 4700 Research Way, Lakeland, Florida 33805-8531.

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BASIC FINANCIAL STATEMENTS

FLORIDA POLYTECHNIC UNIVERSITY A Component Unit of the State of Florida Statement of Net Position

June 30, 2017

	University	Component Unit
ASSETS		
Current Assets:		
Cash and Cash Equivalents	\$ 199,887	\$ 402,511
Investments	42,412,660	-
Accounts Receivable, Net	1,063,152	-
Interest Receivable	72,261	-
Contributions Receivable, Net	-	1,205,043
Due from State	5,082,353	-
Due from Component Unit/University	1,207,763	6,364,404
Other Current Assets	30,807	-
Total Current Assets	50,068,883	7,971,958
Noncurrent Assets:		
Contributions Receivable, Net	-	135,096
Restricted Investments	6,364,404	-
Due from Component Unit	4,698,053	-
Depreciable Capital Assets, Net	126,648,880	-
Nondepreciable Capital Assets	24,268,402	-
Total Noncurrent Assets	161,979,739	135,096
Total Assets	212,048,622	8,107,054
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Amounts Related to Pensions	7,342,968	-
LIABILITIES		
Current Liabilities:		
Accounts Payable	1,877,124	32,474
Construction Contracts Payable	200,929	-
Salary and Wages Payable	442,905	-
Deposits Payable	40,126	-
Due to Component Unit/University	6,364,404	1,207,763
Unearned Revenue	351,235	-
Other Current Liabilities	-	2,920,825
Long-Term Liabilities - Current Portion:		
Installment Purchases Payable	994,990	-
Compensated Absences Payable	118,188	-
Net Pension Liability	190,702	-
Total Current Liabilities	10,580,603	4,161,062

FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Net Position (Continued)

June 30, 2017

	<u>University</u>	<u>Component Unit</u>
LIABILITIES (Continued)		
Noncurrent Liabilities:		
Installment Purchases Payable	1,509,271	-
Compensated Absences Payable	1,063,691	-
Other Postemployment Benefits Payable	880,000	-
Due to University	-	4,698,053
Net Pension Liability	8,394,689	-
Total Noncurrent Liabilities	<u>11,847,651</u>	<u>4,698,053</u>
Total Liabilities	<u>22,428,254</u>	<u>8,859,115</u>
DEFERRED INFLOWS OF RESOURCES		
Deferred Amounts Related to Pensions	<u>60,102</u>	<u>-</u>
NET POSITION		
Net Investment in Capital Assets	148,413,021	-
Restricted for Nonexpendable:		
Endowment	-	839,763
Restricted for Expendable:		
Capital Projects	5,082,353	-
Grants and Programs	226,976	-
Other	-	840,397
Unrestricted	<u>43,180,884</u>	<u>(2,432,221)</u>
TOTAL NET POSITION	<u><u>\$ 196,903,234</u></u>	<u><u>\$ (752,061)</u></u>

The accompanying notes to financial statements are an integral part of this statement.

FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Revenues, Expenses, and Changes in Net Position
For the Fiscal Year Ended June 30, 2017

	<u>University</u>	<u>Component Unit</u>
REVENUES		
Operating Revenues:		
Student Tuition and Fees, Net of Scholarship Allowances of \$3,086,278	\$ 3,680,643	\$ -
Federal Grants and Contracts	321,956	-
State and Local Grants and Contracts	170,957	-
Nongovernmental Grants and Contracts	329,797	-
Sales and Services of Educational Departments	33,928	-
Sales and Services of Auxiliary Enterprises	3,845,053	-
Interest on Loans and Notes Receivable	-	94,649
Other Operating Revenues	119,482	1,522,070
Total Operating Revenues	<u>8,501,816</u>	<u>1,616,719</u>
EXPENSES		
Operating Expenses:		
Compensation and Employee Benefits	21,792,564	-
Services and Supplies	16,767,986	-
Utilities and Communications	610,379	-
Scholarships and Waivers	2,649,519	-
Depreciation	4,566,153	-
Other Operating Expenses	-	5,855,896
Total Operating Expenses	<u>46,386,601</u>	<u>5,855,896</u>
Operating Loss	<u>(37,884,785)</u>	<u>(4,239,177)</u>
NONOPERATING REVENUES		
State Noncapital Appropriations	36,734,846	-
Federal and State Student Financial Aid	2,972,161	-
Investment Income	699,284	-
Other Nonoperating Revenues	100,732	-
Loss on Disposal of Capital Assets	(11,596)	-
Unrealized Loss on Investment	(378,498)	-
Interest on Capital Asset-Related Debt	(52,877)	-
Net Nonoperating Revenues	<u>40,064,052</u>	<u>-</u>
Income (Loss) Before Other Revenues	<u>2,179,267</u>	<u>(4,239,177)</u>
State Capital Appropriations	5,082,353	-
Capital Grants, Contracts, Donations, and Fees	1,800,195	-
Increase (Decrease) in Net Position	<u>9,061,815</u>	<u>(4,239,177)</u>
Net Position, Beginning of Year	<u>187,841,419</u>	<u>3,487,116</u>
Net Position, End of Year	<u>\$ 196,903,234</u>	<u>\$ (752,061)</u>

The accompanying notes to financial statements are an integral part of this statement.

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FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Cash Flows

For the Fiscal Year Ended June 30, 2017

	<u>University</u>
CASH FLOWS FROM OPERATING ACTIVITIES	
Student Tuition and Fees, Net	\$ 3,093,904
Grants and Contracts	822,710
Sales and Services of Educational Departments	33,928
Sales and Services of Auxiliary Enterprises	3,845,053
Payments to Employees	(21,331,058)
Payments to Suppliers for Goods and Services	(17,951,148)
Payments to Students for Scholarships	(7,155,550)
Other Operating Receipts	119,482
Net Cash Used by Operating Activities	<u>(38,522,679)</u>
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES	
State Noncapital Appropriations	36,734,846
Federal and State Student Financial Aid	2,972,161
Net Change in Funds Held for Others	1,598,173
Net Cash Provided by Noncapital Financing Activities	<u>41,305,180</u>
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES	
Capital Grants, Contracts, Donations and Fees	1,800,195
Proceeds from Sale of Capital Assets	842
Purchase or Construction of Capital Assets	(3,900,911)
Principal Paid on Capital Debt	(909,920)
Interest Paid on Capital Debt	(52,877)
Net Cash Used by Capital and Related Financing Activities	<u>(3,062,671)</u>
CASH FLOWS FROM INVESTING ACTIVITIES	
Proceeds from Sales and Maturities of Investments	43,518,912
Purchases of Investments	(45,152,946)
Investment Income	691,871
Net Cash Used by Investing Activities	<u>(942,163)</u>
Net Decrease in Cash and Cash Equivalents	(1,222,333)
Cash and Cash Equivalents, Beginning of Year	1,422,220
Cash and Cash Equivalents, End of Year	<u><u>\$ 199,887</u></u>

FLORIDA POLYTECHNIC UNIVERSITY
A Component Unit of the State of Florida
Statement of Cash Flows (Continued)
For the Fiscal Year Ended June 30, 2017

	<u>University</u>
RECONCILIATION OF OPERATING LOSS	
TO NET CASH USED BY OPERATING ACTIVITIES	
Operating Loss	\$ (37,884,785)
Adjustments to Reconcile Operating Loss	
to Net Cash Used by Operating Activities:	
Depreciation Expense	4,566,153
Changes in Assets, Liabilities, Deferred Outflows of Resources,	
and Deferred Inflows of Resources:	
Receivables, Net	(935,540)
Due from Component Unit	(4,506,031)
Other Assets	(2,434)
Accounts Payable	(572,783)
Salaries and Wages Payable	166,658
Compensated Absences Payable	(1,180,275)
Unearned Revenue	351,235
Other Postemployment Benefits Payable	410,000
Net Pension Liability	4,116,972
Deferred Outflows of Resources Related to Pensions	(2,433,899)
Deferred Inflows of Resources Related to Pensions	(617,950)
NET CASH USED BY OPERATING ACTIVITIES	<u><u>\$ (38,522,679)</u></u>
SUPPLEMENTAL DISCLOSURE OF NONCASH INVESTING AND	
CAPITAL FINANCING ACTIVITIES	
Unrealized losses on investments were recognized on the statement of revenues,	
expenses, and changes in net position, but are not cash transactions for the	
statement of cash flows.	\$ (378,498)
Losses from the disposal of capital assets were recognized on the statement of	
revenues, expenses, and changes in net position, but are not cash transactions	
for the statement of cash flows.	\$ (11,596)
The University entered into installment purchase agreements, which were	
recognized on the statement of net position, but are not cash transactions for the	
statement of cash flows.	\$ 761,678

The accompanying notes to financial statements are an integral part of this statement.

NOTES TO FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies

Reporting Entity. The University is a separate public instrumentality that is part of the State university system of public universities, which is under the general direction and control of the Florida Board of Governors. The University is directly governed by a Board of Trustees (Trustees) consisting of 13 members. The Governor appoints 6 citizen members and the Board of Governors appoints 5 citizen members. These members are confirmed by the Florida Senate and serve staggered terms of 5 years. The chair of the faculty senate and the president of the student body of the University are also members. The Board of Governors establishes the powers and duties of the Trustees. The Trustees are responsible for setting policies for the University, which provide governance in accordance with State law and Board of Governors' Regulations, and selecting the University President. The University President serves as the executive officer and the corporate secretary of the Trustees, and is responsible for administering the policies prescribed by the Trustees.

Criteria for defining the reporting entity are identified and described in the Governmental Accounting Standards Board's (GASB) *Codification of Governmental Accounting and Financial Reporting Standards*, Sections 2100 and 2600. These criteria were used to evaluate potential component units for which the primary government is financially accountable and other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the primary government's financial statements to be misleading. Based on the application of these criteria, the University is a component unit of the State of Florida, and its financial balances and activities are reported in the State's Comprehensive Annual Financial Report by discrete presentation.

Discretely Presented Component Unit. Based on the application of the criteria for determining component units, the Florida Polytechnic University Foundation, Inc. (Foundation), a legally separate entity, is included within the University's reporting entity as a discretely presented component unit, and is governed by a separate board. The Statutes authorize this organization to receive, hold, invest, and administer property and to make expenditures to or for the benefit of the University. The Foundation solicits, collects, manages, and directs contributions to various academic departments and programs of the University, and assists the University in fundraising, and public relations.

An annual audit of the Foundation's financial statements is conducted by independent certified public accountants. Additional information on the University's discretely presented component unit, including copies of the audit report, is available by contacting the University Controller.

Basis of Presentation. The University's accounting policies conform with accounting principles generally accepted in the United States of America applicable to public colleges and universities as prescribed by GASB. The National Association of College and University Business Officers (NACUBO) also provides the University with recommendations prescribed in accordance with generally accepted accounting principles promulgated by GASB and the Financial Accounting Standards Board (FASB). GASB allows public universities various reporting options. The University has elected to report as an entity engaged in only business-type activities. This election requires the adoption of the accrual basis of accounting and entitywide reporting including the following components:

- Management's Discussion and Analysis
- Basic Financial Statements:
 - Statement of Net Position
 - Statement of Revenues, Expenses, and Changes in Net Position
 - Statement of Cash Flows
 - Notes to Financial Statements
- Other Required Supplementary Information

Measurement Focus and Basis of Accounting. Basis of accounting refers to when revenues, expenses, and related assets, deferred outflows of resources, liabilities, and deferred inflows of resources, are recognized in the accounts and reported in the financial statements. Specifically, it relates to the timing of the measurements made, regardless of the measurement focus applied. The University's financial statements are presented using the economic resources measurement focus and the accrual basis of accounting. Revenues, expenses, gains, losses, assets, deferred outflows of resources, liabilities, and deferred inflows of resources resulting from exchange and exchange-like transactions are recognized when the exchange takes place. Revenues, expenses, gains, losses, assets, deferred outflows of resources, liabilities, and deferred inflows of resources resulting from nonexchange activities are generally recognized when all applicable eligibility requirements, including time requirements, are met. The University follows GASB standards of accounting and financial reporting.

The University's discretely presented component unit uses the economic resources measurement focus and the accrual basis of accounting, and follows FASB standards of accounting and financial reporting for not-for-profit organizations.

Significant interdepartmental sales between auxiliary service departments and other institutional departments have been accounted for as reductions of expenses and not revenues of those departments.

The University's principal operating activities consist of instruction, research, and public service. Operating revenues and expenses generally include all fiscal transactions directly related to these activities as well as administration, operation and maintenance of capital assets, and depreciation of capital assets. Nonoperating revenues include State noncapital appropriations, Federal and State student financial aid, and investment income. Unrealized losses on investments and interest on capital asset-related debt are nonoperating expenses. Other revenues generally include revenues for capital construction projects.

The statement of net position is presented in a classified format to distinguish between current and noncurrent assets and liabilities. When both restricted and unrestricted resources are available to fund certain programs, it is the University's policy to first apply the restricted resources to such programs, followed by the use of the unrestricted resources.

The statement of revenues, expenses, and changes in net position is presented by major sources and is reported net of tuition scholarship allowances. Tuition scholarship allowances are the difference between the stated charge for goods and services provided by the University and the amount that is actually paid by the student or the third party making payment on behalf of the student. The University applied "The Alternate Method" as prescribed in NACUBO Advisory Report 2000-05 to determine the reported net

tuition scholarship allowances. Under this method, the University computes these amounts by allocating the cash payments to students, excluding payments for services, on a ratio of total aid to the aid not considered third-party aid.

The statement of cash flows is presented using the direct method in compliance with GASB Statement No. 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities That Use Proprietary Fund Accounting*.

Cash and Cash Equivalents. Cash and cash equivalents consist of cash on hand and cash in demand accounts. University cash deposits are held in banks qualified as public depositories under Florida law. All such deposits are insured by Federal depository insurance, up to specified limits, or collateralized with securities held in Florida's multiple financial institution collateral pool required by Chapter 280, Florida Statutes.

Capital Assets. University capital assets consist of land, construction in progress, buildings, infrastructure and other improvements, furniture and equipment, library resources, and other capital assets. These assets are capitalized and recorded at cost at the date of acquisition or at acquisition value at the date received in the case of gifts and purchases of State surplus property. Additions, improvements, and other outlays that significantly extend the useful life of an asset are capitalized. Other costs incurred for repairs and maintenance are expensed as incurred. The University has a capitalization threshold of \$5,000 for tangible personal property, \$100,000 for infrastructure and other improvements, and \$250,000 for building renovations except that all new buildings and projects adding new square footage are capitalized. Depreciation is computed on the straight-line basis over the following estimated useful lives:

- Buildings – 20 to 50 years
- Infrastructure and Other Improvements – 20 years
- Furniture and Equipment – 3 to 15 years
- Library Resources – 10 years
- Other Capital Assets – 10 years

Noncurrent Liabilities. Noncurrent liabilities include installment purchases payable, compensated absences payable, other postemployment benefits payable, and net pension liabilities that are not scheduled to be paid within the next fiscal year.

Pensions. For purposes of measuring the net pension liabilities, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net positions of the Florida Retirement System (FRS) defined benefit plan and the Health Insurance Subsidy (HIS) defined benefit plan and additions to/deductions from the FRS and HIS fiduciary net positions have been determined on the same basis as they are reported by the FRS and the HIS plans. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with benefit terms. Investments are reported at fair value.

2. Investments

Section 1011.42(5), Florida Statutes, authorizes universities to invest funds with the State Treasury and State Board of Administration (SBA), and requires that universities comply with the statutory requirements governing investment of public funds by local governments. Accordingly, universities are subject to the requirements of Chapter 218, Part IV, Florida Statutes. The Board of Trustees has adopted a written investment policy providing that surplus funds of the University shall be invested in those institutions and instruments permitted under the provisions of Florida Statutes. Pursuant to Section 218.415(16), Florida Statutes, the University is authorized to invest in the Florida PRIME investment pool administered by the SBA; Securities and Exchange Commission registered money market funds with the highest credit quality rating from a nationally recognized rating agency; interest-bearing time deposits and savings accounts in qualified public depositories, as defined in Section 280.02, Florida Statutes; direct obligations of the United States Treasury; obligations of Federal agencies and instrumentalities; securities of, or interests in, certain open end or closed end management type investment companies; and other investments approved by the Board of Trustees as authorized by law.

Investments set aside to make debt service payments, maintain sinking or reserve funds, or to purchase or construct capital assets are classified as restricted.

The University categorizes its fair value measurements within the fair value hierarchy established by generally accepted accounting principles. The hierarchy is based on the valuation inputs used to measure the fair value of the asset. Level 1 inputs are quoted prices in active markets for identical assets, Level 2 inputs are significant other observable inputs, and Level 3 inputs are significant unobservable inputs.

External Investment Pools

The University reported investments at fair value totaling \$48,777,064 at June 30, 2017, in the State Treasury Special Purpose Investment Account (SPIA) investment pool, representing ownership of a share of the pool, not the underlying securities (Level 3 inputs). Pooled investments with the State Treasury are not registered with the Securities and Exchange Commission. Oversight of the pooled investments with the State Treasury is provided by the Treasury Investment Committee per Section 17.575, Florida Statutes. The authorized investment types are set forth in Section 17.57, Florida Statutes. The State Treasury SPIA investment pool carried a credit rating of A+f by Standard & Poor's, had an effective duration of 2.8 years and fair value factor of 0.9923 at June 30, 2017. Participants contribute to the State Treasury SPIA investment pool on a dollar basis. These funds are commingled and a fair value of the pool is determined from the individual values of the securities. The fair value of the securities is summed and a total pool fair value is determined. A fair value factor is calculated by dividing the pool's total fair value by the pool participant's total cash balances. The fair value factor is the ratio used to determine the fair value of an individual participant's pool balance. The University relies on policies developed by the State Treasury for managing interest rate risk or credit risk for this investment pool. Disclosures for the State Treasury investment pool are included in the notes to financial statements of the State's Comprehensive Annual Financial Report.

3. Receivables

Accounts Receivable. Accounts receivable represent amounts for student tuition and fees, contract and grant reimbursements due from third parties, and various sales and services provided to students and third parties. As of June 30, 2017, the University reported the following amounts as accounts receivable:

<u>Description</u>	<u>Amount</u>
Contracts and Grants	\$ 401,766
Student Tuition and Fees	90,269
Sales and Services	571,117
Total Accounts Receivable	\$ 1,063,152

Allowance for Doubtful Receivables. Allowances for doubtful accounts, and loans and notes receivable, are reported based on management's best estimate as of fiscal year end considering type, age, collection history, and other factors considered appropriate. Accounts receivable are reported net of allowances of \$93,228 at June 30, 2017.

No allowance has been accrued for contracts and grants, and sales and services. University management considers these to be fully collectible.

4. Due From State

The amount due from State consists of \$5,082,353 of Public Education Capital Outlay (PECO) funds due from the State to the University for construction of University facilities.

5. Due From and To Component Unit/University

The \$5,905,816 amount due from component unit consists of pledged amounts owed to the University by the Foundation. The Foundation pledged to fund certain scholarships and other expenses for the University. At June 30, 2017, the amount outstanding pledged for the fiscal year ended June 30, 2016, was \$1,170,000 and the outstanding amount pledged for the year ended June 30, 2017, was \$4,735,816. The Foundation has agreed to pay the amounts related to scholarships in equal installments over ten years bearing no interest. Payments for non-scholarship pledges are due in the fiscal year ending June 30, 2018. The \$6,364,404 reported as due to component unit consists of amounts owed by the University to the Foundation pursuant to an agreement to invest funds on behalf of the Foundation.

Below is a summary of the amounts to be paid from the Foundation:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2018	\$ 1,207,763
2019	587,257
2020	587,257
2021	587,257
2022	587,257
2023-2026	2,349,025
Total Payments	\$ 5,905,816

6. Capital Assets

Capital assets activity for the fiscal year ended June 30, 2017, is shown in the following table:

<u>Description</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>
Nondepreciable Capital Assets:				
Land	\$ 18,156,039	\$ -	\$ -	\$ 18,156,039
Construction in Progress	2,702,667	3,409,696	-	6,112,363
Total Nondepreciable Capital Assets	\$ 20,858,706	\$ 3,409,696	\$ -	\$ 24,268,402
Depreciable Capital Assets:				
Buildings	\$ 89,682,597	\$ -	\$ -	\$ 89,682,597
Infrastructure and Other Improvements	38,646,105	-	-	38,646,105
Furniture and Equipment	6,213,471	1,280,730	14,296	7,479,905
Library Resources	16,358	-	-	16,358
Other Capital Assets	4,495,984	-	-	4,495,984
Total Depreciable Capital Assets	139,054,515	1,280,730	14,296	140,320,949
Less, Accumulated Depreciation:				
Buildings	3,826,229	1,962,506	-	5,788,735
Infrastructure and Other Improvements	3,211,121	1,600,468	-	4,811,589
Furniture and Equipment	1,326,704	540,521	2,700	1,864,525
Library Resources	7,895	3,927	-	11,822
Other Capital Assets	736,667	458,731	-	1,195,398
Total Accumulated Depreciation	9,108,616	4,566,153	2,700	13,672,069
Total Depreciable Capital Assets, Net	\$ 129,945,899	\$ (3,285,423)	\$ 11,596	\$ 126,648,880

7. Unearned Revenue

Unearned revenue of \$351,235 at June 30, 2017, consists of student tuition and fees received prior to fiscal year end related to subsequent accounting periods.

8. Long-Term Liabilities

Long-term liabilities of the University at June 30, 2017, include installment purchases payable, compensated absences payable, other postemployment benefits payable, and net pension liability. Long-term liabilities activity for the fiscal year ended June 30, 2017, is shown below:

<u>Description</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>
Installment Purchases Payable	\$ 2,652,503	\$ 761,678	\$ 909,920	\$ 2,504,261	\$ 994,990
Compensated Absences Payable	2,362,154	1,181,879	2,362,154	1,181,879	118,188
Other Postemployment Benefits Payable	470,000	412,000	2,000	880,000	-
Net Pension Liability	4,468,420	9,082,750	4,965,779	8,585,391	190,702
Total Long-Term Liabilities	\$ 9,953,077	\$ 11,438,307	\$ 8,239,853	\$ 13,151,531	\$ 1,303,880

Installment Purchases Payable. The University has entered into several installment purchase agreements for the purchase of equipment totaling \$4,858,735. The stated interest rates ranged from 1.21 percent to 4.75 percent. Future minimum payments remaining under installment purchase agreements and the present value of the minimum payments as of June 30, 2017, are as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2018	\$ 1,042,265
2019	1,042,265
2020	323,443
2021	181,392
Total Minimum Payments	2,589,365
Less, Amount Representing Interest	85,104
Present Value of Minimum Payments	\$ 2,504,261

Compensated Absences Payable. Employees earn the right to be compensated during absences for annual leave (vacation) and sick leave earned pursuant to Board of Governors regulations, University regulations, and bargaining agreements. Leave earned is accrued to the credit of the employee and records are kept on each employee's unpaid (unused) leave balance. The University reports a liability for the accrued leave; however, State noncapital appropriations fund only the portion of accrued leave that is used or paid in the current fiscal year. Although the University expects the liability to be funded primarily from future appropriations, generally accepted accounting principles do not permit the recording of a receivable in anticipation of future appropriations. At June 30, 2017, the estimated liability for compensated absences, which includes the University's share of the Florida Retirement System and FICA contributions, totaled \$1,181,879. The current portion of the compensated absences liability, \$118,188, is the amount expected to be paid in the coming fiscal year, and represents a historical percentage of leave used applied to total accrued leave liability.

Other Postemployment Benefits Payable. The University follows GASB Statement No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, for certain postemployment healthcare benefits administered by the State Group Health Insurance Program.

Plan Description. Pursuant to the provisions of Section 112.0801, Florida Statutes, all employees who retire from the University are eligible to participate in the State Group Health Insurance Program, an agent multiple-employer defined benefit (OPEB) Plan. The University subsidizes the premium rates paid by retirees by allowing them to participate in the OPEB Plan at reduced or blended group (implicitly subsidized) premium rates for both active and retired employees. These rates provide an implicit subsidy for retirees because, on an actuarial basis, their current and future claims are expected to result in higher costs to the OPEB Plan on average than those of active employees. Retirees are required to enroll in the Federal Medicare (Medicare) program for their primary coverage as soon as they are eligible. A stand-alone report is not issued and the OPEB Plan information is not included in the annual report of a public employee retirement system or another entity.

Funding Policy. OPEB Plan benefits are pursuant to the provisions of Section 112.0801, Florida Statutes, and benefits and contributions can be amended by the Florida Legislature. The State has not advance-funded OPEB costs or the net OPEB obligation. Premiums necessary for funding the OPEB

Plan each year on a pay-as-you-go basis are established by the Governor's recommended budget and the General Appropriations Act. Although the University currently has no retirees, the University provided required contributions of \$2,000 toward the annual OPEB administrative expenses.

Annual OPEB Cost and Net OPEB Obligation. The University's annual OPEB cost (expense) is calculated based on the annual required contribution (ARC), an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that if paid on an ongoing basis, is projected to cover normal cost each year and amortize any unfunded actuarial liabilities over a period not to exceed 30 years. The following table shows the University's annual OPEB cost for the fiscal year, the amount actually contributed to the OPEB Plan, and changes in the University's net OPEB obligation:

<u>Description</u>	<u>Amount</u>
Normal Cost (Service Cost for One Year)	\$ 291,000
Amortization of Unfunded Actuarial Accrued Liability	103,000
Interest on Normal Cost and Amortization	16,000
Annual Required Contribution	410,000
Interest on Net OPEB Obligation	19,000
Adjustment to Annual Required Contribution	(17,000)
Annual OPEB Cost (Expense)	412,000
Contribution Toward the OPEB Cost	(2,000)
Increase in Net OPEB Obligation	410,000
Net OPEB Obligation, Beginning of Year	470,000
Net OPEB Obligation, End of Year	<u><u>\$ 880,000</u></u>

The University's annual OPEB cost, the percentage of annual OPEB cost contributed to the OPEB Plan, and the net OPEB obligation as of June 30, 2017, and for the 2 preceding fiscal years were as follows:

<u>Fiscal Year</u>	Percentage of		
	Annual	OPEB Cost	Net OPEB
	OPEB Cost	Contributed	Obligation
2014-15	\$ 32,000	0.0%	\$ 65,000
2015-16	406,000	0.2%	470,000
2016-17	412,000	0.5%	880,000

Funded Status and Funding Progress. As of July 1, 2015, the most recent actuarial valuation date, the actuarial accrued liability for benefits was \$2,464,000, and the actuarial value of assets was \$0, resulting in an unfunded actuarial accrued liability of \$2,464,000 and a funded ratio of 0 percent. The covered payroll (annual payroll of active participating employees) was \$9,232,755 for the 2016-17 fiscal year, and the ratio of the unfunded actuarial accrued liability to the covered payroll was 26.7 percent.

Actuarial valuations for an OPEB Plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include

assumptions about future employment and termination, mortality, and healthcare cost trends. Actuarially determined amounts regarding the funded status of the OPEB Plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The Schedule of Funding Progress, presented as required supplementary information following the notes to financial statements, presents multiyear trend information that shows whether the actuarial value of OPEB Plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

Actuarial Methods and Assumptions. Projections of benefits for financial reporting purposes are based on the substantive OPEB Plan provisions, as understood by the employer and participating members, and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and participating members. The actuarial calculations of the OPEB Plan reflect a long-term perspective. Consistent with this perspective, the actuarial valuations used actuarial methods and assumptions that include techniques that are designed to reduce the effects of short-term volatility in actuarial accrued liabilities and the actuarial value of assets.

The University's OPEB actuarial valuation as of July 1, 2015, used the entry-age cost actuarial method to estimate the actuarial accrued liability as of June 30, 2017, and the University's 2016-17 fiscal year ARC. This method was selected because it is the same method used for the valuation of the Florida Retirement System. Because the OPEB liability is currently unfunded, the actuarial assumptions included a 4 percent rate of return on invested assets, which is the University's expectation of investment returns under its investment policy. The actuarial assumptions also included a payroll growth rate of 3.25 percent per year and an inflation rate of 3 percent. Initial healthcare cost trend rates were 4.4 percent, 8.5 percent, and 9.3 percent for the first 3 years, respectively, for all retirees in the Preferred Provider Option (PPO) Plan, and 3.5 percent, 6.6 percent, and 7.5 percent for the first 3 years for all retirees in the Health Maintenance Organization (HMO) Plan. The PPO and HMO healthcare trend rates both grade down to an ultimate rate of 3.9 percent over 70 years. The unfunded actuarial accrued liability is being amortized over 30 years using the level percentage of projected payroll on an open basis. The remaining amortization period at June 30, 2017, was 28 years.

Net Pension Liability. As a participating employer in the Florida Retirement System, the University recognizes its proportionate share of the collective net pension liabilities of the FRS cost-sharing multiple-employer defined benefit plans. As of June 30, 2017, the University's proportionate share of the net pension liabilities totaled \$8,585,391. Note 9. includes a complete discussion of defined benefit pension plans.

9. Retirement Plans – Defined Benefit Pension Plans

General Information about the Florida Retirement System (FRS)

The FRS was created in Chapter 121, Florida Statutes, to provide a defined benefit pension plan for participating public employees. The FRS was amended in 1998 to add the Deferred Retirement Option Program (DROP) under the defined benefit plan and amended in 2000 to provide a defined contribution plan alternative to the defined benefit plan for FRS members effective July 1, 2002. This integrated defined contribution pension plan is the FRS Investment Plan. Chapter 112, Florida Statutes, established the Retiree Health Insurance Subsidy (HIS) Program, a cost-sharing multiple-employer defined benefit

pension plan to assist retired members of any State-administered retirement system in paying the costs of health insurance. Chapter 121, Florida Statutes, also provides for nonintegrated, optional retirement programs in lieu of the FRS to certain members of the Senior Management Service Class employed by the State and faculty and specified employees in the State university system.

Essentially all regular employees of the University are eligible to enroll as members of the State-administered FRS. Provisions relating to the FRS are established by Chapters 121 and 122, Florida Statutes; Chapter 112, Part IV, Florida Statutes; Chapter 238, Florida Statutes; and FRS Rules, Chapter 60S, Florida Administrative Code; wherein eligibility, contributions, and benefits are defined and described in detail. Such provisions may be amended at any time by further action from the Florida Legislature. The FRS is a single retirement system administered by the Florida Department of Management Services, Division of Retirement, and consists of two cost-sharing multiple-employer defined benefit plans and other nonintegrated programs. A comprehensive annual financial report of the FRS, which includes its financial statements, required supplementary information, actuarial report, and other relevant information, is available from the Florida Department of Management Services Web site (www.dms.myflorida.com).

The University's FRS and HIS pension expense totaled \$1,963,926 for the fiscal year ended June 30, 2017.

FRS Pension Plan

Plan Description. The FRS Pension Plan (Plan) is a cost-sharing multiple-employer defined benefit pension plan, with a DROP for eligible employees. The general classes of membership are as follows:

- *Regular Class* – Members of the FRS who do not qualify for membership in the other classes.
- *Senior Management Service Class (SMSC)* – Members in senior management level positions.
- *Special Risk Class* – Members who are employed as law enforcement officers and meet the criteria to qualify for this class.

Employees enrolled in the Plan prior to July 1, 2011, vest at 6 years of creditable service and employees enrolled in the Plan on or after July 1, 2011, vest at 8 years of creditable service. All vested members, enrolled prior to July 1, 2011, are eligible for normal retirement benefits at age 62 or at any age after 30 years of service, except for members classified as special risk who are eligible for normal retirement benefits at age 55 or at any age after 25 years of service. All members enrolled in the Plan on or after July 1, 2011, once vested, are eligible for normal retirement benefits at age 65 or any time after 33 years of creditable service, except for members classified as special risk who are eligible for normal retirement benefits at age 60 or at any age after 30 years of service. Employees enrolled in the Plan may include up to 4 years of credit for military service toward creditable service. The Plan also includes an early retirement provision; however, there is a benefit reduction for each year a member retires before his or her normal retirement date. The Plan provides retirement, disability, death benefits, and annual cost of living adjustments to eligible participants.

DROP, subject to provisions of Section 121.091, Florida Statutes, permits employees eligible for normal retirement under the Plan to defer receipt of monthly benefit payments while continuing employment with an FRS-participating employer. An employee may participate in DROP for a period not to exceed

60 months after electing to participate. During the period of DROP participation, deferred monthly benefits are held in the FRS Trust Fund and accrue interest. The net pension liability does not include amounts for DROP participants, as these members are considered retired and are not accruing additional pension benefits.

Benefits Provided. Benefits under the Plan are computed on the basis of age, and/or years of service, average final compensation, and credit service. Credit for each year of service is expressed as a percentage of the average final compensation. For members initially enrolled before July 1, 2011, the average final compensation is the average of the 5 highest fiscal years' earnings; for members initially enrolled on or after July 1, 2011, the average final compensation is the average of the 8 highest fiscal years' earnings. The total percentage value of the benefit received is determined by calculating the total value of all service, which is based on retirement plan and/or the class to which the member belonged when the service credit was earned. Members are eligible for in-line-of-duty or regular disability and survivors' benefits. The following table shows the percentage value for each year of service credit earned:

<u>Class, Initial Enrollment, and Retirement Age/Years of Service</u>	<u>% Value</u>
<u>Regular Class members initially enrolled before July 1, 2011</u>	
Retirement up to age 62 or up to 30 years of service	1.60
Retirement at age 63 or with 31 years of service	1.63
Retirement at age 64 or with 32 years of service	1.65
Retirement at age 65 or with 33 or more years of service	1.68
<u>Regular Class members initially enrolled on or after July 1, 2011</u>	
Retirement up to age 65 or up to 33 years of service	1.60
Retirement at age 66 or with 34 years of service	1.63
Retirement at age 67 or with 35 years of service	1.65
Retirement at age 68 or with 36 or more years of service	1.68
<u>Senior Management Service Class</u>	2.00
<u>Special Risk Class</u>	
Service on and after October 1, 1974	3.00

As provided in Section 121.101, Florida Statutes, if the member was initially enrolled in the FRS before July 1, 2011, and all service credit was accrued before July 1, 2011, the annual cost-of-living adjustment is 3 percent per year. If the member was initially enrolled before July 1, 2011, and has service credit on or after July 1, 2011, there is an individually calculated cost-of-living adjustment. The annual cost-of-living adjustment is a proportion of 3 percent determined by dividing the sum of the pre-July 2011 service credit by the total service credit at retirement multiplied by 3 percent. Plan members initially enrolled on or after July 1, 2011, will not have a cost-of-living adjustment after retirement.

Contributions. The Florida Legislature establishes contribution rates for participating employers and employees. Contribution rates during the 2016-17 fiscal year were:

<u>Class</u>	<u>Percent of Gross Salary</u>	
	<u>Employee</u>	<u>Employer (1)</u>
FRS, Regular	3.00	7.52
FRS, Senior Management Service	3.00	21.77
FRS, Special Risk	3.00	22.57
Deferred Retirement Option Program (applicable to members from all of the above classes)	0.00	12.99
FRS, Reemployed Retiree	(2)	(2)

Notes: (1) Employer rates include 1.66 percent for the postemployment health insurance subsidy. Also, employer rates, other than for DROP participants, include 0.06 percent for administrative costs of the Investment Plan.

(2) Contribution rates are dependent upon retirement class in which reemployed.

The University's contributions to the Plan totaled \$741,775 for the fiscal year ended June 30, 2017.

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2017, the University reported a liability of \$5,765,319 for its proportionate share of the net pension liability. The net pension liability was measured as of June 30, 2016, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of July 1, 2016. The University's proportionate share of the net pension liability was based on the University's 2015-16 fiscal year contributions relative to the total 2015-16 fiscal year contributions of all participating members. At June 30, 2016, the University's proportionate share was 0.022832875 percent, which was an increase of 0.002834544 from its proportionate share measured as of June 30, 2015.

For the year ended June 30, 2017, the University recognized pension expense of \$1,439,189. In addition, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Differences between expected and actual experience	\$ 441,437	\$ 53,679
Change of assumptions	348,785	-
Net difference between projected and actual earnings on FRS Plan investments	1,490,265	-
Changes in proportion and differences between University contributions and proportionate share of contributions	2,235,646	-
University FRS contributions subsequent to the measurement date	741,775	-
Total	<u>\$ 5,257,908</u>	<u>\$ 53,679</u>

The deferred outflows of resources totaling \$ 741,775, resulting from University contributions subsequent to the measurement date, will be recognized as a reduction of the net pension liability in the fiscal year ending June 30, 2018. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2018	\$ 866,832
2019	866,832
2020	1,447,829
2021	998,669
2022	228,641
Thereafter	53,651
Total	\$ 4,462,454

Actuarial Assumptions. The total pension liability in the July 1, 2016, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	2.60 percent
Salary increases	3.25 percent, average, including inflation
Investment rate of return	7.60 percent, net of pension plan investment expense, including inflation

Mortality rates were based on the Generational RP-2000 with Projection Scale BB.

The actuarial assumptions used in the July 1, 2016, valuation were based on the results of an actuarial experience study for the period July 1, 2008, through June 30, 2013.

The long-term expected rate of return on pension plan investments was not based on historical returns, but instead is based on a forward-looking capital market economic model. The allocation policy's description of each asset class was used to map the target allocation to the asset classes shown below. Each asset class assumption is based on a consistent set of underlying assumptions, and includes an adjustment for the inflation assumption. The target allocation and best estimates of arithmetic and geometric real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	<u>Target Allocation (1)</u>	<u>Annual Arithmetic Return</u>	<u>Compound Annual (Geometric) Return</u>	<u>Standard Deviation</u>
Cash	1%	3.0%	3.0%	1.7%
Fixed Income	18%	4.7%	4.6%	4.6%
Global Equity	53%	8.1%	6.8%	17.2%
Real Estate (Property)	10%	6.4%	5.8%	12.0%
Private Equity	6%	11.5%	7.8%	30.0%
Strategic Investments	12%	6.1%	5.6%	11.1%
Total	100%			
Assumed inflation - Mean			2.6%	1.9%

Note: (1) As outlined in the Plan's investment policy.

Discount Rate. The discount rate used to measure the total pension liability was 7.60 percent. The Plan's fiduciary net position was projected to be available to make all projected future benefit payments of current active and inactive employees. Therefore, the discount rate for calculating the total pension liability is equal to the long-term expected rate of return.

Sensitivity of the University's Proportionate Share of the Net Pension Liability to Changes in the Discount Rate. The following presents the University's proportionate share of the net pension liability calculated using the discount rate of 7.60 percent, as well as what the University's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (6.60 percent) or 1 percentage point higher (8.60 percent) than the current rate:

	1% Decrease (6.60%)	Current Discount Rate (7.60%)	1% Increase (8.60%)
University's proportionate share of the net pension liability	\$10,614,342	\$5,765,319	\$1,729,147

Pension Plan Fiduciary Net Position. Detailed information about the Plan's fiduciary net position is available in the separately issued FRS Pension Plan and Other State Administered Systems Comprehensive Annual Financial Report.

HIS Pension Plan

Plan Description. The HIS Pension Plan (HIS Plan) is a cost-sharing multiple-employer defined benefit pension plan established under Section 112.363, Florida Statutes. The benefit is a monthly payment to assist retirees of State-administered retirement systems in paying their health insurance costs and is administered by the Florida Department of Management Services, Division of Retirement.

Benefits Provided. For the fiscal year ended June 30, 2017, eligible retirees and beneficiaries received a monthly HIS payment of \$5 for each year of creditable service completed at the time of retirement with a minimum HIS payment of \$30 and a maximum HIS payment of \$150 per month, pursuant to Section 112.363, Florida Statutes. To be eligible to receive a HIS Plan benefit, a retiree under a State-administered retirement system must provide proof of health insurance coverage, which can include Medicare.

Contributions. The HIS Plan is funded by required contributions from FRS participating employers as set by the Florida Legislature. Employer contributions are a percentage of gross compensation for all active FRS members. For the fiscal year ended June 30, 2017, the contribution rate was 1.66 percent of payroll pursuant to Section 112.363, Florida Statutes. The University contributed 100 percent of its statutorily required contributions for the current and preceding 3 years. HIS Plan contributions are deposited in a separate trust fund from which HIS payments are authorized. HIS Plan benefits are not guaranteed and are subject to annual legislative appropriation. In the event the legislative appropriation or available funds fail to provide full subsidy benefits to all participants, benefits may be reduced or canceled.

The University's contributions to the HIS Plan totaled \$160,421 for the fiscal year ended June 30, 2017.

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2017, the University reported a liability of \$2,820,072 for its proportionate share of the net pension liability. The current portion of the net pension liability is the University's proportionate share of benefit payments expected to be paid within one year, net of the University's proportionate share of the HIS Plan's fiduciary net position available to pay that amount. The net pension liability was measured as of June 30, 2016, and the total pension liability used to calculate

the net pension liability was determined by an actuarial valuation as of July 1, 2016. The University's proportionate share of the net pension liability was based on the University's 2015-16 fiscal year contributions relative to the total 2015-16 fiscal year contributions of all participating members. At June 30, 2016, the University's proportionate share was 0.024197096 percent, which was an increase of 0.005710261 percent from its proportionate share measured as of June 30, 2015.

For the fiscal year ended June 30, 2017, the University recognized pension expense of \$524,737. In addition, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

<u>Description</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Difference between expected and actual experience	\$ -	\$ 6,423
Change of assumptions	442,541	-
Net difference between projected and actual earnings on HIS Plan investments	1,426	-
Changes in proportion and differences between University HIS contributions and proportionate share of HIS contributions	1,480,672	-
University HIS contributions subsequent to the measurement date	160,421	-
Total	\$ 2,085,060	\$ 6,423

The deferred outflows of resources totaling \$160,421 resulting from University contributions subsequent to the measurement date, will be recognized as a reduction of the net pension liability in the fiscal year ending June 30, 2018. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2018	\$ 368,775
2019	368,775
2020	368,504
2021	368,373
2022	274,649
Thereafter	169,140
Total	\$ 1,918,216

Actuarial Assumptions. The total pension liability at July 1, 2016, actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	2.60 percent
Salary Increases	3.25 percent, average, including inflation
Municipal bond rate	2.85 percent

Mortality rates were based on the Generational RP-2000 with Projected Scale BB.

While an experience study had not been completed for the HIS Plan, the actuarial assumptions that determined the total pension liability for the HIS Plan were based on certain results of the most recent experience study for the FRS Plan.

Discount Rate. The discount rate used to measure the total pension liability was 2.85 percent. In general, the discount rate for calculating the total pension liability is equal to the single rate equivalent to discounting at the long-term expected rate of return for benefit payments prior to the projected depletion date. Because the HIS benefit is essentially funded on a pay-as-you-go basis, the depletion date is considered to be immediate, and the single equivalent discount rate is equal to the municipal bond rate selected by the plan sponsor. The Bond Buyer General Obligation 20-Bond Municipal Bond Index was adopted as the applicable municipal bond index. The discount rate used to determine the total pension liability decreased from 3.80 percent from the prior measurement date.

Sensitivity of the University's Proportionate Share of the Net Pension Liability to Changes in the Discount Rate. The following presents the University's proportionate share of the net pension liability calculated using the discount rate of 2.85 percent, as well as what the University's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (1.85 percent) or 1 percentage point higher (3.85 percent) than the current rate:

	1% Decrease (1.85%)	Current Discount Rate (2.85%)	1% Increase (3.85%)
University's proportionate share of the net pension liability	\$3,235,262	\$2,820,072	\$2,475,485

Pension Plan Fiduciary Net Position. Detailed information about the HIS Plan's fiduciary net position is available in the separately issued FRS Pension Plan and Other State Administered Comprehensive Annual Financial Report.

10. Retirement Plans – Defined Contribution Pension Plans

FRS Investment Plan. The SBA administers the defined contribution plan officially titled the FRS Investment Plan (Investment Plan). The Investment Plan is reported in the SBA's annual financial statements and in the State of Florida Comprehensive Annual Financial Report.

As provided in Section 121.4501, Florida Statutes, eligible FRS members may elect to participate in the Investment Plan in lieu of the FRS defined benefit plan. University employees already participating in the State University System Optional Retirement Program or DROP are not eligible to participate in the Investment Plan. Employer and employee contributions are defined by law, but the ultimate benefit depends in part on the performance of investment funds. Service retirement benefits are based upon the value of the member's account upon retirement. Benefit terms, including contribution requirements, are established and may be amended by the Florida Legislature. The Investment Plan is funded with the same employer and employee contributions, that are based on salary and membership class (Regular Class, Senior Management Service Class, etc.), as the FRS defined benefit plan. Contributions are directed to individual member accounts, and the individual members allocate contributions and account balances among various approved investment choices. Costs of administering the Investment

Plan, including the FRS Financial Guidance Program, are funded through an employer contribution of 0.06 percent of payroll and by forfeited benefits of Investment Plan members. Allocations to the Investment Plan member accounts during the 2016-17 fiscal year were as follows:

<u>Class</u>	<u>Percent of Gross Compensation</u>
FRS, Regular	6.30
FRS, Senior Management Service	7.67
FRS, Special Risk Regular	14.00

For all membership classes, employees are immediately vested in their own contributions and are vested after 1 year of service for employer contributions and investment earnings regardless of membership class. If an accumulated benefit obligation for service credit originally earned under the FRS Pension Plan is transferred to the FRS Investment Plan, the member must have the years of service required for FRS Pension Plan vesting (including the service credit represented by the transferred funds) to be vested for these funds and the earnings on the funds. Nonvested employer contributions are placed in a suspense account for up to 5 years. If the employee returns to FRS-covered employment within the 5-year period, the employee will regain control over their account. If the employee does not return within the 5-year period, the employee will forfeit the accumulated account balance. For the fiscal year ended June 30, 2017, the information for the amount of forfeitures was unavailable from the SBA; however, management believes that these amounts, if any, would be immaterial to the University.

After termination and applying to receive benefits, the member may rollover vested funds to another qualified plan, structure a periodic payment under the Investment Plan, receive a lump-sum distribution, leave the funds invested for future distribution, or any combination of these options. Disability coverage is provided in which the member may either transfer the account balance to the FRS Pension Plan when approved for disability retirement to receive guaranteed lifetime monthly benefits under the FRS Pension Plan, or remain in the Investment Plan and rely upon that account balance for retirement income.

The University's Investment Plan pension expense totaled \$219,459 for the fiscal year ended June 30, 2017.

State University System Optional Retirement Program. Section 121.35, Florida Statutes, provides for an Optional Retirement Program (Program) for eligible university instructors and administrators. The Program is designed to aid State universities in recruiting employees by offering more portability to employees not expected to remain in FRS for 8 or more years.

The Program is a defined contribution plan, which provides full and immediate vesting of all contributions submitted to the participating companies on behalf of the participant. Employees in eligible positions can make an irrevocable election to participate in the Program, rather than the FRS, and purchase retirement and death benefits through contracts provided by certain insurance carriers. The employing university contributes 5.14 percent of the participant's salary to the participant's account, 2.83 percent to cover the unfunded actuarial liability of the FRS pension plan, and 0.01 percent to cover administrative costs, for a total of 7.98 percent, and employees contribute 3 percent of the employee's salary. Additionally, the employee may contribute, by payroll deduction, an amount not to exceed the percentage contributed by

the University to the participant's annuity account. The contributions are invested in the company or companies selected by the participant to create a fund for the purchase of annuities at retirement.

The University's contributions to the Program totaled \$485,970, and employee contributions totaled \$330,548 for the 2016-17 fiscal year.

11. Construction Commitments

The University's construction commitments at June 30, 2017, were as follows:

Project Description	Total Commitment	Completed to Date	Balance Committed
Parking Lots 6 and 8	\$ 1,700,000	\$ 1,546,986	\$ 153,014
Recreation Building	2,637,000	1,249,355	1,387,645
Aquatic Center	1,997,954	163,474	1,834,480
Wellness Center Expansion	2,275,000	2,149,753	125,247
Subtotal	8,609,954	5,109,568	3,500,386
Other Projects (1)	2,542,136	1,002,795	1,539,341
Total	\$ 11,152,090	\$ 6,112,363	\$ 5,039,727

12. Risk Management Programs

The University is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees; and natural disasters. Pursuant to Section 1001.72(2), Florida Statutes, the University participates in State self-insurance programs providing insurance for property and casualty, workers' compensation, general liability, fleet automotive liability, Federal Civil Rights, and employment discrimination liability. During the 2016-17 fiscal year, for property losses, the State retained the first \$2 million per occurrence for all perils except named windstorm and flood. The State retained the first \$2 million per occurrence with an annual aggregate retention of \$40 million for named windstorm and flood losses. After the annual aggregate retention, losses in excess of \$2 million per occurrence were commercially insured up to \$85 million for named windstorm and flood through February 14, 2017, and increased to \$92.5 million starting February 15, 2017. For perils other than named windstorm and flood, losses in excess of \$2 million per occurrence were commercially insured up to \$200 million through February 14, 2017, and increased to \$225 million starting February 15, 2017; and losses exceeding those amounts were retained by the State. No excess insurance coverage is provided for workers' compensation, general and automotive liability, Federal Civil Rights and employment action coverage; all losses in these categories are completely self-insured by the State through the State Risk Management Trust Fund established pursuant to Chapter 284, Florida Statutes. Payments on tort claims are limited to \$200,000 per person, and \$300,000 per occurrence as set by Section 768.28(5), Florida Statutes. Calculation of premiums considers the cash needs of the program and the amount of risk exposure for each participant. Settlements have not exceeded insurance coverage during the past 3 fiscal years.

Pursuant to Section 110.123, Florida Statutes, University employees may obtain healthcare services through participation in the State group health insurance plan or through membership in a health maintenance organization plan under contract with the State. The State's risk financing activities

associated with State group health insurance, such as risk of loss related to medical and prescription drug claims, are administered through the State Employees Group Health Insurance Trust Fund. It is the practice of the State not to purchase commercial coverage for the risk of loss covered by this Fund. Additional information on the State's group health insurance plan, including the actuarial report, is available from the Florida Department of Management Services, Division of State Group Insurance.

13. Functional Distribution of Operating Expenses

The functional classification of an operating expense (instruction, research, etc.) is assigned to a department based on the nature of the activity, which represents the material portion of the activity attributable to the department. For example, activities of an academic department for which the primary departmental function is instruction may include some activities other than direct instruction such as research and public service. However, when the primary mission of the department consists of instructional program elements, all expenses of the department are reported under the instruction classification. The operating expenses on the statement of revenues, expenses, and changes in net position are presented by natural classifications. The following are those same expenses presented in functional classifications as recommended by NACUBO:

Functional Classification	Amount
Instruction	\$ 6,286,202
Research	3,045,399
Public Services	1,446
Academic Support	6,050,958
Student Services	2,548,730
Institutional Support	14,810,558
Operation and Maintenance of Plant	2,782,685
Scholarships, Fellowships, and Waivers	2,733,621
Depreciation	4,566,153
Auxiliary Enterprises	3,560,849
Total Operating Expenses	\$ 46,386,601

OTHER REQUIRED SUPPLEMENTARY INFORMATION

Schedule of Funding Progress – Other Postemployment Benefits Plan

Actuarial Valuation Date	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) (1) (b)	Unfunded AAL (UAAL) (b-a)	Funded Ratio (a/b)	Covered Payroll (c)	UAAL as a Percentage of Covered Payroll [(b-a)/c]
7/1/2013	\$ -	\$ 257,000	\$ 257,000	0%	\$ 4,420,523	5.8%
7/1/2015	-	2,464,000	2,464,000	0%	7,174,213	34.3%

Note: (1) The entry-age cost actuarial method was used to calculate the actuarial accrued liability.

Schedule of the University's Proportionate Share of the Net Pension Liability – Florida Retirement System Pension Plan

	2016 (1)	2015 (1)	2014 (1)	2013 (1)
University's proportion of the FRS net pension liability	0.022832875%	0.019998331%	0.009648015%	0.000813120%
University's proportionate share of the FRS net pension liability	\$ 5,765,319	\$ 2,583,054	\$ 588,671	\$ 139,974
University's covered payroll (2)	\$ 11,660,838	\$ 8,912,958	\$ 4,212,980	\$ 348,928
University's proportionate share of the FRS net pension liability as a percentage of its covered payroll	49.44%	28.98%	13.97%	40.12%
FRS Plan fiduciary net position as a percentage of the FRS total pension liability	84.88%	92.00%	96.09%	88.54%

Notes: (1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, State university system optional retirement program members, and members in DROP because total employer contributions are determined on a uniform basis (blended rate) as required by Part III of Chapter 121, Florida Statutes.

Schedule of University Contributions – Florida Retirement System Pension Plan

	2017 (1)	2016 (1)	2015 (1)	2014 (1)
Contractually required FRS contribution	\$ 741,775	\$ 563,074	\$ 487,576	\$ 211,332
FRS contributions in relation to the contractually required contribution	(741,775)	(563,074)	(487,576)	(211,332)
FRS contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -
University's covered payroll (2)	\$ 15,360,481	\$ 11,660,838	\$ 8,912,958	\$ 4,212,980
FRS contributions as a percentage of covered payroll	4.83%	4.83%	5.47%	5.02%

Notes: (1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, State university system optional retirement program members, and members in DROP because total employer contributions are determined on a uniform basis (blended rate) as required by Part III of Chapter 121, Florida Statutes.

**Schedule of the University's Proportionate Share
of the Net Pension Liability –
Health Insurance Subsidy Pension Plan**

	2016 (1)	2015 (1)	2014 (1)	2013 (1)
University's proportion of the HIS net pension liability	0.024197096%	0.018486835%	0.009545059%	0.000943115%
University's proportionate share of the HIS net pension liability	\$ 2,820,072	\$ 1,885,366	\$ 892,486	\$ 82,111
University's covered payroll (2)	\$ 7,298,830	\$ 5,391,296	\$ 2,508,042	\$ 55,192
University's proportionate share of the HIS net pension liability as a percentage of its covered payroll	38.64%	34.97%	35.58%	148.77%
HIS Plan fiduciary net position as a percentage of the HIS total pension liability	0.97%	0.50%	0.99%	1.78%

Notes: (1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, and members in DROP.

**Schedule of University Contributions –
Health Insurance Subsidy Pension Plan**

	2017 (1)	2016 (1)	2015 (1)	2014 (1)
Contractually required HIS contribution	\$ 160,421	\$ 121,161	\$ 70,668	\$ 32,698
HIS contributions in relation to the contractually required HIS contribution	(160,421)	(121,161)	(70,668)	(32,698)
HIS contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -
University's covered payroll (2)	\$ 9,232,755	\$ 7,298,830	\$ 5,391,296	\$ 2,508,042
HIS contributions as a percentage of covered payroll	1.74%	1.66%	1.31%	1.30%

Notes: (1) The amounts presented for each fiscal year were determined as of June 30.

(2) Covered payroll includes defined benefit plan actives, investment plan members, and members in DROP.

NOTES TO REQUIRED SUPPLEMENTARY INFORMATION

1. Schedule of Funding Progress – Other Postemployment Benefit Plan

For the July 1, 2015, valuation, the following key assumptions were modified to reflect current experience: (1) the per capita claims cost assumption increased, (2) retiree contributions were not as high as expected (3) the healthcare trend rate assumption was revised, and (4) certain demographic assumptions were revised (retirement rates, termination rates, etc.).

**2. Schedule of Net Pension Liability and Schedule of Contributions –
Florida Retirement System Pension Plan**

Changes of Assumptions. The long-term expected rate of return was decreased from 7.65 percent to 7.60 percent, and the active member mortality assumption was updated.

**3. Schedule of Net Pension Liability and Schedule of Contributions –
Health Insurance Subsidy Pension Plan**

Changes of Assumptions. The municipal rate used to determine total pension liability decreased from 3.80 percent to 2.85 percent.



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The President of the Senate, the Speaker of the
House of Representatives, and the
Legislative Auditing Committee

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the Florida Polytechnic University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2017, and the related notes to the financial statements, which collectively comprise the University's basic financial statements, and have issued our report thereon dated March 13, 2018, included under the heading **INDEPENDENT AUDITOR'S REPORT**. Our report includes a reference to other auditors who audited the financial statements of the discretely presented component unit, as described in our report on the University's financial statements. This report does not include the results of the other auditors' testing of internal control over financial reporting or compliance and other matters that are reported on separately by those auditors.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the University's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control

that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, rules, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control and compliance. Accordingly, this report is not suitable for any other purpose.

Respectfully submitted,



Sherrill F. Norman, CPA
Tallahassee, Florida
March 13, 2018

AGENDA ITEM: VIII.

**Florida Polytechnic University
Audit and Compliance Committee
Board of Trustees
May 22, 2018**

Subject: Foundation Financial Audit – Fiscal Year Ending 6/30/17

Proposed Committee Action

Recommend approval of the Florida Polytechnic Foundation Financial audit conducted by independent certified public accountants for the fiscal year ended June 30, 2017.

Background Information

In accordance with Florida Polytechnic University Regulation 6C13-10.002, University Direct Support Organizations (DSO), each DSO shall cause an annual financial audit to be conducted, in accordance with applicable laws and rules, by an independent certified public accountant upon the close of each fiscal year for submission to the President and the BOT for review and oversight. David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will present the results of the financial audit of the Foundation, for the fiscal year ended June 30, 2017, to the Committee for their consideration and approval.

Supporting Documentation: Florida Polytechnic University Foundation Financial audit report for the fiscal year ended June 30, 2017.

Prepared by: David A. Blanton, CAE/CCO

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.

**(A COMPONENT UNIT OF
FLORIDA POLYTECHNIC UNIVERSITY)**

**FINANCIAL STATEMENTS AND
SUPPLEMENTAL INFORMATION**

YEAR ENDED JUNE 30, 2017

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
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CliftonLarsonAllen LLP
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INDEPENDENT AUDITORS' REPORT

Board of Directors
Florida Polytechnic University Foundation, Inc.
Lakeland, Florida

Report on the Financial Statements

We have audited the accompanying financial statements of Florida Polytechnic University Foundation, Inc. (a non-profit organization), which comprises the statement of financial position as of June 30, 2017, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America, and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

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

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

(1)

Board of Directors
Florida Polytechnic University Foundation, Inc.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Florida Polytechnic University Foundation, Inc. as of June 30, 2017, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated February 14, 2018, on our consideration of Florida Polytechnic University Foundation, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing and not to provide an opinion on the effectiveness of Florida Polytechnic University Foundation, Inc.'s internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering Florida Polytechnic University Foundation, Inc.'s internal control over financial reporting and compliance.

A handwritten signature in cursive script that reads "CliftonLarsonAllen LLP".

CliftonLarsonAllen LLP

Lakeland, Florida
February 14, 2018

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
STATEMENT OF FINANCIAL POSITION
JUNE 30, 2017

ASSETS		2017
CURRENT ASSETS		
Cash	\$	402,511
Contributions Receivable, Net of Allowances and Discounts		1,205,043
Investments		1,220,851
Total Current Assets		2,828,405
LONG-TERM ASSETS		
Investments - Endowment		886,292
Investments restricted for other long-term purposes		4,257,261
Contributions Receivable, Net of Allowances and Discounts		135,096
Total Assets	\$	8,107,054
LIABILITIES AND NET ASSETS		
CURRENT LIABILITIES		
Accounts Payable	\$	32,474
Due to Florida Polytechnic University		1,207,763
Accrued Liabilities		170,825
Other Liability		2,750,000
Total Current Liabilities		4,161,062
LONG-TERM LIABILITIES		
Other Long-Term Liability		4,698,053
Total Liabilities		8,859,115
NET ASSETS		
Unrestricted, Undesignated		(2,432,221)
Temporarily Restricted		840,397
Permanently Restricted		839,763
Total Net Assets		(752,061)
TOTAL LIABILITIES AND NET ASSETS	\$	8,107,054

See accompanying Notes to Financial Statements.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
STATEMENT OF ACTIVITIES
YEAR ENDED JUNE 30, 2017

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>2017</u>
REVENUES				
Contributions, Net of Allowances and Discounts	\$ 741,544	\$ 416,248	\$ 164,927	\$ 1,322,719
Interest Income	49,020	45,629	-	94,649
In-Kind Salaries	199,351	-	-	199,351
Net Assets Released from Restrictions	737,466	(737,466)	-	-
Total Revenues	<u>1,727,381</u>	<u>(275,589)</u>	<u>164,927</u>	<u>1,616,719</u>
EXPENSES				
Program Services	4,935,740	-	-	4,935,740
Management and General	663,223	-	-	663,223
Fundraising	256,933	-	-	256,933
Total Expenses	<u>5,855,896</u>	<u>-</u>	<u>-</u>	<u>5,855,896</u>
CHANGES IN NET ASSETS	(4,128,515)	(275,589)	164,927	(4,239,177)
NET ASSETS - BEGINNING OF YEAR	<u>1,696,294</u>	<u>1,115,986</u>	<u>674,836</u>	<u>3,487,116</u>
NET ASSETS - END OF YEAR	<u>\$ (2,432,221)</u>	<u>\$ 840,397</u>	<u>\$ 839,763</u>	<u>\$ (752,061)</u>

See accompanying Notes to Financial Statements.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
STATEMENT OF FUNCTIONAL EXPENSES
YEAR ENDED JUNE 30, 2017

	<u>Program Services</u>	<u>Management and General</u>	<u>Fundraising</u>	<u>Total</u>
Transfers to Florida Polytechnic University	\$ 4,655,391	\$ 434,801	\$ -	\$ 5,090,192
Consulting Services	279,128	-	-	279,128
Entertainment	-	-	127,597	127,597
In-kind Salaries	-	199,351	-	199,351
Food and Beverages	-	-	91,333	91,333
Accounting Services	-	16,374	-	16,374
Printing	-	-	9,847	9,847
Rental Expense	-	-	14,917	14,917
Community Engagement & Sponsorships	-	-	5,000	5,000
Postage	-	-	1,180	1,180
Lecturers	-	-	2,500	2,500
Bank Charges	-	4,020	-	4,020
Insurance	-	-	2,434	2,434
Travel	-	4,016	-	4,016
Advertising and Marketing	-	-	1,063	1,063
Other Services	1,221	-	-	1,221
Janitorial Supplies	-	-	357	357
Software	-	1,678	-	1,678
Uniforms	-	1,434	-	1,434
Other Supplies	-	434	-	434
Offices Supplies	-	655	-	655
Data Processing Services	-	460	-	460
Meeting/Program Expenses	-	-	705	705
	<u>\$ 4,935,740</u>	<u>\$ 663,223</u>	<u>\$ 256,933</u>	<u>\$ 5,855,896</u>

See accompanying Notes to Financial Statements.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
STATEMENT OF CASH FLOWS
YEAR ENDED JUNE 30, 2017

CASH FLOWS FROM OPERATING ACTIVITIES	
Change in Net Assets	\$ (4,239,177)
Adjustments to Reconcile Change in Net Assets to Net Cash Provided by Operating Activities:	
(Increase) in Assets:	
Contributions Receivable	1,279,355
Increase (Decrease) in Liabilities:	
Accounts Payable	31,672
Other Liabilities	4,543,267
Net Cash Flows Provided by Operating Activities	<u>1,615,117</u>
CASH FLOWS FROM INVESTING ACTIVITIES	
Purchase of Investments	(2,144,965)
Proceeds from Sale of Investments	<u>501,274</u>
Net Cash Used by Investing Activities	<u>(1,643,691)</u>
NET DECREASE IN CASH	(28,574)
Cash - Beginning of Year	<u>431,085</u>
CASH - END OF YEAR	<u><u>\$ 402,511</u></u>

See accompanying Notes to Financial Statements.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 1 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

Florida Polytechnic University Foundation, Inc. (the Foundation) was incorporated on October 30, 2012. Foundation was formed as a direct-support organization in accordance with Section 1004.28, Florida Statutes, and operates exclusively for the benefit of Florida Polytechnic University (the University). The Foundation is considered a component unit of the University. The governing body of the Foundation is the Board of Directors (the Board). The Board is comprised of not less than three and not more than forty-five elected directors, subject to review by the Board Development Advisory and subject to confirmation by the University president and election by the Board. The Foundation's purpose is to receive, hold, invest and administer property and to make expenditures to or for the benefit of the University by encouraging alumni and friends to provide private funds and other resources for the University's benefit, to manage those assets, to provide volunteer leadership in support of the University's objectives and to perform all business matter to accomplish these purposes.

Basis of Accounting

The financial statements of the Foundation have been prepared on the accrual basis of accounting and accordingly, reflect all significant receivables, prepaid expenses, and payables.

Basis of Presentation

In accordance with accounting guidance, the Foundation's net assets are classified into three categories: (1) unrestricted net assets, which include no donor-imposed restrictions; (2) temporarily restricted net assets, which include donor-imposed restrictions that will expire in the future; and (3) permanently restricted net assets, which include donor-imposed restrictions that the assets be maintained permanently. The unrestricted net assets consist of operating funds available for any purpose authorized by the board of directors.

Temporarily restricted net assets consist of funds arising from gifts in which the donor has stipulated, as a condition of the gift, restrictions on how or when the gift may be spent.

Permanently restricted net assets consist of funds arising from a gift or bequest in which the donor has stipulated, as a condition of the gift, that the principal be maintained in perpetuity and only the investment income from investment of the funds be expended.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 1 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Cash and Cash Equivalents

Cash and cash equivalents consist of cash on hand, cash in demand accounts or time deposits in commercial banks. For the purpose of cash flows, the Foundation includes as cash equivalents all highly liquid investments with a maturity of three months or less when purchased.

Investments

All investments are recorded at fair value based on quoted market prices. Fair value is the amount at which a financial instrument could be exchanged in a current transaction between willing parties.

Unconditional Promises to Give

Unconditional promises to give are recorded when the promises to contribute are made. Unconditional promises to give which are expected to be collected in more than one year are stated at the present value of estimated future receipts, using risk-free rates applicable to the years in which the promises are to be received. The Foundation provides an allowance for uncollectible pledges based on management's assessment of the collectability. The Foundation's policy is to record a three percent allowance for doubtful accounts for all promises to give.

Contributions and Donor-Imposed Restrictions

Contributions, including unconditional promises to give, are recorded when made. Contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Amounts received that are designated for future periods or are restricted by the donor for specific purposes are reported as temporarily or permanently restricted support that increases those net asset classes.

When a donor restriction expires, that is, when a stipulated time restriction ends or purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted new assets and are reported in the statement of activities as net assets released from restrictions. If a temporarily restriction is fulfilled in the same time period in which the contribution is received, the Foundation reports the support as unrestricted.

In-Kind Contributions

Contributions of donated assets and services are recorded at their estimated fair value at the date of receipt and are reflected as contributions in the accompanying statement of activities. Contributions of services are recognized only if such services create or enhance nonfinancial assets, would have been purchased if not provided by donation, require specialized skills, and are provided by individuals possessing such specialized skills and would otherwise be purchased by the Foundation.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 1 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Functional Expenses

The costs of the providing the various programs and other activities have been summarized on a functional basis in the statements of activities and functional expenses. Expenses are allocated based on management's estimate of the relative functional activity.

Income Tax Status

The Foundation is a not-for-profit organization that is exempt from federal and state income taxes under Section 501(c)(3) of the Internal Revenue Code. Unrelated business income, as defined by Section 509(a)(1) of the Code is subject to federal income tax. The Foundation currently has no unrelated business taxable income. Accordingly, no provision for income taxes has been recorded.

The Foundation adopted the income tax standard for uncertain tax positions on January 1, 2009. As a result of the implementation, the Foundation determined there were no uncertain tax position for which either recognition or disclosure is required in the Financial Statements.

Fair Value Measurement

The Foundation measures fair value using a three-level hierarchy for fair value measurements based upon the transparency of inputs to the valuation of an asset or liability. Inputs may be observable or unobservable and refer broadly to the assumptions that market participants would use in pricing the asset or liability. Observable inputs reflect the assumptions market participants would use in pricing the asset or liability based on market data obtained from sources independent of the reporting entity. Unobservable inputs reflect the reporting entity's own assumptions about the assumptions that market participants would use in pricing the asset or liability developed based on the best information available in the circumstances.

The objective of a fair value measurement is to determine the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (an exit price). Accordingly, the fair value hierarchy gives the highest priority to quoted prices (unadjusted) in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). The Foundation may use valuation techniques consistent with the market, income and cost approaches to measure fair value.

The inputs used to measure fair value are categorized into the following three categories:

Level 1 – Inputs that reflect unadjusted quoted prices in active markets for identical investments, such as stocks, corporate and government bonds. The Foundation has the ability to access quoted prices as of the measurement date.

Level 2 – Inputs, other than quoted prices, that are observable for the asset or liability either directly or indirectly, including inputs from markets that are not considered to be active.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 1 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Level 3 – Inputs that are unobservable. Unobservable inputs reflect the Foundation's own assumptions about the factors market participants would use in pricing an investment, and is based on the best information available in the circumstances.

Following is a description of the valuation methodologies used for assets measured at fair value.

Cash and Cash Equivalents – The carrying amounts reported in the statement of financial position approximate fair values due to relatively short maturities of these instruments.

Investments – Valued at the closing price reported on the active market on which the individual securities are traded.

NOTE 2 CASH AND CASH EQUIVALENTS

At June 30, 2017, the Foundation's book balance of cash is \$402,511. The bank balance is \$369,950. Custodial credit risk is the risk that in the event of a bank failure, the Foundation's deposits may not be returned to it. All deposits are insured with the FDIC up to \$250,000.

NOTE 3 INVESTMENTS

The Foundation invests in the Florida State Treasury. The Florida State Treasury operates a special investment program for public entities other than the state. This program is authorized in Section 17.61(1), Florida Statutes, and is called the Special Purpose Investment Account (SPIA). Entities created by the Florida Constitution or Florida Statutes are eligible to invest in SPIA, including universities. The Foundation and University pool investments into one SPIA investment account. As a SPIA participant, the Foundation and University owns a share of the pool, not the underlying securities.

SPIA funds are combined with State funds and invested in six fixed income components. These components include a Certificates of Deposit and Securities Lending program as well as short-term liquidity, cash enhanced, conservative core and core strategies. SPIA seeks to maintain a \$1.00 value. The value at June 30, 2017 was 0.9923.

An investment in SPIA is not a deposit in a bank and is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency. Although SPIA seeks to preserve principal, it is possible to lose money by depositing money into SPIA. Unlike individual debt securities, which typically pay principal at maturity, the value of an investment in the fund will fluctuate.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017

NOTE 3 INVESTMENTS (CONTINUED)

All investments carry a certain amount of risk. The following factors can significantly affect the fund's performance:

Interest Rate Changes

Interest rate increases can cause the price of a debt security to decrease. The effective duration of SPIA as of June 30, 2017 was 2.80 years.

Credit Risk

The Florida Treasury Investment Pool is rated by Standard and Poor's. The rating as of June 30, 2017 was A+f.

Foreign Exposure

State law and investment policy does not authorize the Treasury Investment Pool to purchase investments in foreign currencies. Therefore, the Treasury Investment Pool is not exposed to Foreign Currency Risk.

The Foundation's only significant investment is in SPIA. The total amount invested by the Foundation at June 30, 2017 is \$6,364,404.

Disclosures for the State Treasury investment pool are included in the notes to the financial statement of the State's Comprehensive Annual Financial Report.

NOTE 4 CONTRIBUTION RECEIVABLES

Contribution receivables are due as follows:

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Contribution Receivables:				
In less than one year	\$ 1,087,867	\$ 141,085	\$ 13,750	\$1,242,702
In 1 to 5 years	5,000	83,104	51,000	139,104
	<u>1,092,867</u>	<u>224,189</u>	<u>64,750</u>	<u>1,381,806</u>
Less: Discounts on Long-term Receivables	(16,696)	(3,475)	(1,004)	(21,175)
Less: Allowance for Doubtful Accounts	<u>(16,158)</u>	<u>(3,363)</u>	<u>(971)</u>	<u>(20,492)</u>
Contributions Receivable, Net of Allowances and Discounts	<u>\$ 1,060,013</u>	<u>\$ 217,351</u>	<u>\$ 62,775</u>	<u>\$1,340,139</u>

Contributions receivable are recorded by the Foundation when all eligibility requirements are met and once the contribution receivable is verifiable and the resources are measurable and probable of collection. An allowance for uncollectible contributions receivable is recorded based on management's estimate of uncollectible contributions. Long-term pledges are discounted using a risk free rate of return adjustment plus one percent.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017

NOTE 5 FAIR VALUE OF FINANCIAL INSTRUMENTS

The Foundation uses fair value measurements to record fair value adjustments to certain assets and liabilities and to determine fair value disclosures. For additional information on how the Foundation values all other assets and liabilities refer to Note 1 –Summary of Significant Accounting Policies.

The following tables present the fair value hierarchy for the balances of the investments of the Foundation measured at fair value on a recurring basis as of June 30, 2017:

	Quoted Active Markets Identified Inputs (Level One)	Prices in Significant Other Observable Inputs (Level Two)	Unrealized Significant Unobservable Inputs (Level Three)
Special Purpose Investment Account	\$ 6,364,404	\$ -	\$ -
Total Investments	\$ 6,364,404	\$ -	\$ -

NOTE 6 OTHER LIABILITY

The Foundation has \$2,750,000 in other liabilities as of year ended June 30, 2017. During fiscal year 2014, an anonymous donor gave \$5,000,000 to the foundation. According to the stipulations of the second amendment to the donation agreement, \$250,000 was returned to the anonymous donor in fiscal year 2015. \$2,000,000 of the donation was designated for unrestricted purposes. Funds were available in a dollar for dollar match as donations were received from additional donors. During fiscal year June 30, 2014, \$447,200 was matched and recognized as revenue. During fiscal year end June 30, 2015, the remaining \$1,552,800 was matched, collected and recognized as revenue. The remaining \$2,750,000 cannot be used until the anonymous donor and Foundation enter an agreement as to how the funds will be released. The second amendment of the donation agreement states, if a written agreement is not reached on or before August 1, 2015, the anonymous donor may at any time thereafter, upon its written request remove the remainder of the donation. If this event occurs, the Foundation is required to return the \$2,750,000 to the anonymous donor within 30 days of the anonymous donor's written request. As of the issuance of the June 30, 2017 financial statements, an agreement has not been reached with the anonymous donor, although on-going discussions have/are taking place between the University and the anonymous donor in regards to status of designated benchmarks. To date, the anonymous donor has not requested the funds be returned.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017

NOTE 7 OTHER LONG-TERM LIABILITY

The Foundation has pledged to fund certain scholarships and other expenses for the University. At June 30, 2017, the amounts outstanding pledged for the fiscal year ended June 30, 2016 is \$1,170,000 and the outstanding amount pledged for the year ended June 30, 2017 is \$4,735,816. The Board has agreed to pay the amounts relating to scholarships in equal installments over ten years bearing no interest. Payments for non-scholarship pledges are due in the fiscal year ending June 30, 2018.

Below is a summary of amounts to be paid to the University:

	Amount
2018	\$ 1,207,763
2019	587,257
2020	587,257
2021	587,257
2022	587,257
Thereafter	2,349,025
Total	<u>\$ 5,905,816</u>

NOTE 8 ENDOWMENT COMPOSITION

The Foundation's endowment consists primarily of funds established by donors and the board of directors in prior years through donations and the growth of those funds over the years.

As of June 30, 2017, the Foundation's endowment included funds established for the purposes of scholarships. These funds include donor restricted and board designated quasi-endowment funds. Net assets associated with endowment funds are classified and reported based on the existence or absence of donor imposed restrictions.

Endowment funds by category from inception to date consist of the following as of June 30, 2017:

	Permanently Restricted	Total
Endowments:		
Scholarship Program	\$ 839,763	\$ 839,763
Total Endowment	<u>\$ 839,763</u>	<u>\$ 839,763</u>

Interpretation of Uniform Prudent Management of Institutional Funds

During 2011, the state of Florida enacted Uniform Prudent Management of Institutional Funds Act (UPMIFA). The Foundation enacted the enhanced disclosure for endowments required by accounting guidance which became effective July 1, 2012.

FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017

NOTE 8 ENDOWMENT COMPOSITION (CONTINUED)

As a result of this interpretation, the Foundation classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund.

Changes in endowment net assets consist of the following for the year ended June 30, 2017:

	Permanently Restricted	Total
Endowment at:		
Beginning of Year	\$ 674,836	\$ 674,836
New Gifts	164,927	164,927
Endowment at End of Year	<u>\$ 839,763</u>	<u>\$ 839,763</u>

The remaining portion of the endowment fund that is not classified in permanently restricted net assets is classified as unrestricted board designated until those amounts are appropriated for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by the board.

The Foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

1. The duration and preservation of the fund
2. The purposes of the organization and the donor-restricted endowment fund
3. General economic conditions
4. The possible effect of inflation and deflation
5. The expected total return from income and the appreciation of investments
6. Other resources of the organization
7. The investment policies of the organization

Strategies Employed for Achieving Objectives

The purpose of the Endowment Fund is to facilitate donors' desires to make substantial long-term gifts to the Foundation and to develop a new and significant source of revenue for the Foundation. In so doing, the Endowment Fund will provide a secure, long-term source of funds to: (a) fund special grants; (b) ensure long-term growth; (c) enhance our ability to meet changing University and Foundation needs in both the short and long-term; and, (d) support the administrative expenses of the Foundation as deemed appropriate.

Spending Policy and How the Investment Objectives Relate to Spending Policy

The Foundation has not yet adopted investment and spending policies for endowment assets.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 8 ENDOWMENT COMPOSITION (CONTINUED)

Funds with Deficiencies

From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donor or Foundation policies requires to retain as a fund of perpetual duration. These deficiencies are the result of unfavorable market fluctuations that occurred after the investment of permanently restricted contributions. Deficiencies of this nature that are in excess of related temporarily restricted amounts would be reported in unrestricted net assets. The Foundation does not have any deficiencies as of June 30, 2017.

NOTE 9 CONCENTRATIONS

During fiscal year ended June 30, 2017, one donor accounted for approximately 20% of total contribution revenue.

NOTE 10 TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets consist of net assets restricted for scholarships totaling \$(233,966), net assets restricted for a wellness center totaling \$528,461, and net assets restricted for specifically identified programs totaling \$500,273. The remaining \$45,629 of temporarily restricted net assets is interest and earnings. The net assets restricted for scholarships holds a negative balance which is due to the liability owed to the University.

NOTE 10 NET ASSETS RELEASED FROM RESTRICTIONS

Net assets were released from donor restrictions by incurring scholarship expenses, satisfying the purpose specified by donors.

NOTE 11 PERMANENTLY RESTRICTED NET ASSETS

Permanently restricted net assets consist of entirely of assets restricted for endowed scholarships.

NOTE 12 COMMITMENTS

The Foundation has committed to fund tuition, fees and other costs for the inaugural and second incoming cohorts of University students. In addition, the Foundation has committed to provide scholarships to cover tuition and fees for the third cohort of students. For the 2017/2018 school year, the Foundation Board approved total scholarship commitments not to exceed \$1,000,000.

**FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC.
(A COMPONENT UNIT OF FLORIDA POLYTECHNICAL UNIVERSITY)
NOTES TO FINANCIAL STATEMENTS
JUNE 30, 2017**

NOTE 13 RELATED PARTY TRANSACTIONS

The Foundation contributed \$5,090,192 to the University for the year ended June 30, 2017. Of the Foundation's liabilities recorded as of June 30, 2017, approximately \$6.0 million is owed to the University. At June 30, 2017, there was approximately \$10,000 of gross contribution receivables due from Foundation Board of Directors and University Board of Trustees. For the year ended June 30, 2017, contribution revenue from the Foundation Board of Directors and University Board of Trustees totaled approximately \$30,000.



CliftonLarsonAllen LLP
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**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED
IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

Board of Directors
Florida Polytechnic University Foundation, Inc.
Lakeland, Florida

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Florida Polytechnic University Foundation, Inc., which comprise the statement of financial position as of June 30, 2017, and the related statements of activities, functional expenses and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated February 14, 2018.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered Florida Polytechnic University Foundation, Inc.'s internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Florida Polytechnic University Foundation, Inc.'s internal control. Accordingly, we do not express an opinion on the effectiveness of Florida Polytechnic University Foundation, Inc.'s internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Board of Directors
Florida Polytechnic University Foundation, Inc.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether Florida Polytechnic University Foundation, Inc.'s financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the result of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in cursive script that reads "CliftonLarsonAllen LLP".

CliftonLarsonAllen LLP

Lakeland, Florida
February 14, 2018

Caution: Forms printed from within Adobe Acrobat products may not meet IRS or state taxing agency specifications. When using Acrobat 9.x products and later products, select "None" in the "Page Scaling" selection box in the Adobe "Print" dialog.

PUBLIC DISCLOSURE COPY

** PUBLIC DISCLOSURE COPY **

OMB No. 1545-0047

Form **990****Return of Organization Exempt From Income Tax**
Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)**2016**

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

- ▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990 and its instructions is at www.irs.gov/form990.

A For the 2016 calendar year, or tax year beginning **JUL 1, 2016** and ending **JUN 30, 2017**

B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC		D Employer identification number 46-1426289
	Doing business as		E Telephone number (863) 874-8416
	Number and street (or P.O. box if mail is not delivered to street address)	Room/suite	G Gross receipts \$ 1,859,418.
	4700 RESEARCH WAY		H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	City or town, state or province, country, and ZIP or foreign postal code LAKELAND, FL 33805		H(b) Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions)
F Name and address of principal officer: KEVIN ASPEGREN SAME AS C ABOVE			H(c) Group exemption number ▶
I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527			
J Website: ▶ WWW.FLORIDAPOLYTECHNIC.ORG			
K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶			L Year of formation: 2012 M State of legal domicile: FL

Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: ESTABLISHED TO HELP SUSTAIN THE MISSION OF FLORIDA POLYTECHNIC UNIVERSITY.		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	18
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	17
	5 Total number of individuals employed in calendar year 2016 (Part V, line 2a)	5	0
	6 Total number of volunteers (estimate if necessary)	6	36
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
7b Net unrelated business taxable income from Form 990-T, line 34	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year 4,289,043.	Current Year 1,171,607.
	9 Program service revenue (Part VIII, line 2g)	0.	0.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	71,610.	94,649.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-162,701.	-119,980.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	4,197,952.	1,146,276.
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	2,969,339.	5,095,192.
	14 Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.	0.
Expenses	16a Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 40,065.		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	357,272.	349,485.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	3,326,611.	5,444,677.
	19 Revenue less expenses. Subtract line 18 from line 12	871,341.	-4,298,401.
	20 Total assets (Part X, line 16)	Beginning of Current Year 7,771,292.	End of Year 8,107,054.
21 Total liabilities (Part X, line 26)	4,284,176.	8,859,115.	
22 Net assets or fund balances. Subtract line 21 from line 20	3,487,116.	-752,061.	

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer		Date		
	DEREK HORTON, FOUNDATION TREASURER				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	LAUREN BALLARD	LAUREN BALLARD	03/08/18	<input type="checkbox"/>	P01451787
	Firm's name ▶ CLIFTONLARSONALLEN LLP	Firm's EIN ▶ 41-0746749			
	Firm's address ▶ 402 SOUTH KENTUCKY AVENUE, SUITE 600 LAKELAND, FL 33801	Phone no. 863-680-5600			

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2016)

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Part III Statement of Program Service AccomplishmentsCheck if Schedule O contains a response or note to any line in this Part III ☐

- 1 Briefly describe the organization's mission:
ESTABLISHED TO HELP SUSTAIN THE MISSION OF FLORIDA POLYTECHNIC
UNIVERSITY TO EDUCATE STUDENTS EMPHASIZING SCIENCE, TECHNOLOGY,
ENGINEERING AND MATHEMATICS (STEM) IN AN INNOVATIVE, TECHNOLOGY-RICH,
AND INTERDISCIPLINARY LEARNING ENVIRONMENT.
- 2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No
 If "Yes," describe these new services on Schedule O.
- 3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No
 If "Yes," describe these changes on Schedule O.
- 4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.
- 4a (Code:) (Expenses \$ 5,375,541. including grants of \$ 5,095,192.) (Revenue \$ 0.)
THE FOUNDATION'S SOLE PURPOSE IS TO BUILD THE ASSETS NECESSARY SUPPORT
THE UNIVERSITY AND ITS ENDEAVOR TO PREPARE BRIGHT AND EAGER MINDS TO BE
TODAY'S ANSWER TO TOMORROW'S QUESTIONS. FOUNDATION PROVIDED
SCHOLARSHIPS FOR THE FALL AND SPRING SEMESTERS FOR UNIVERSITY STUDENTS
AS WELL AS GRANTS TO COMPENSATE UNIVERSITY EMPLOYEES.
- 4b (Code:) (Expenses \$ including grants of \$) (Revenue \$)
- 4c (Code:) (Expenses \$ including grants of \$) (Revenue \$)
- 4d Other program services (Describe in Schedule O.)
 (Expenses \$ including grants of \$) (Revenue \$)
- 4e Total program service expenses **▶** 5,375,541.

Form 990 (2016)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2016)

46-1426289 Page 3

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	X	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>		X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>		X
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>		X
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>		X
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i>		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i>		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		X

Form 990 (2016)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2016)

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Part IV Checklist of Required Schedules (continued)

	Yes	No
20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	X	
22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III		X
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J		X
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a		X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I		X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I		X
26 Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If "Yes," complete Schedule L, Part II		X
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part III		X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
b A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV		X
29 Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M		X
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M		X
31 Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I		X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II		X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I		X
34 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1	X	
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?		X
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2		
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2		X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	X	

Note. All Form 990 filers are required to complete Schedule O

Form 990 (2016)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Form 990 (2016)

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Part V Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response or note to any line in this Part V ☐

		Yes	No
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a 0		
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b 0		
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c		
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a 0		
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	2b		
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a		X
b If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O	3b		
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a		X
b If "Yes," enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).			
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a		X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		X
c If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	5c		
6a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a		X
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b		
7 Organizations that may receive deductible contributions under section 170(c).			
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	X	
b If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	X	
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		X
d If "Yes," indicate the number of Forms 8282 filed during the year	7d		
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e		X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g		
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h		
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8		
9 Sponsoring organizations maintaining donor advised funds.			
a Did the sponsoring organization make any taxable distributions under section 4966?	9a		
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b		
10 Section 501(c)(7) organizations. Enter:			
a Initiation fees and capital contributions included on Part VIII, line 12	10a		
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b		
11 Section 501(c)(12) organizations. Enter:			
a Gross income from members or shareholders	11a		
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b		
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a		
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b		
13 Section 501(c)(29) qualified nonprofit health insurance issuers.			
a Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.	13a		
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b		
c Enter the amount of reserves on hand	13c		
14a Did the organization receive any payments for indoor tanning services during the tax year?	14a		X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b		

Form 990 (2016)

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

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Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

☒ X**Section A. Governing Body and Management**

	1a	1b	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.	18			
b Enter the number of voting members included in line 1a, above, who are independent		17		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2			X
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?	3			X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4			X
5 Did the organization become aware during the year of a significant diversion of the organization's assets?	5			X
6 Did the organization have members or stockholders?	6			X
7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a			X
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b			X
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a The governing body?	8a		X	
b Each committee with authority to act on behalf of the governing body?	8b		X	
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O	9			X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
10a Did the organization have local chapters, branches, or affiliates?	10a	X
b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b	
11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	11a	X
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Did the organization have a written conflict of interest policy? If "No," go to line 13	12a	X
b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	X
c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	12c	X
13 Did the organization have a written whistleblower policy?	13	X
14 Did the organization have a written document retention and destruction policy?	14	X
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official	15a	X
b Other officers or key employees of the organization	15b	X
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a	X
b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b	

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed **FL**

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
☐ Own website ☐ Another's website ☒ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records: **KIMBERLY SIKORSKI - 863-874-8417**
4700 RESEARCH WAY, LAKE LAND, FL 33805

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Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) LORETTA SANDERS CHAIR	1.25	X		X				0.	0.	0.
(2) RALPH ALLEN DIRECTOR	1.25	X						0.	0.	0.
(3) TODD BAYLIS DIRECTOR	1.25	X						0.	0.	0.
(4) GREGORY FANCELLI DIRECTOR	1.25	X						0.	0.	0.
(5) FORD HEACOCK DIRECTOR	1.25	X						0.	0.	0.
(6) ROB KINCART DIRECTOR	1.25	X						0.	0.	0.
(7) DAVID MANN DIRECTOR	1.25	X						0.	0.	0.
(8) SIJO PAREKATTIL DIRECTOR	1.25	X						0.	0.	0.
(9) BLAKE PAUL DIRECTOR	1.25	X						0.	0.	0.
(10) SHELLEY ROBINSON DIRECTOR	1.25	X						0.	0.	0.
(11) DR. MICHAEL TOLENTINO DIRECTOR	1.25	X						0.	0.	0.
(12) VIC STORY DIRECTOR	1.25	X						0.	0.	0.
(13) SERETHA TINSLEY DIRECTOR	1.25	X						0.	0.	0.
(14) STEVE WARNER, PH.D. DIRECTOR	1.25	X						0.	126,499.	18,986.
(15) SAM DAVIDSON DIRECTOR	1.25	X						0.	0.	0.
(16) ALICE HUNT DIRECTOR	1.25	X						0.	0.	0.
(17) KATHRYN MIZERECK DIRECTOR	1.25	X						0.	31,019.	3,683.

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Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (*continued*)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) LAUREN SCHWENK DIRECTOR	1.25	X						0.	0.	0.
(19) DONNA SLYSTER DIRECTOR	1.25	X						0.	0.	0.
1b Sub-total								0.	157,518.	22,669.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								0.	157,518.	22,669.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization 0

	Yes	No
3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>		X
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i>		X
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
NONE		

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization 0

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Part VIII Statement of RevenueCheck if Schedule O contains a response or note to any line in this Part VIII ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1 a	Federated campaigns	1a				
	b	Membership dues	1b				
	c	Fundraising events	1c	480,927.			
	d	Related organizations	1d				
	e	Government grants (contributions)	1e				
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	690,680.			
	g	Noncash contributions included in lines 1a-1f: \$					
	h	Total. Add lines 1a-1f		1,171,607.			
Program Service Revenue	Business Code						
	2 a						
	b						
	c						
	d						
	e						
	f	All other program service revenue					
g	Total. Add lines 2a-2f						
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)		94,649.			94,649.
	4	Income from investment of tax-exempt bond proceeds					
	5	Royalties					
	6 a	Gross rents	(i) Real (ii) Personal				
	b	Less: rental expenses					
	c	Rental income or (loss)					
	d	Net rental income or (loss)					
	7 a	Gross amount from sales of assets other than inventory	(i) Securities (ii) Other	501,274.			
	b	Less: cost or other basis and sales expenses		501,274.			
	c	Gain or (loss)		0.			
	d	Net gain or (loss)		0.			
	8 a	Gross income from fundraising events (not including \$ 480,927. of contributions reported on line 1c). See Part IV, line 18	a	91,888.			
	b	Less: direct expenses	b	211,868.			
	c	Net income or (loss) from fundraising events		-119,980.			-119,980.
	9 a	Gross income from gaming activities. See Part IV, line 19	a				
	b	Less: direct expenses	b				
	c	Net income or (loss) from gaming activities					
	10 a	Gross sales of inventory, less returns and allowances	a				
	b	Less: cost of goods sold	b				
	c	Net income or (loss) from sales of inventory					
Miscellaneous Revenue			Business Code				
11 a							
b							
c							
d	All other revenue						
e	Total. Add lines 11a-11d						
12	Total revenue. See instructions.		1,146,276.	0.	0.	-25,331.	

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**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

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46-1426289 Page **10****Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	5,095,192.	5,095,192.		
2 Grants and other assistance to domestic individuals. See Part IV, line 22				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees				
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages				
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)				
9 Other employee benefits				
10 Payroll taxes				
11 Fees for services (non-employees):				
a Management				
b Legal				
c Accounting	16,374.		16,374.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	280,349.	280,349.		
12 Advertising and promotion	1,063.			1,063.
13 Office expenses	31,410.		5,109.	26,301.
14 Information technology	2,138.		2,138.	
15 Royalties				
16 Occupancy				
17 Travel	4,016.		4,016.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	10,267.			10,267.
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization				
23 Insurance	2,434.			2,434.
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a				
b				
c				
d				
e All other expenses	1,434.		1,434.	
25 Total functional expenses. Add lines 1 through 24e	5,444,677.	5,375,541.	29,071.	40,065.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here ☐ if following SOP 98-2 (ASC 958-720)

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Part X Balance SheetCheck if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	431,085.	1	402,511.
	2 Savings and temporary cash investments		2	
	3 Pledges and grants receivable, net	2,619,494.	3	1,340,139.
	4 Accounts receivable, net		4	
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges		9	
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a		
	b Less: accumulated depreciation	10b		
		10c		
	11 Investments - publicly traded securities	4,720,713.	11	6,364,404.
	12 Investments - other securities. See Part IV, line 11		12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
15 Other assets. See Part IV, line 11		15		
16 Total assets. Add lines 1 through 15 (must equal line 34)	7,771,292.	16	8,107,054.	
Liabilities	17 Accounts payable and accrued expenses	802.	17	203,299.
	18 Grants payable		18	
	19 Deferred revenue	2,750,000.	19	2,750,000.
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties	1,300,000.	24	4,698,053.
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	233,374.	25	1,207,763.
	26 Total liabilities. Add lines 17 through 25	4,284,176.	26	8,859,115.
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.			
	27 Unrestricted net assets	1,696,294.	27	-2,432,221.
	28 Temporarily restricted net assets	1,115,986.	28	840,397.
	29 Permanently restricted net assets	674,836.	29	839,763.
	Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds		32	
	33 Total net assets or fund balances	3,487,116.	33	-752,061.
	34 Total liabilities and net assets/fund balances	7,771,292.	34	8,107,054.

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**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

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Check if Schedule O contains a response or note to any line in this Part XI

☒

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,146,276.
2	Total expenses (must equal Part IX, column (A), line 25)	2	5,444,677.
3	Revenue less expenses. Subtract line 2 from line 1	3	-4,298,401.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	3,487,116.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	59,224.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	-752,061.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

☐

	Yes	No
1 Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
2a Were the organization's financial statements compiled or reviewed by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	2a	X
b Were the organization's financial statements audited by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	2b	X
c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? _____ If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	2c	X
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? _____	3a	X
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits _____	3b	

Form **990** (2016)

FLORIDA POLYTECHNIC UNIVERSITY

Schedule A (Form 990 or 990-EZ) 2016 FOUNDATION, INC

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Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")		7,028,691.	3,030,406.	4,289,043.	1,157,618.	15,505,758.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3		7,028,691.	3,030,406.	4,289,043.	1,157,618.	15,505,758.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						2,419,939.
6 Public support. Subtract line 5 from line 4.						13,085,819.

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
7 Amounts from line 4		7,028,691.	3,030,406.	4,289,043.	1,157,618.	15,505,758.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources		7,846.	114,768.	71,610.	94,649.	288,873.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11 Total support. Add lines 7 through 10						15,794,631.
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						<input type="checkbox"/>

Section C. Computation of Public Support Percentage

14 Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f))	14	82.85 %
15 Public support percentage from 2015 Schedule A, Part II, line 14	15	%
16a 33 1/3% support test - 2016. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization		<input checked="" type="checkbox"/>
b 33 1/3% support test - 2015. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
17a 10% -facts-and-circumstances test - 2016. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
b 10% -facts-and-circumstances test - 2015. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization		<input type="checkbox"/>
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions		<input type="checkbox"/>

Schedule A (Form 990 or 990-EZ) 2016

FLORIDA POLYTECHNIC UNIVERSITY

Schedule A (Form 990 or 990-EZ) 2016 FOUNDATION, INC

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Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						<input type="checkbox"/>

Section C. Computation of Public Support Percentage

15 Public support percentage for 2016 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2015 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2016 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2015 Schedule A, Part III, line 17	18	%

19a **33 1/3% support tests - 2016.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

b **33 1/3% support tests - 2015.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

FLORIDA POLYTECHNIC UNIVERSITY

Schedule A (Form 990 or 990-EZ) 2016 FOUNDATION, INC

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Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

	Yes	No
1 Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.		
2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.		
b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in Part VI when and how the organization made the determination.		
c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in Part VI what controls the organization put in place to ensure such use.		
4a Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.		
b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.		
c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.		
5a Did the organization add, substitute, or remove any supported organizations during the tax year? If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI , including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).		
b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If "Yes," provide detail in Part VI .		
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).		
8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).		
9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If "Yes," provide detail in Part VI .		
b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in Part VI .		
c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If "Yes," provide detail in Part VI .		
10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer 10b below.		
b Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)		

FLORIDA POLYTECHNIC UNIVERSITY

Schedule A (Form 990 or 990-EZ) 2016 FOUNDATION, INC

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Part IV Supporting Organizations (continued)

	Yes	No
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
b A family member of a person described in (a) above?		
c A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI.		

Section B. Type I Supporting Organizations

- | | Yes | No |
|--|-----|----|
| 1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year. | | |
| 2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization. | | |

Section C. Type II Supporting Organizations

- | | Yes | No |
|---|-----|----|
| 1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s). | | |

Section D. All Type III Supporting Organizations

- | | Yes | No |
|---|-----|----|
| 1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? | | |
| 2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s). | | |
| 3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard. | | |

Section E. Type III Functionally Integrated Supporting Organizations

- 1** Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).
- a** ☐ The organization satisfied the Activities Test. Complete line 2 below.
- b** ☐ The organization is the parent of each of its supported organizations. Complete line 3 below.
- c** ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).
- 2** Activities Test. Answer (a) and (b) below.
- | | Yes | No |
|--|-----|----|
| a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities. | | |
| b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement. | | |
- 3** Parent of Supported Organizations. Answer (a) and (b) below.
- | | | |
|--|--|--|
| a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI. | | |
| b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard. | | |

FLORIDA POLYTECHNIC UNIVERSITY

FOUNDATION, INC

Schedule A (Form 990 or 990-EZ) 2016

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Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI.) See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).		

Schedule A (Form 990 or 990-EZ) 2016

FLORIDA POLYTECHNIC UNIVERSITY

FOUNDATION, INC

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Schedule A (Form 990 or 990-EZ) 2016

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

Section D - Distributions		Current Year
1	Amounts paid to supported organizations to accomplish exempt purposes	
2	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3	Administrative expenses paid to accomplish exempt purposes of supported organizations	
4	Amounts paid to acquire exempt-use assets	
5	Qualified set-aside amounts (prior IRS approval required)	
6	Other distributions (describe in Part VI). See instructions	
7	Total annual distributions. Add lines 1 through 6	
8	Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions	
9	Distributable amount for 2016 from Section C, line 6	
10	Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2016	(iii) Distributable Amount for 2016
1	Distributable amount for 2016 from Section C, line 6		
2	Underdistributions, if any, for years prior to 2016 (reasonable cause required- explain in Part VI). See instructions		
3	Excess distributions carryover, if any, to 2016:		
a			
b			
c	From 2013		
d	From 2014		
e	From 2015		
f	Total of lines 3a through e		
g	Applied to underdistributions of prior years		
h	Applied to 2016 distributable amount		
i	Carryover from 2011 not applied (see instructions)		
j	Remainder. Subtract lines 3g, 3h, and 3i from 3f.		
4	Distributions for 2016 from Section D, line 7: \$		
a	Applied to underdistributions of prior years		
b	Applied to 2016 distributable amount		
c	Remainder. Subtract lines 4a and 4b from 4		
5	Remaining underdistributions for years prior to 2016, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions		
6	Remaining underdistributions for 2016. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions		
7	Excess distributions carryover to 2017. Add lines 3j and 4c		
8	Breakdown of line 7:		
a			
b	Excess from 2013		
c	Excess from 2014		
d	Excess from 2015		
e	Excess from 2016		

Schedule A (Form 990 or 990-EZ) 2016

FLORIDA POLYTECHNIC UNIVERSITY

Schedule A (Form 990 or 990-EZ) 2016

FOUNDATION, INC

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Part VI

Supplemental Information. Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information.
(See instructions.)

Lined area for supplemental information.

** PUBLIC DISCLOSURE COPY **

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016

Name of the organization

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Employer identification number

46-1426289

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☒ 501(c)(3) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☐ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☒ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page **2**

Name of organization
**FLORIDA POLYTECHNIC UNIVERSITY
 FOUNDATION, INC**

Employer identification number

46-1426289**Part I Contributors** (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>		\$ <u>26,677.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>2</u>		\$ <u>55,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>3</u>		\$ <u>30,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>4</u>		\$ <u>101,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>5</u>		\$ <u>251,500.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
<u>6</u>		\$ <u>50,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

623452 10-18-16

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page **2**

Name of organization
**FLORIDA POLYTECHNIC UNIVERSITY
 FOUNDATION, INC**

Employer identification number

46-1426289**Part I Contributors** (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7		\$ 100,250.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
8		\$ 72,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
9		\$ 50,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
10		\$ 24,500.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

623452 10-18-16

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page **3**

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part II Noncash Property (See instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page **4**

Name of organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC	Employer identification number 46-1426289
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Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info. once.) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

SCHEDULE C
(Form 990 or 990-EZ)Department of the Treasury
Internal Revenue Service**Political Campaign and Lobbying Activities**

For Organizations Exempt From Income Tax Under section 501(c) and section 527
 ► Complete if the organization is described below. ► Attach to Form 990 or Form 990-EZ.
 ► Information about Schedule C (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016Open to Public
Inspection

If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization **FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**Employer identification number
46-1426289**Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.**

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV.

2 Political campaign activity expenditures ► \$

3 Volunteer hours for political campaign activities

Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 ► \$

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ► \$

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No4a Was a correction made? ☐ Yes ☐ No

b If "Yes," describe in Part IV.

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ► \$

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527
exempt function activities ► \$3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL,
line 17b ► \$4 Did the filing organization file Form 1120-POL for this year? ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule C (Form 990 or 990-EZ) 2016

LHA

632041 11-10-16

FLORIDA POLYTECHNIC UNIVERSITY

Schedule C (Form 990 or 990-EZ) 2016 FOUNDATION, INC

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Part II-A Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

A Check ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).

B Check ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a	Total lobbying expenditures to influence public opinion (grass roots lobbying)														
b	Total lobbying expenditures to influence a legislative body (direct lobbying)														
c	Total lobbying expenditures (add lines 1a and 1b)														
d	Other exempt purpose expenditures														
e	Total exempt purpose expenditures (add lines 1c and 1d)														
f	Lobbying nontaxable amount. Enter the amount from the following table in both columns.														
<table border="1"> <thead> <tr> <th>If the amount on line 1e, column (a) or (b) is:</th> <th>The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <tr> <td>Not over \$500,000</td> <td>20% of the amount on line 1e.</td> </tr> <tr> <td>Over \$500,000 but not over \$1,000,000</td> <td>\$100,000 plus 15% of the excess over \$500,000.</td> </tr> <tr> <td>Over \$1,000,000 but not over \$1,500,000</td> <td>\$175,000 plus 10% of the excess over \$1,000,000.</td> </tr> <tr> <td>Over \$1,500,000 but not over \$17,000,000</td> <td>\$225,000 plus 5% of the excess over \$1,500,000.</td> </tr> <tr> <td>Over \$17,000,000</td> <td>\$1,000,000.</td> </tr> </tbody> </table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e.	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.	Over \$17,000,000	\$1,000,000.		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e.														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.														
Over \$17,000,000	\$1,000,000.														
g	Grassroots nontaxable amount (enter 25% of line 1f)														
h	Subtract line 1g from line 1a. If zero or less, enter -0-														
i	Subtract line 1f from line 1c. If zero or less, enter -0-														
j	If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?														

☐ Yes ☐ No

4-Year Averaging Period Under section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below.

See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) Total
2a	Lobbying nontaxable amount				
b	Lobbying ceiling amount (150% of line 2a, column(e))				
c	Total lobbying expenditures				
d	Grassroots nontaxable amount				
e	Grassroots ceiling amount (150% of line 2d, column (e))				
f	Grassroots lobbying expenditures				

Schedule C (Form 990 or 990-EZ) 2016

FLORIDA POLYTECHNIC UNIVERSITY

Schedule C (Form 990 or 990-EZ) 2016 FOUNDATION, INC

46-1426289 Page 3

Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

For each "Yes," response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

	(a)		(b)
	Yes	No	Amount
1 During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a Volunteers?		X	
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		X	
c Media advertisements?		X	
d Mailings to members, legislators, or the public?		X	
e Publications, or published or broadcast statements?		X	
f Grants to other organizations for lobbying purposes?		X	
g Direct contact with legislators, their staffs, government officials, or a legislative body?		X	
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		X	
i Other activities?	X		246,836.
j Total. Add lines 1c through 1i			246,836.
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?	X		
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

	Yes	No
1 Were substantially all (90% or more) dues received nondeductible by members?	1	
2 Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
3 Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?	3	

Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No," OR (b) Part III-A, line 3, is answered "Yes."

1 Dues, assessments and similar amounts from members	1	
2 Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
a Current year	2a	
b Carryover from last year	2b	
c Total	2c	
3 Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4 If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5 Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

PART II-B, LINE 1, LOBBYING ACTIVITIES:

PAYMENT TO LOBBYIST FOR REPRESENTATION WITH LEGISLATORS.

SCHEDULE D
(Form 990)Department of the Treasury
Internal Revenue Service**Supplemental Financial Statements**▶ Complete if the organization answered "Yes" on Form 990,
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.▶ Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016Open to Public
InspectionName of the organization **FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**Employer identification number
46-1426289**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate value of contributions to (during year)		
3 Aggregate value of grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? <input type="checkbox"/> Yes <input type="checkbox"/> No		
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? <input type="checkbox"/> Yes <input type="checkbox"/> No		

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).

☐ Preservation of land for public use (e.g., recreation or education) ☐ Preservation of a historically important land area

☐ Protection of natural habitat ☐ Preservation of a certified historic structure

☐ Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶

4 Number of states where property subject to conservation easement is located ▶

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 ▶ \$

(ii) Assets included in Form 990, Part X ▶ \$

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1 ▶ \$

b Assets included in Form 990, Part X ▶ \$

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2016

632051 08-29-16

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Schedule D (Form 990) 2016

46-1426289 Page **2****Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a ☐ Public exhibitiond ☐ Loan or exchange programsb ☐ Scholarly researche ☐ Other _____c ☐ Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets

to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ Nob If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐**Part V Endowment Funds.** Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ☐ %b Permanent endowment ☐ %c Temporarily restricted endowment ☐ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) unrelated organizations

(ii) related organizations

	Yes	No
3a(i)		
3a(ii)		
3b		

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? ☐

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment				
e Other				

Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) ☐ 0.

Schedule D (Form 990) 2016

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

Schedule D (Form 990) 2016

46-1426289 Page 3

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value	
(1) Federal income taxes		
(2) DUE TO FLORIDA POLYTECHNIC		
(3) UNIVERSITY	1,207,763.	
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	1,207,763.	

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☒

Schedule D (Form 990) 2016

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Schedule D (Form 990) 2016

46-1426289 Page 4

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements	1	1,616,719.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	
b	Donated services and use of facilities	2b	199,351.
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	59,224.
e	Add lines 2a through 2d	2e	258,575.
3	Subtract line 2e from line 1	3	1,358,144.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	-211,868.
c	Add lines 4a and 4b	4c	-211,868.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)	5	1,146,276.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements	1	5,855,896.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	199,351.
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIII.)	2d	211,868.
e	Add lines 2a through 2d	2e	411,219.
3	Subtract line 2e from line 1	3	5,444,677.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)	5	5,444,677.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

PART X, LINE 2:

THE FOUNDATION ADOPTED THE INCOME TAX STANDARD FOR UNCERTAIN TAX POSITIONS
ON JANUARY 1, 2009. AS A RESULT OF THE IMPLEMENTATION, THE FOUNDATION
DETERMINED THERE WERE NO UNCERTAIN TAX POSITION FOR WHICH EITHER
RECOGNITION OR DISCLOSURE IS REQUIRED IN THE FINANCIAL STATEMENTS

PART XI, LINE 2D - OTHER ADJUSTMENTS:

WRITE OFF OF UNCOLLECTIBLE PLEDGES 59,224.

PART XI, LINE 4B - OTHER ADJUSTMENTS:

DIRECT FUNDRAISING EVENT EXPENSES -211,868.

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC

Schedule D (Form 990) 2016

46-1426289 Page 5

Part XIII Supplemental Information (continued)

PART XII, LINE 2D - OTHER ADJUSTMENTS:

DIRECT FUNDRAISING EVENT EXPENSES 211,868.

Schedule D (Form 990) 2016

632055 08-29-16

FLORIDA POLYTECHNIC UNIVERSITY

Schedule G (Form 990 or 990-EZ) 2016 FOUNDATION, INC

46-1426289 Page 2

Part II Fundraising Events. Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col. (a) through col. (c))
		PIVOT 2017 (event type)	WISE 2017 (event type)	NONE (total number)	
Revenue	1 Gross receipts	496,651.	76,164.		572,815.
	2 Less: Contributions	426,206.	54,721.		480,927.
	3 Gross income (line 1 minus line 2)	70,445.	21,443.		91,888.
Direct Expenses	4 Cash prizes				
	5 Noncash prizes		3,454.		3,454.
	6 Rent/facility costs	12,097.	15,508.		27,605.
	7 Food and beverages	50,976.	16,561.		67,537.
	8 Entertainment	14,500.	2,500.		17,000.
	9 Other direct expenses	91,831.	4,441.		96,272.
	10 Direct expense summary. Add lines 4 through 9 in column (d)				211,868.
	11 Net income summary. Subtract line 10 from line 3, column (d)				-119,980.

Part III Gaming. Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
	7 Direct expense summary. Add lines 2 through 5 in column (d)				
	8 Net gaming income summary. Subtract line 7 from line 1, column (d)				

9 Enter the state(s) in which the organization conducts gaming activities: _____

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain: _____

10a Were any of the organization's gaming licenses revoked, suspended, or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain: _____

FLORIDA POLYTECHNIC UNIVERSITY

Schedule G (Form 990 or 990-EZ) 2016 FOUNDATION, INC

46-1426289 Page 3

- 11 Does the organization conduct gaming activities with nonmembers? ☐ Yes ☐ No
- 12 Is the organization a grantor, beneficiary or trustee of a trust, or a member of a partnership or other entity formed to administer charitable gaming? ☐ Yes ☐ No
- 13 Indicate the percentage of gaming activity conducted in:
- | | | |
|-------------------------------|-----|---|
| a The organization's facility | 13a | % |
| b An outside facility | 13b | % |
- 14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ► _____

Address ► _____

- 15a Does the organization have a contract with a third party from whom the organization receives gaming revenue? ☐ Yes ☐ No

b If "Yes," enter the amount of gaming revenue received by the organization ► \$ _____ and the amount of gaming revenue retained by the third party ► \$ _____

c If "Yes," enter name and address of the third party:

Name ► _____

Address ► _____

16 Gaming manager information:

Name ► _____

Gaming manager compensation ► \$ _____

Description of services provided ► _____

☐ Director/officer☐ Employee☐ Independent contractor

17 Mandatory distributions:

- a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? ☐ Yes ☐ No

b Enter the amount of distributions required under state law to be distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ► \$ _____

Part IV Supplemental Information. Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information. See instructions

46-1426289 Page 4

[illegible]

Part III

Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" on Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

[illegible]

PART I, LINE 2:

THE FOUNDATION REQUIRES THE UNIVERSITY TO SUBMIT INVOICES TO SUPPORT THE AMOUNTS NEEDED TO COVER SCHOLARSHIPS AND SALARIES. THE FOUNDATION ALSO REQUIRES THE UNIVERSITY TO SUBMIT THE NAMES OF THE STUDENTS THAT HAVE BEEN AWARDED THE SCHOLARSHIPS ALONG WITH THE INVOICES.

SCHEDULE O
(Form 990 or 990-EZ)Department of the Treasury
Internal Revenue Service**Supplemental Information to Form 990 or 990-EZ**Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

2016Open to Public
Inspection

Name of the organization

FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INCEmployer identification number
46-1426289

FORM 990, PART VI, SECTION B, LINE 11B:

A COMPLETE COPY OF THE 990 IS PROVIDED TO EVERY MEMBER OF THE BOARD OF
DIRECTORS FOR REVIEW PRIOR TO BEING FILED WITH THE IRS.

FORM 990, PART VI, SECTION B, LINE 12C:

IN CONNECTION WITH ANY ACTUAL OR POSSIBLE CONFLICTS OF INTEREST, AN
INTERESTED PERSON MUST DISCLOSE THE EXISTENCE OF HIS OR HER FINANCIAL
INTEREST AND ALL MATERIAL FACTS TO THE DIRECTORS AND MEMBERS OF COMMITTEES
WITH BOARD-DELEGATED POWERS CONSIDERING THE PROPOSED TRANSACTIONS OR
ARRANGEMENT. THE REMAINING BOARD OR COMMITTEE MEMBERS SHALL DECIDE WHETHER
A CONFLICT OF INTEREST EXISTS. AN INTERESTED PERSON MAY MAKE A PRESENTATION
AT THE BOARD OR COMMITTEE MEETING, BUT AFTER SUCH PRESENTATION, HE OR SHE
SHALL BE INVITED AND ALLOWED (BUT NOT REQUIRED) TO LEAVE THE MEETING DURING
THE DISCUSSION OF, AND THE VOTE ON, THE TRANSACTION OR ARRANGEMENT THAT
RESULTS IN THE CONFLICT OF INTEREST. THE CHAIR OF THE BOARD OR THE
COMMITTEE SHALL, IF APPROPRIATE, APPOINT A DISINTERESTED PERSON OR
COMMITTEE TO INVESTIGATE ALTERNATIVES TO THE PROPOSED TRANSACTION OR
ARRANGEMENT. AFTER EXERCISING DUE DILIGENCE, THE BOARD OR COMMITTEE SHALL
DETERMINE WHETHER THE FOUNDATION CAN OBTAIN A MORE ADVANTAGEOUS TRANSACTION
OR ARRANGEMENT WITH REASONABLE EFFORTS FROM A PERSON OR ENTITY THAT WOULD
NOT GIVE RISE TO A CONFLICT OF INTEREST. IF A MORE ADVANTAGEOUS TRANSACTION
OR ARRANGEMENT IS NOT REASONABLY
ATTAINABLE UNDER CIRCUMSTANCES THAT WOULD NOT GIVE RISE TO A CONFLICT OF
INTEREST, THE BOARD OR COMMITTEE SHALL DETERMINE BY A MAJORITY VOTE OF THE
DISINTERESTED DIRECTORS OR MEMBERS IN ATTENDANCE WHETHER TO ENTER INTO THE
TRANSACTION DESPITE THE CONFLICT OF INTEREST.

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2016)

632211 08-25-16

Schedule O (Form 990 or 990-EZ) (2016)

Page 2

Name of the organization FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INCEmployer identification number
46-1426289

FORM 990, PART VI, SECTION C, LINE 19:

THE ORGANIZATION MAKES ITS GOVERNMENT DOCUMENTS, CONFLICT OF INTEREST
POLICY, AND FINANCIAL STATEMENTS AVAILABLE UPON REQUEST

FORM 990, PART XI, LINE 9, CHANGES IN NET ASSETS:

WRITE OFF OF UNCOLLECTIBLE PLEDGES 59,224.

SCHEDULE R (Form 990)	Related Organizations and Unrelated Partnerships ▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37. ▶ Attach to Form 990.	OMB No. 1545-0047 2016 Open to Public Inspection
Department of the Treasury Internal Revenue Service		
Name of the organization FLORIDA POLYTECHNIC UNIVERSITY FOUNDATION, INC		Employer identification number 46-1426289

Part I Identification of Disregarded Entities. Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II Identification of Related Tax-Exempt Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?
FLORIDA POLYTECHNIC UNIVERSITY - 46-0764837 4700 RESEARCH WAY LAKELAND, FL 33805	UNIVERSITY	FLORIDA	501(C)(1)			X

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule R (Form 990) 2016

**FLORIDA POLYTECHNIC UNIVERSITY
FOUNDATION, INC**

46-1426289 Page 3

Schedule R (Form 990) 2016

Part V Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note: Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

	Yes	No
a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity		X
b Gift, grant, or capital contribution to related organization(s)	X	
c Gift, grant, or capital contribution from related organization(s)		X
d Loans or loan guarantees to or for related organization(s)		X
e Loans or loan guarantees by related organization(s)		X
f Dividends from related organization(s)		X
g Sale of assets to related organization(s)		X
h Purchase of assets from related organization(s)		X
i Exchange of assets with related organization(s)		X
j Lease of facilities, equipment, or other assets to related organization(s)		X
k Lease of facilities, equipment, or other assets from related organization(s)		X
l Performance of services or membership or fundraising solicitations for related organization(s)		X
m Performance of services or membership or fundraising solicitations by related organization(s)		X
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)		X
o Sharing of paid employees with related organization(s)		X
p Reimbursement paid to related organization(s) for expenses		X
q Reimbursement paid by related organization(s) for expenses		X
r Other transfer of cash or property to related organization(s)		X
s Other transfer of cash or property from related organization(s)		X

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

	(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1)	FLORIDA POLYTECHNIC UNIVERSITY	B	5,090,192	CASH PAID
(2)				
(3)				
(4)				
(5)				
(6)				

632163 09-06-16

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Schedule R (Form 990) 2016

Provide additional information for responses to questions on Schedule R. See instructions.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

AGENDA ITEM: IX.

**Florida Polytechnic University
Audit and Compliance Committee
Board of Trustees
May 22, 2018**

Subject: University Compliance & Ethics Program Plan – 2018/19 Fiscal Year

Proposed Committee Action

Recommend approval of the Florida Polytechnic University Compliance & Ethics Program Plan (Plan) prepared by the Chief Compliance Officer for the 2018/19 fiscal year.

Background Information

Pursuant to Board of Governors (BOG) Regulation 4.003 each board of trustees shall implement a university wide compliance and ethics program as a point for coordination of and responsibility for activities that promote ethical conduct and maximize compliance with applicable laws, rules, regulations, rules, policies, and procedures. David Blanton, Chief Audit Executive/Chief Compliance Officer (CAE/CCO) will present the proposed Plan for the 2018/19 fiscal year. This Plan satisfies the final remaining BOG regulation component requirements and approval of the Plan ensures that the University meets the required implementation date of November 2018.

Supporting Documentation: Florida Polytechnic University Compliance & Ethics Program Plan – 2018/19 Fiscal Year.

Prepared by: David A. Blanton, CAE/CCO



University Compliance



Compliance and Ethics Program Plan 2018-19 Fiscal Year

What constitutes an effective Compliance and Ethics Program?

Although this Compliance and Ethics Program Plan (Plan) goes to great lengths to outline and identify the elements of the proposed Plan, an effective Plan is really about two things: management's commitment to do the right thing, and effective management steps to make that happen.

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I. Background and Overview

Florida Board of Governors (BOG) Regulations¹ provide that each board of trustees shall implement a university-wide compliance and ethics program (Program) as a point for coordination of and responsibility for activities that promote ethical conduct and maximize compliance with applicable laws, regulations, rules, policies, and procedures. The BOG Regulation further provides that the Program shall be:

- Reasonably designed to optimize its effectiveness in preventing or detecting noncompliance, unethical behavior, and criminal conduct, as appropriate to the institution's mission, size, activities, and unique risk profile.
- Developed consistent with various codes of ethics² and the Federal Sentencing Guidelines.
- Implemented within two (2) years of the effective date of the Regulation, or November 2018.

The Florida Poly Compliance and Ethics Program (Program) was designed with due diligence and the promotion of an organizational culture that encourages ethical conduct and a commitment to compliance, as outlined by the Federal Sentencing Guidelines, for the seven (7) Program components identified below:

1. Standards, Policies, Procedures
2. Compliance and Ethics Program Administration
3. Conduct Controls for Employees
4. Communication, Education, and Training
5. Monitoring, Auditing, and Reporting System (Hotline)
6. Discipline and Incentives
7. Program Modifications

Each of the various components required by the Federal Guidelines are discussed at greater length below and correspond with the seven (7) required Program components outlined above:

Requirement 1: The organization shall establish standards and procedures to prevent and detect criminal conduct.

Plan Response: The University has adopted the following Regulations and Policies that effectively communicate management's commitment to prevent and detect criminal conduct:

- *Policy FPU-1.0125P Fraud Prevention and Detection*
- *Regulation FPU-1.015 Allegations of Waste, Fraud, Financial Mismanagement, and Other Abuses*
- *Regulation FPU-6.002 Personnel Code of Conduct and Ethics*
- *Regulation 6.011 Employee Criminal Background Checks*
- *Policy FPU-8.0011P Purchasing of Goods and Services*
- *Regulation 8.003 Authority to Suspend or Debar Contractors/Vendors*

¹ Florida Board of Governors Regulation 4.003, implemented November 3, 2016

² Code of Ethics for Public Officers and Employees contained in Part III, Chapter 112, Florida Statutes and other applicable codes of ethics

**Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)**

Recently, such Policies and Regulations were subjected to Policy review to ensure that they were comprehensive and prescribe to current practice.

Requirement 2: The organization's governing authority shall be knowledgeable about the Program and exercise reasonable oversight; high-level personnel shall have overall responsibility for the Program and its effectiveness; and the Program shall be afforded adequate resources to carry out operational responsibility of the Program.

Plan Response: The Audit and Compliance Committee (AACC) of the Florida Polytechnic University's Board of Trustees is charged with oversight of the Program. This responsibility is outlined in the Charter for the AACC. The Chief Compliance Officer (CCO) is responsible for communicating the details of the Program to the AACC and presenting an annual Program Plan to the AACC for approval. The CCO serves as the liaison to the AACC and provides an update on the Program at each meeting (4 times a year). In addition, the Florida BOG exercises oversight of each institution of the State University System (SUS) to report on the progress of implementing an Ethics and Compliance Program in November of each year³. The CCO has overall responsibility for the Program and has been provided with sufficient resources to carry out operational responsibilities of the program. As a new institution founded in 2012, Florida Poly hired its first-ever CCO beginning on July 31, 2017. Therefore, the Program is in the initial development stages and has had a relatively short window of implementation relative to other SUS institutions.

Requirement 3: The organization shall use reasonable efforts to preclude the hiring or employment of personnel that have engaged in illegal activities or other conduct inconsistent with an effective compliance and ethics Program.

Plan Response: Florida Polytechnic University Regulations⁴ provide for the administration of Level 1 background screening for all employees and volunteers and a Level 2 background screening for employees working in areas of special trust or responsibility. (A Level 1 background screening is limited to a statewide criminal history records check through the Florida Department of Law Enforcement while a Level 2 background screening extends beyond that to a national criminal history records check through the Federal Bureau of Investigation). Additionally, the Regulation requires that university employees shall immediately notify the university if convicted of a felony or first degree misdemeanor any time subsequent to becoming employed by the university. The periodic rescreening of employees, as provided for in the University Regulation, serves to further ensure that university employees have not engaged in illegal activities or other conduct inconsistent with an effective compliance and ethics Program. The Program Plan provides for the monitoring of the rescreening process to ensure compliance with University Regulations.

Requirement 4: The organization shall periodically conduct effective trainings and otherwise disseminate information in support of the Program.

³ Compliance Program Status Checklist (see Exhibit A for the November 2017 Checklist)

⁴ Regulation FPU 6.011, Employee Criminal Background Checks

**Florida Polytechnic University
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Plan Response: The University currently provides for the following training relative to the Compliance and Ethics Program:

- At new employee orientation, all new hires are provided training and provided a copy of our Employee Handbook from our Human Resources Department. The training and the Employee Handbook includes an overview of the Employee Code of Conduct and the University's commitment to the highest degree of ethical standards and conduct. The new employee orientation also includes information relative to compliance with sexual harassment (Title IX Compliance), public records and the Sunshine law, official university travel, time and attendance requirements (Fair Labor Standards Act Compliance), leave policies (FMLA compliance), and discrimination/equal opportunity (Federal EEO compliance).
- New employees are required to complete on-line cyber security awareness training that covers FERPA compliance, the Clery Act, Gramm-Leach-Bliley Act (GLBA compliance), protecting personally identifiable information (PII) and other compliance matters related to information systems and data maintained by the University. In addition, this training is required annually for all employees.
- New employees are required to complete an on-line sexual harassment training program through and our Title IX coordinator provides additional training opportunity throughout the year on sexual harassment.
- All new Board of Trustee members attend an orientation that is hosted by the President, the General Counsel, the Chief Financial Officer, and the Chief Audit Executive/Chief Compliance Officer. The orientation includes the dissemination of information relative to the Florida Sunshine law, conflicts of interest, and the Board of Trustees ethics policy which incorporates the Code of Ethics for Public Officers and Employees set forth in Part III of Chapter 112, Florida Statutes. Additionally, Florida Poly Board of Trustee members are required to attend a Board of Governors orientation session prior to service on the university board.

Training for additional areas with high risk of noncompliance will be developed and conducted by the CCO as provided for in the **Plan Administration for Key Risks/Compliance Focus Areas** Section of this Program Plan. (Section III)

Requirement 5: The organization shall take reasonable steps to ensure that (a) the Program is properly monitored in order to detect criminal conduct (b) evaluate the effectiveness of the Program and (c) publicize a system providing for reporting mechanisms to report or seek guidance on potential or actual criminal conduct.

Plan Response: With regard to each of the elements specified above in Requirement 5:

- (a) As noted in Requirement 3 above, University Regulations⁴ require that university employees shall immediately notify the university if convicted of a felony or first degree misdemeanor any time subsequent to becoming employed by the university. The periodic rescreening of employees, as provided for in this University Regulation, serves to further ensure that university employees have not engaged in illegal activities or other conduct inconsistent with an effective compliance and ethics Program.

**Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)**

- (b) BOG Regulations⁵ require that at least once every five (5) years, the president and board of trustees shall be provided with an external review of the Program's design and effectiveness and any recommendations for improvement, as appropriate. The first external review shall be initiated within five (5) years from the effective date of this regulation. (November 2021) The assessment shall be approved by the board of trustees and a copy provided to the Board of Governors. Given that the Program has only been in existence for a relatively short period of time, and the BOG Regulation provides for completion by November 2021, the Program will need to operate for period of time in order to sufficiently evaluate the Program and to conduct the required external review.
- (c) Although University Regulation⁶, provides for the reporting of various allegations, until recently, a reporting mechanism was not highly publicized. On December 18, 2017, the "Compliance and Ethics Hotline" was established to report suspected or actual instances of noncompliance, fraud, waste, or abuse directly to the CCO as outlined below:
1. An on-line reporting form.
 2. Telephone
 3. Fax
 4. Direct mail to P.O. Box.

These mechanisms are publicized on the University website which also has direct links to all University Regulations and Policies that effectively communicate management's commitment to prevent and detect criminal conduct. In addition, the Compliance and Ethics Hotline information is posted on the intranet, which is accessible to all employees. As provided for in University Policy⁷, retaliation, or otherwise taking adverse action against any member of the University community because that individual reported or filed a complaint alleging a violation, testified or participated in an investigation or proceeding, or opposed discriminatory practices, is strictly prohibited and could result in expulsion or termination.

Requirement 6: The Program shall be promoted through appropriate *incentives* and provide for appropriate *disciplinary measures* for engaging in criminal conduct and for failing to take reasonable steps to prevent or detect criminal conduct.

Plan Response: (Incentives): The current "Performance Review Form", used for evaluations and tied to merit/promotional increases, utilizes the following criteria for evaluation: (one of four criteria applied)

- Shows initiative, uses creative problem solving to reduce barriers, **has integrity and follows State regulations and policies.**

(Disciplinary measures): University Regulations⁸, provide that University personnel who are determined to have violated the Code of Ethics are subject to disciplinary action. Disciplinary actions may include

⁵ Board of Governors Regulation 4.003 (7)(c), implemented November 3, 2016

⁶ Regulation FPU-1.015 Allegations of Waste, Fraud, Financial Mismanagement, and Other Abuses

⁷ Policy FPU-1.0125P, Fraud Prevention and Detection

⁸ Regulation FPU-6.002, Personnel Code of Conduct and Ethics

penalties such as: dismissal, suspension, demotion, reduction in salary, forfeiture of salary, restitution, public censure, and/or reprimand; other disciplinary actions as may be deemed appropriate.

Requirement 7: After noncompliance, unethical behavior, or criminal conduct has been detected, the organization shall take further reasonable steps to prevent further occurrences, including Program modifications.

Plan Response: Neither unethical behavior or criminal conduct has occurred at the University; however, the University is continually seeking to improve on processes and procedures that ensure compliance with applicable laws, rules, regulations, and laws. To the extent that significant criminal conduct or unethical behavior was ever detected, the Program would be modified to mitigate future occurrences.

II. Plan Administration for Key Risks/Compliance Focus Areas

Six different areas of focus have been identified and selected, on the basis of risk, as follows:

1. Federal Compliance (Research & Development and Student Financial Aid)
 - Planned scope to include such areas as conflicts of interest for sponsored research, export control compliance, and compliance with other applicable Federal Uniform Guidance provisions. The audit performed by University audit will be leveraged to provide assurance in this compliance focus area.
2. Environmental Health & Safety
 - Planned scope to include general campus security, Clery Act reporting, laboratory safety, and general safety compliance.
3. Data Privacy and Cybersecurity
 - Planned scope to include security awareness and training review, Payment Card Industry (PCI) compliance, and identifying gaps between existing policy/procedures and compliance with applicable laws and/or good business practices.
4. Auditor General Operation Report Follow-up
 - Planned scope to include any specific compliance topics cited in the last operational audit conducted by the Auditor General.
5. General Compliance/Training
 - Planned scope to include conflicts of interest reporting, comparisons of statements of financial interest filed with university vendor records, and compliance and ethics training for upper management. The CCO is currently working with Human Resources and our Title IX administrator to provide a coordinated training event to all upper management.
6. Compliance & Program Plan Review/Investigations
 - Planned scope to include an ongoing review of existing regulations and policies with an emphasis towards those aimed at promoting compliance and an evaluation of the effectiveness of the program. This area also includes monitoring of hotline and investigations, when warranted.

III. Program Evaluation

Internal Evaluation: Given that each of the seven (7) Program components required by the Federal Sentencing Guidelines Manual have been addressed by this Program Plan, the Program is deemed effective. Additionally, requirements set forth by BOG Regulations, and that will be reflected in the November 2018 SUS Compliance Program Status Checklist, evidence the completion of an effective Compliance and Ethics Program. Most importantly, this evaluation is further supported by observations of the CCO, from the date of his hiring (7/31/17) to present, in support of management's commitment in both words and action to "do the right thing" to assure that high standards of ethical practice are exhibited in all University business.

External Evaluation: As noted in Section I, Requirement (5)(b) above, BOG Regulations⁹ require that at least once every five (5) years, the president and board of trustees shall be provided with an external review of the Program's design and effectiveness and any recommendations for improvement, as appropriate. The first external review shall be initiated within five (5) years from the effective date of this regulation. (November 2021) The assessment shall be approved by the board of trustees and a copy provided to the Board of Governors. Given that the Program has only been in existence for a relatively short period of time, and the BOG Regulation provides for completion by November 2021, the Program will need to operate for period of time prior to conducting the required external review. It is anticipated that the external review will be conducted prior to the November 2021 deadline imposed by the BOG.

IV. Summary

This Compliance and Ethics Program Plan provides for the following components:

- A plan response to address each of the seven program components set forth in the Federal Sentencing Guidelines. Within Section I, each of the various Federal Sentencing Guideline requirements are cited within a boxed border and the planned response to address each requirement.
- Key risks and compliance focus areas deemed necessary to administer the plan. Within Section II, such risks and areas of focus were selected based on a review of audit risks and the intention of delivering both compliance and audit services in an efficient manner, given the limited resources of the University and the dual duties of the CAE/CCO.
- Section III explains the Program evaluation requirements and outlines a plan for evaluation by the November 2021 date established by the BOG.

This approach to establishing the initial Compliance and Ethics Plan conforms to requirements set forth in both the Federal Sentencing Guidelines and BOG Regulations. The SUS Compliance Program Checklist as of November 2017 (**Exhibit A**) identifies 7 areas that remain for Florida Poly to be in compliance with BOG Regulation 4.003. The establishment of this plan, and Board approval, will satisfy the remaining 7 applicable regulation components necessary to comply with the BOG Regulation. Only one component

⁹ Board of Governors Regulation 4.003 (7)(c), implemented November 3, 2016

Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)

of the BOG checklist will remain outstanding which provides for an external evaluation of the Program with a 5-year window for compliance. (Due by November 2021).

V. Exhibits

- A. SUS Compliance Program Status Checklist (November 2017)
- B. Proposed Budget for Compliance Focus Areas

Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)

Exhibit A



STATE
UNIVERSITY
SYSTEM
of FLORIDA
Board of Governors

SUS Compliance Program Status Checklist
November 2016 - November 2017

University: Florida Polytechnic University

Preparer: David A. Blanton, Chief Audit Executive/Chief Compliance Officer

Instructions: For the four area tables below, please complete the Description and Progress Indicator columns for each Regulation Component, which align with Board of Governors Regulation 4.003 (effective November 3, 2016). Then complete the Program Status Summary table immediately below.

Return completed checklists to BOGInspectorGeneral@flbog.edu.

For assistance, please contact the Board of Governors Office of Inspector General and Director of Compliance at joseph.maleszewski@flbog.edu or 850-245-9247.

Program Status Summary (November 2017)						
Area	Regulation Components	Completed	In Process			Not Begun
		✓	Good Progress ●	Slow Progress ●	Poor Progress ●	N/B
A - University-wide Compliance Program	5	1	This item is no longer an option as the date (November 3, 2017) has already past	3	0	1
B - Program Plan	5	1		4	0	0
C - BOT Committee	4	4		0	0	0
D - Chief Compliance Officer	5	5		0	0	0
TOTAL	19	11		7	0	1

Legend:

- ✓ Indicates that the university president and board chair assert that the regulation components making up this area are fully implemented in accordance with Board of Governors Regulation 4.003.
- **NOTE:** This item is no longer an option as the date (November 3, 2017) has already past. In the prior version of the checklist, it indicated that the university president and board chair anticipated regulation components making up this area to be completed by November 3, 2017.
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by November 3, 2018 (completion of items beyond this date constitute non-compliance with Board of Governors Regulation 4.003).
- Indicates that the university president and board chair anticipate regulation components making up this area to be completed by May 3, 2019 (six months beyond the period established in Board of Governors Regulation 4.003).
- N/B Indicates that the university president and board chair acknowledge that the university has not begun implementing the regulation components making up this area. The "N/B" indicator should be used in conjunction with either the amber or red light indicators to communicate anticipated completion periods for items not yet begun.

Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)

Area A – University-wide Compliance Program		
Regulation Component	Description	Progress Indicator
A1 – University-wide Compliance Program implemented consistent with Code of Ethics for Public Officers and Employees (Part III, Chapter 112, F.S.) and the Federal Sentencing Guidelines Manual, Chapter 8, Part B [4.003(1) & (2)(b)]	November 2017: Florida Poly did not have a Chief Compliance Officer (CCO) until 7/31/17. Therefore, this position has only been staffed for the last 4 months. Additionally, given the size of Florida Poly relative to other SUS institutions, the CCO also serves as the Chief Audit Executive. Therefore, Florida Poly was not staffed to accommodate a full two-year implementation period for the Compliance Program. Nevertheless, the CCO is currently developing a Compliance Program consistent with applicable requirements and intends to have the majority of regulation components making up this area to be completed by November 2018.	●
A2 – CCO reports to the BOT at least annually on Program effectiveness (copy to BOG) [4.003(7)(g) 8.]	November 2017: CCO scheduled to report to the BOT on the effectiveness of the Program at the 5/22-23/18 Audit and Compliance Committee meeting. Additionally, the responses to this “Compliance Program Status Checklist” will be presented to the BOT in December 2017 and again in 2018.	●
A3 – External Program design and effectiveness review every 5-years (copy to BOG) [4.003(7)(c)]	November 2017: Until the Compliance Program is developed and placed into operation for several years, it would not be possible to conduct an external effectiveness review.	● N/B
A4 – Process established for detecting and preventing non-compliance, unethical behavior, or criminal conduct [4.003(7)(h)]	November 2017: The CCO is currently developing a Compliance Program consistent with applicable requirements and intends to have the majority of regulation components making up this area to be completed by November 2018.	●
A5 – Due diligence steps for not including individuals who have engaged in conduct not consistent with an effective Program [4.003(8)]	November 2017: Currently, the following University Regulations provide : <ul style="list-style-type: none"> FPU-6.011, Criminal Background Checks, requires background screenings of all prospective employees. Additionally, per the Regulation, the University may take negative employment action based solely on an individual’s conviction record if the specific offense demonstrates unfitness for performing in the position and relates to the job. FPU-6.002, Personnel Code of Conduct and Ethics, provides that University personnel who are determined by the University to have violated the Code are subject to disciplinary action. Disciplinary actions may include penalties such as: dismissal, 	✓

Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)

	suspension, demotion, reduction in salary, forfeiture of salary, restitution, public censure, and/or reprimand; other disciplinary actions as may be deemed appropriate by the University President/designee; and/or as specified by law or regulation.	
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Area B – Program Plan		
Regulation Component	Description	Progress Indicator
B1 – Compliance and Ethics Program Plan approved by BOT (copy to BOG) [4.003(7)(a)]	November 2017: The CCO is currently developing a Compliance Program consistent with applicable requirements and intends to have the majority of regulation components making up this area to be completed by November 2018.	•
B2 – Plan provides for compliance training for university employees and BOT members [4.003(7)(b)]	November 2017: The CCO is currently developing a Compliance Program Plan which would include compliance training for university employees and BOT members.	•
B3 – Designated compliance officers (e.g., Title IX, Athletics, Research, etc.) as either direct reports or dotted-line reports (specify which) [4.003(7)(d)]	November 2017: The CCO maintains open lines of communication and meets periodically with both the Title IX Coordinator and the Director of Sponsored Programs and has enlisted their assistance in partnering with the CCO as compliance partners. (Although not formalized, a dotted line report is anticipated for both). The University currently has no Athletics.	•
B4 – Reporting mechanism (e.g., Hotline) for potential/actual violations and provides protection for reporting individuals from retaliation [4.003(7)(e) & (f)]	November 2017: Although a “Hotline” is not currently in place, Florida Poly Number FPU-1.0125P, Fraud Prevention and Detection, provides for a process of reporting fraud or unethical behavior. (Policy currently in revision to direct such reporting to the CAE/CCO). It is anticipated that a Hotline will be in place for Florida Poly in early 2018.	•
B5 – Promoting and enforcing the Program through incentives and disciplinary measures [4.003(7)(g)9.]	November 2017: <u>Incentives:</u> The current “Performance Review Form”, used for evaluations and tied to merit/promotional increases, utilizes the following criteria for evaluation: (one of four criteria applied) <ul style="list-style-type: none"> Shows initiative, uses creative problem solving to reduce barriers, has integrity and follows State regulations and policies. <u>Disciplinary measures:</u> As noted above for A5, Regulation FPU-6.002, Personnel Code of Conduct and Ethics, University personnel who are determined to have violated the Code of Ethics are subject to disciplinary action. Disciplinary actions may include penalties such as: dismissal, suspension,	✓

**Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)**

	demotion, reduction in salary, forfeiture of salary, restitution, public censure, and/or reprimand; other disciplinary actions as may be deemed appropriate.	
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Area C - BOT Committee		
Regulation Component	Description	Progress Indicator
C1 - BOT Committee provides oversight to Compliance and Ethics Program [4.003(3)]	November 2017: BOT oversight of the Compliance and Ethics Program are detailed within the Audit and Compliance Committee (AACC) Charter's purpose and responsibilities. The revised Charter, amended March 15, 2017, has been provided to the Board of Governors Office of Inspector General and Director of Compliance via CAERS. On October 31, 2017, the CCO provided an update to the AACC on the status of the Program and in December 2017 is scheduled to present both the report of activities for the Program as of June 2017 and the Work Plan going into 2018.	✓
C2 - BOT Audit and Compliance Committee Charter (copy to BOG) [4.003(3)]	November 2017: The revised Charter, amended March 15, 2017, has been provided to the Board of Governors Office of Inspector General and Director of Compliance via CAERS.	✓
C3 - Routine CCO meetings with BOT Committee - please describe the nature and frequency of meetings (e.g., semi-annually, quarterly, monthly, etc.) [4.003(7)(a) & 7(g)(3)]	November 2017: The CCO routinely meets with the AACC (quarterly) and reports functionally to the AACC should they have any concerns in the interim. The CCO has also met individually with the Chair of the Audit and Compliance Committee.	✓
C4 - Routine CCO meetings with President - please describe nature and frequency of meetings (e.g., semi-annually, quarterly, monthly, etc.) or whether the CCO participates in other regularly held direct reports or leadership meetings [4.003(7)(a) & 7(g)(3)]	November 2017: The CCO routinely meets with the President (monthly at minimum). Additionally, the CCO is invited to attend monthly operations meetings with the President and senior University staff.	✓

Florida Polytechnic University
Compliance & Ethics Program Plan (2018-19)

Area D - Chief Compliance Officer		
Regulation Component	Description	Progress Indicator
D1 - Appointed Chief Compliance Officer (CCO) [4.003(4)]	November 2017: The University appointed its first-ever CCO on July 31, 2017.	✓
D2 - CCO reports functionally to the Board and administratively to the President [4.003(5)]	November 2017: As evidenced by the University Compliance Charter, the CCO reports functionally to the AACC (BOT) and administratively to the President. The President has recognized this reporting structure and does not attempt to influence the compliance function.	✓
D3 - Compliance Office Charter (copy to BOG) [4.003(6)]	November 2017: The University Compliance Charter has been provided to the Board of Governors Office of Inspector General and Director of Compliance via CAERS.	✓
D4 - CCO independence, objectivity, and access, (provide details of resolution of barriers) [4.003(7)(g)5 & (7)(g)7]	November 2017: As noted in D2 above, the CCO reports functionally to the Board. This reporting structure is outlined in the Charter for University Compliance in order to ensure the proper independence and objectivity of the CCO. Currently, there are no impairments to the CCO's independence or barriers to the CCO's access. The CCO is committed to operating in an objective manner.	✓
D5- CCO authority and resources (provide details of both staffing and budget) [4.003(7)(g)(2)]	November 2017: Given the relative size of Florida Poly to other SUS institutions, the CAE also serves as the CCO at Florida Poly. (Total staff of one) Additionally, Florida Poly's University Compliance function has only been staffed since 7/31/17. (Only four months) The CCO has not been denied budgetary authority for any necessary resources to date.	✓

I certify that all information provided is true and correct to the best of my knowledge.

Certification: Maver Date 12/4/17
President

I certify that all information provided is true and correct to the best of my knowledge.

Certification: Frank Illiano Date 12-4-2017
Board of Trustees Chair

Exhibit B

Proposed Compliance & Ethics Program Plan Budgeted Hours 2018-19 Fiscal Year			
	Focus Area	Planned Hours	Notes
1	Federal Compliance	40	
2	Environmental Health & Safety	60	
3	Data Privacy & Cybersecurity	60	
4	Auditor General Follow-up	40	
5	General Compliance/Training	160	
6	Compliance Program Plan Review/Investigations	240	a
	Total Estimated	600	
a	Includes an estimate of 240 hours for monitoring of hotline and investigations; however actual hours in this area could increase or be less, depending on reported hotline allegations or reports.		



Board of Trustees Meeting

Wednesday, May 23, 2018
8:30 AM-12:00 PM

Joker Marchant Stadium
2301 Lakeland Hills Blvd.
Lakeland, FL 33805

Frank T. Martin, Chair
Dr. Jim Dewey
Travis Hills
Dr. Adrienne Perry
Gary C. Wendt

Don Wilson, Vice Chair
Rear Admiral Philip Dur
Henry McCance
Dr. Louis Saco

Mark Bostick
Dr. Richard Hallion
Cliff Otto
Robert Stork

AGENDA

- | | |
|--|---------------------|
| I. Call to Order | Frank Martin, Chair |
| II. Roll Call | Kris Wharton |
| III. Public Comment | Frank Martin, Chair |
| IV. Approval of the February 28, 2018 Minutes
Action Required | Frank Martin, Chair |
| V. Chairman's Remarks | Frank Martin, Chair |
| VI. President's Remarks | Dr. Randy Avent |
| VII. 2018 Legislative Session Report | Kathy Mizereck |
| VIII. University Strategic Plan
Action Required | Dr. Randy Avent |
| IX. Foundation and Development Update | Kevin Aspegren |
| X. Economic Development | Rick Maxey |

- | | |
|---|------------------------------------|
| XI. Title IX and Accessibility (American Disabilities Act – ADA) | Michelle Disson |
| XII. Committee Reports | Committee Chairs |
| A. Governance Committee Report | Dr. Richard Hallion,
Chair |
| 1. President’s Evaluation 2017-18
Action Required | |
| 2. Adjustments to President’s Compensation
Action Required | |
| 3. President’s Goals 2018-19
Action Required | |
| 4. Slate of Officers for 2018-2020 | |
| B. Strategic Planning Committee Report | Don Wilson, Chair |
| 1. 2018 University Accountability Report *Action Required* | |
| C. Finance & Facilities Committee Report | Bob Stork, Chair |
| 1. ARC Funding Recommendation *Action Required* | |
| 2. 2018-19 University Operating Budget *Action Required* | |
| 3. Contract for Review and Approval *Action Required* | |
| 4. Legislative Budget Request for 2019-20 Operating Budget
Action Required | |
| 5. Legislative Budget Request for 2019-2020 Capital
Improvement Plan *Action Required* | |
| 6. Current Foundation Board Members Confirmation
Action Required | |
| 7. 2018-19 Foundation Budget *Action Required* | |
| 8. Avent Family Foundation Endowed Scholarship
Action Required | |
| 9. Chess Club Endowed Scholarship *Action Required* | |
| 10. Boring Business Solutions Naming Opportunity
Action Required | |
| 11. Gidel Family Fund Endowed President’s Fund
Action Required | |
| 12. Anticipated Use of University Resources for 2018-19
Action Required | |
| D. Academic and Student Affairs Committee Report | Dr. Richard Hallion,
Vice-Chair |
| 1. New Degrees Over Next Three Years *Action Required* | |
| 2. Name Change on Two Undergraduate Degrees
Action Required | |
| 3. Four Year Graduation Improvement Plan
Action Required | |

4. Faculty Handbook Revision
Action Required
- E. Audit & Compliance Committee Report Cliff Otto, Chair
 1. University Financial Audit – FYE 6/30/17
Action Required
 2. Foundation Financial Audit – FYI 6/30/17
Action Required
 3. University Compliance & Ethics Program Plan
Action Required
- XIII. Consent Agenda Discussion Frank Martin, Chair
- XIV. [Board of Trustees Meeting Calendar](#) Frank Martin, Chair
 - A. Board of Trustees Meetings
 1. September 5, 2018
 2. December 5, 2018
 3. February 27, 2019
 4. May 21-22, 2019
 5. September 11, 2019
 6. December 11, 2019
 - *Action Required*
 - B. Board of Governor’s Meetings
 1. June 26-28, 2018 (University of Central Florida, Orlando)
 2. September 12-13, 2018 (New College of Florida, Sarasota)
 3. October 16, 2018 Facilities Committee and Budget and Finance Committee Workshops (University of South Florida, Tampa)
 4. November 7-8, 2018 (Florida Atlantic University, Boca Raton)
- XV. [Election of Officers 2018-2020](#) Frank Martin, Chair
Action Required
- XVI. Closing Remarks and Adjournment Frank Martin, Chair

DRAFT

**FLORIDA POLYTECHNIC UNIVERSITY
BOARD OF TRUSTEES
MEETING MINUTES
Florida Polytechnic University Student Development Center
4700 Research Way
Lakeland, Florida 33805**

**February 28, 2018 @
*or upon the conclusion of the previous meeting***

I. Call to Order

Chair Frank Martin called the Board of Trustees meeting to order at 12:49 p.m.

II. Roll Call

Maggie Mariucci called the roll: Chair Frank Martin, Trustee Mark Bostick, Trustee Jim Dewey, Trustee Henry McCance, Trustee Louis Saco, Trustee Gary Wendt, Trustee Robert Stork, Trustee Cliff Otto, Trustee Philip Dur, Trustee Louis Saco and Trustee Jacob Livingston were present. (Quorum).

Staff present: President Randy Avent, Dr. Terry Parker, Mr. Mark Mroczkowski, Ms. Gina DeIulio, Mrs. Maggie Mariucci, and Mr. David Blanton.

III. Public Comment

There were no requests received for public comment.

IV. Approval of Minutes

Trustee Henry McCance made a motion to approve the Board of Trustees meeting minutes of December 6, 2017. Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

Chair Frank Martin gave a brief report on the Board of Trustees Committee Chair meeting. He stated he and the Committee Chairs will continue to work with President Avent on initiatives from that meeting.

Trustee Bob Stork made a motion to approve the Board of Trustees Committee Chair meeting minutes of February 1, 2018. Trustee Dick Hallion seconded the motion; a vote was taken, and the motion passed unanimously.

V. Chairman's Remarks

Chair Martin commented on the joint reception with the University Foundation Board held the previous evening. He looks forward to a collaborative working relationship with Foundation Board members.

Chair Martin also remarked he wants to ensure the University remains focused and mindful of strategic opportunities and moves forward with vigor.

VI. National Society of Black Engineers (NSBE) Presentation

Florida Poly student David Dure, President of Florida Poly's NSBE chapter, gave a presentation on African American STEM leaders in American history. Mr. Dure also discussed the mission of NSBE and their activity on campus and in the local community.

VII. ARC Design Status Update – HOK Presentation

Representatives from HOK provided a presentation on the Applied Research Center's (ARC) design schedule, which should be complete by November 1, 2018. Trustees inquired as to the number of classrooms, labs, and offices included in the design, as well as the need for a loading dock, extreme connectivity, power and gas. Discussion also occurred on the option to build the ARC in stages, and the ability to build a larger building than originally discussed.

Chair Martin presented a resolution in honor of Trustee Sandra Featherman (see appendix for full resolution).

Trustee Dick Hallion made a motion to approve Resolution 2018-001 "In Recognition and Profound Appreciation of Distinguished Service: Trustee Sandra Featherman, Ph.D.". Trustee Philip Dur seconded the motion; a vote was taken, and the motion passed unanimously.

VIII. President's Remarks

President Randy Avent reviewed the status of operational plan items; legislative budget requests; the use of carry forward funds for the ARC; various studies including a five-year scholarship analysis, economic growth, and campus development; and recent, notable events and upcoming events.

Strategic discussion occurred on how to complete the ARC sooner. Building the ARC enables the University to accommodate 2,000 students. Chair Martin encouraged Trustees to accompany President Avent to strategic meetings in an effort to move campus development forward more quickly.

IX. Strategic Plan Discussion: Mission, Vision, Values

President Avent reviewed megatrends in higher education. The three items that differentiate Florida Poly from other universities in the State University System (SUS) include: small institution, new institution, and applied sciences/STEM. President Avent shared potential mission and vision statements to be included in the new strategic plan. Trustees provided feedback not to use limiting words (i.e. "Florida"). Trustees appreciated mission statements #2 and #3 in the list. Trustees also like vision statements #2 and #3.

X. Committee Reports

A. Audit and Compliance Committee

Committee Chair Cliff Otto gave a report on the Audit and Compliance Committee. There was one item for Board approval:

1. 2016-18 Audit and Compliance Work Plan Review

Trustee Cliff Otto made a motion to approve the revised 2016-18 Governance Committee Work Plan. Trustee Dick Hallion seconded the motion; a vote was taken, and the motion passed unanimously.

B. Finance and Facilities Committee

Committee Chair Bob Stork gave a report on the Finance and Facilities Committee. There were four items for Board approval:

1. 2016-18 Finance and Facilities Committee Work Plan

Trustee Louis Saco made a motion to approve the revised 2016-18 Finance and Facilities Committee Work Plan. Trustee Henry McCance seconded the motion; a vote was taken, and the motion passed unanimously.

2. Construction Manager Recommendation

Trustee Dick Hallion made a motion to approve the selection of Skanska Building to provide construction management services for the Applied Research Center (ARC). Trustee Henry McCance seconded the motion; a vote was taken, and the motion passed unanimously.

3. Foundation Naming Opportunity

Trustee Louis Saco made a motion to approve the naming of Collaboration Room 2073 in the Innovation, Science and Technology Building of Florida Polytechnic University as the “Campbell Family Collaboration Room.” Trustee Dick Hallion seconded the motion; a vote was taken, and the motion passed unanimously.

4. Regulation: FPU-8.001 - Purchasing

Trustee Bob Stork made a motion to approve revised regulation FPU-8.001 Purchasing, which is being renamed as “Procurement”. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

C. Academic and Student Affairs Committee

Committee Vice-Chair Dick Hallion gave a report on the Academic and Student Affairs Committee. There were two items for Board approval:

1. Rename Degree: Master of Science in Innovation and Technology to Master of Science in Computer Science

Trustee Bob Stork made a motion to approve the degree name change from Master of Science, Innovation and Technology to Master of Science in Computer Science. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

2. 2018-2019 Academic Calendar

Trustee Louis Saco made a motion to approve the 2018-2019 academic calendar. Trustee Bob Stork seconded the motion; a vote was taken, and the motion passed unanimously.

D. Governance Committee

Committee Chair Dick Hallion gave a report on the Governance Committee. There were six items for Board approval:

1. 2016-18 Governance Committee Workplan

Trustee Dick Hallion made a motion to approve the revised 2016-18 Governance Committee Work Plan. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

2. Approval of Retirement Plan

a. **Trustee Bob Stork made a motion to approve the Florida Polytechnic University Retirement Plan (“Retirement Plan”) and resolutions as stated in the Secretary’s Certificate of Florida Polytechnic University, which include:**

- **approval and adoption of the Florida Polytechnic University Retirement Plan**
- **effective as of July 1, 2017;**
- **appointment of TIAA, FSB as trustee of the Retirement Plan; and**
- **designation of the Governance Committee as Plan Administrator of the Retirement Plan.**

Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

b. **Trustee Bob Stork made a motion to authorize the Chair and Vice Chair of the Governance Committee (currently Trustee Richard Hallion and Trustee Philip Dur) to sign any documents on behalf of the Plan Administrator of the Retirement Plan. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.**

3. Revision of Board of Trustees Bylaws

Trustee Bob Stork made a motion to adopt the Second Amended and Restated Bylaws. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

4. Regulation: FPU-6.005 Sick Leave

Trustee Louis Saco made a motion to approve revised regulation FPU-6.005 Sick Leave. Trustee Bob Stork seconded the motion; a vote was taken, and the motion passed unanimously.

5. Regulation: FPU-6.002 Personnel Code of Conduct

Trustee Bob Stork made a motion to approve revised regulation FPU-6.002 Personnel Code of Conduct and Ethics. Trustee Louis Saco seconded the motion; a vote was taken, and the motion passed unanimously.

XI. Upcoming Events/Meetings

Chair Martin reviewed the upcoming schedule of Board of Trustees meetings. Due to a change in the Board of Governors (BOG) September meeting date, the currently scheduled Board of Trustees meeting for September 12, 2018 is now in direct conflict with the new Board of Governors meeting. Trustees agreed that September 5 is an acceptable date for the Board to meet.

Trustee Cliff Otto made a motion to approve to move the previously scheduled September 12, 2018 Board meeting to September 5, 2018. Trustee Dick Hallion seconded the motion; a vote was taken, and the motion passed unanimously.

XII. Closing Remarks and Adjournment

As this is his last Board meeting, Trustee Jacob Livingston thanked the Board for the opportunity to serve the University as a Trustee this past year.

With no further business to discuss, the meeting adjourned at 2:45 p.m.

AGENDA ITEM: VII.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: 2018 Legislative Session Report

Proposed Board Action

No action required.

Background Information

Kathy Mizereck, AVP Government Relations, will provide a report on the 2018 Legislative session.

Supporting Documentation: PowerPoint presentation

Prepared by: Kathy Mizereck, AVP Government Relations



FLORIDA POLYTECHNIC
UNIVERSITY

Legislative Update

Kathy Mizereck

May 23, 2018



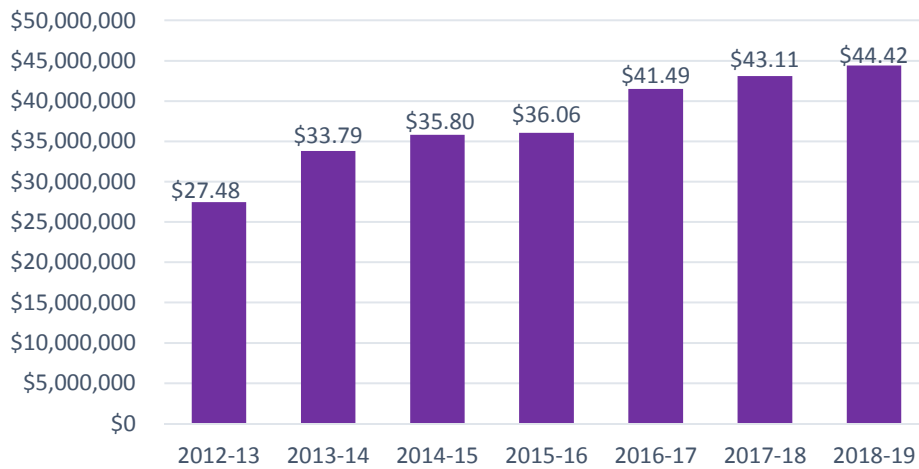
2018 Legislative Session Outline

- **Appropriations History**
- **Operating Funds**
- **Public Education Capital Outlay (PECO)**
- **FIPR Institute**
- **State University System Issues**
- **Policy Issues**

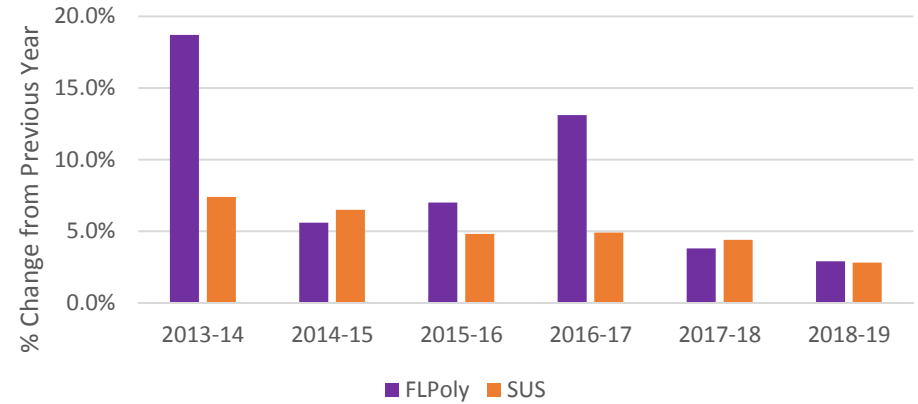


Appropriations History

Florida Poly Appropriations History



**Percent Change
Florida Poly vs SUS**





Operating Funds

- **Education and General: \$37,079,226 (\$757,128 increase)**
- **Lottery: \$290,790 (\$47,642 increase)**
- **Need-based Aid: \$50,000 (level funded)**
- **Tuition and Fee Authority: \$6,545,693 (level funded; reduced by amount of waivers)**
- **Projects:**
 - Advanced Mobility Institute: \$500,000
 - Technology Education Model Program: \$0
 - Sustainability for Economic Growth: \$0



Public Education Capital Outlay PECO

- **Applied Research Center: \$0**
 - \$5,000,000 in 2016
 - \$2,000,000 in 2017
 - \$0 in 2018
- **FIPR Institute: \$5,119,562 (level funded)**



State University System Issues

- **\$20 million recurring world-class scholars**
 - \$90 million recurring system total
 - \$70 million in 2017-18
 - \$20 million in 2018-19
 - Poly's total share \$861,162
 - \$660,093 in 2017-18
 - \$201,069 in 2018-19
- **Slight adjustments for retirement and healthcare**
- **No cuts to carry forward**
- **No cuts to DSOs**



Policy Issues

- **Senate Bill 4 – Excellence in Higher Education Act**
 - In lieu of block tuition, requires each institution to submit a plan to improve 4-year graduation rates
 - Requires DSO's travel expenditures to be public record; applies statutory state funds salary limit to DSO employees; requires UBOT to approve DSO board appointments.
- **House Bill 565 – Excess Credit Hours**
 - Requires a state university to refund excess credit hour charges up to 12 hours for any first time in college student who completes their degree in four years from initial enrollment.
- **House and Senate adopted resolutions recognizing Florida Poly for progress and accomplishments to date**
- **Received a resolution from the Governor and Cabinet recognizing January 16, 2018 as Florida Polytechnic University Day, in honor of Poly Day at the Capitol**

AGENDA ITEM: VIII.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: University Strategic Plan

Proposed Board Action

Recommend approval of the new University Strategic Plan, mission statement and vision statement as presented.

Background Information

Dr. Randy K. Avent, President, will review the proposed University Strategic Plan, including the new Mission and Vision statements.

Supporting Documentation: PowerPoint presentation

Prepared by: Dr. Randy K. Avent, President

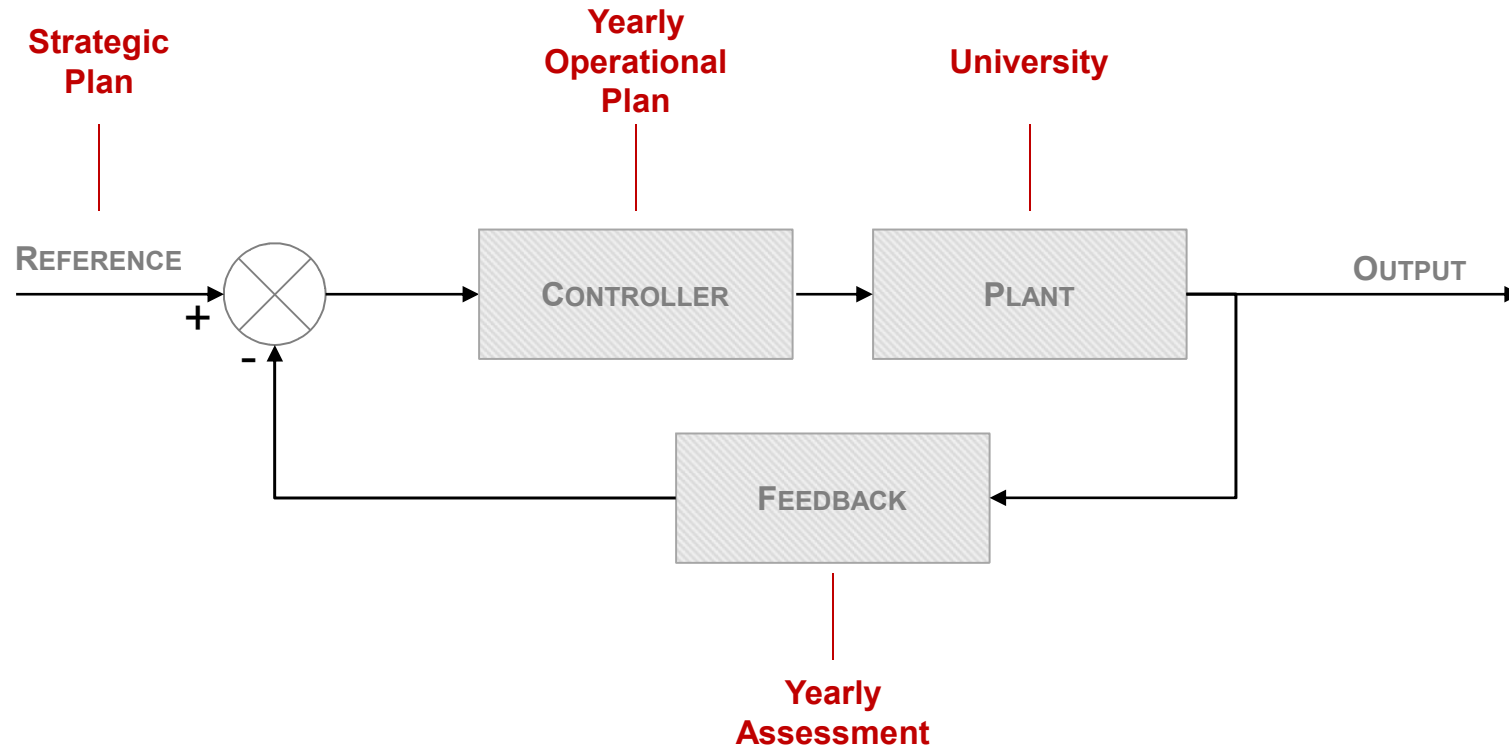


University Strategic Plan

Randy K. Avent
23 May 2018



Control Theory



Stable systems have a control rate that is at least twice as fast as the plant dynamics



Outline

- Introduction
- **Positioning**
- **Priorities**
- **Performance**
- Payments
- **Summary**

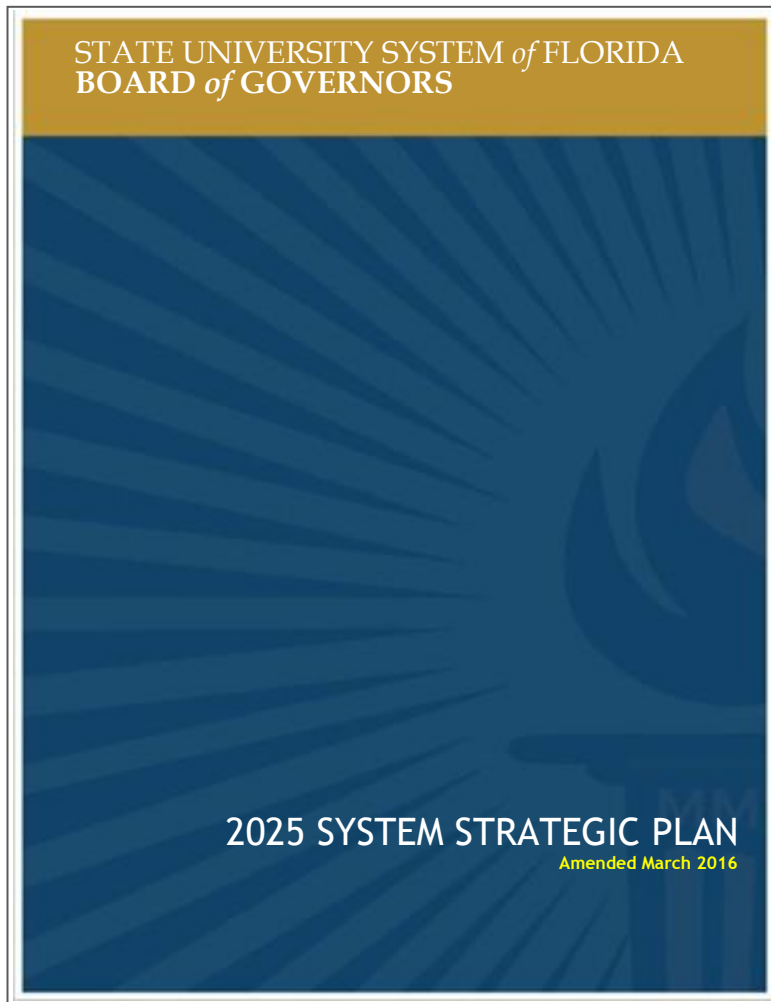


Megatrends in Higher Education

- **Declining state support and increased pressure on affordability**
- **Heightened focus on workforce preparation**
- **Greater accountability (state and students)**
- **Accessibility for nontraditional students**
- **Campus mental health challenges**
- **Greater competition from new business and delivery models**



SUS Strategic Thrusts



- **Teaching & Learning**
 - Strengthen quality & reputation
 - Increase degree productivity & efficiency
 - Increase degrees in STEM/Health
- **Scholarship, Research, Innovation**
 - Strengthen quality & reputation
 - Increase research activity
 - Increase research commercialization
- **Community & Business Engagement**
 - Strengthen quality & reputation
 - Increase levels of business engagement
 - Increase community & business workforce



Key Differentiating Analysis

- **Florida Poly is a small institution**
 - Can offer a high-touch model with smaller classes
 - Can offer a true project-based curriculum experience
 - Can build relationships with Small and Medium Businesses (SMBs) in Florida
 - Must graduate exceptional students to increase impact
 - Must offer an outstanding user experience

 - **Florida Poly is a new institution**
 - Has no legacy programs nor administrative structures
 - Has limited traditional bureaucracies & cultures
 - Must be creative in building out the campus through nontraditional means

 - **Florida Poly is 100% STEM**
 - Can offer industry-aligned majors in fast-growing areas
 - Must build strong partnerships with industry for economic benefit
 - Must provide opportunities for professional skill growth
 - Must control administrative costs to offset expensive programs
-



Positioning Statements

- **Mission Statement**

Serve students, the state and nation through excellence in education, discovery and application of engineering and applied sciences

- **Vision Statement**

Florida Poly will be a premier STEM university known for producing highly desirable graduates and new technology solutions



Outline

- Introduction
- Positioning
- **Priorities**
- **Performance**
- Payments
- **Summary**



Strategic Priorities

- **(Degree Alignment) Build prominent programs in high-paying industries**
- **(Student Success) Prepare students for a lifetime of success**
- **(Economic Development) Grow a high-technology economy around Florida Poly**
- **(Affordability) Maximize value for the student**



University Performance

- **SUS motivated metrics align to SUS common performance goals**
 - Goals defined in Performance Based Funding (PBF) metrics
 - Additional metrics contained in the Key Performance Indicators contained in the yearly Accountability Plan
- **Strategy motivated metrics align to our strategic plan**
 - Metrics that strengthen our differentiation, maturity and values
 - Many derived from subjective yearly surveys we receive after the yearly presidential assessment
- **Peer motivated metrics align to similar institution's performance goals**
 - Results tracked through IPEDS and provide benchmarks for similar institutions



Peer Institutions*

		Type	UG Size	SAT	ACT	% Match
Aspirational	Stevens Institute of Technology	Private	226%	111%	114%	75%
	Rose-Hulman Institute of Technology	Private	160%	110%	110%	95%
	Colorado School of Mines	Public	334%	109%	114%	100%
	Rensselaer Polytechnic Institute	Private	454%	108%	110%	73%
	Worcester Polytechnic Institute	Private	321%			87%
Peers	Missouri University of Science & Technology	Public	500%	106%	107%	76%
	NM Institute of Mining & Technology	Public	114%	104%	100%	72%
	Michigan Technological University	Public	421%	103%	103%	70%
	Clarkson University	Private	237%	99%	100%	64%
	Florida Institute of Technology	Private	263%	97%	100%	53%

* Normalized values to Florida Poly in FY2018



Degree Alignment

• Priorities

- **Enroll a high-quality and diverse incoming class**
- **Grow a faculty body committed to excellence**
- **Improve instructional effectiveness and consistency of quality**
- **Grow the number of academic programs in strategic disciplines**
- **Mature and grow the graduate program**

• Performance

- **Enrollment**
 - *UG incoming class size (peer)*
 - *G incoming class size (peer)*
 - *Average SAT (peer)*
 - *Average ACT (peer)*
 - *Freshman in top 10% (SUS)*
- **Faculty**
 - *Student-to-faculty ratio (peer)*
 - *% hours taught by adjuncts (strategic)*
- **Instruction**
 - *% participation in programs (strategic)*
 - *Institutional effectiveness (strategic NL)*

Build prominent programs in high-paying industries



Student Success

• Priorities

- **Help students achieve academic goals**
- **Build essential skills in communications, leadership, design and business**
- **Embed projects in a sustainable manner to enhance professional development**
- **Support students through work experience programs and career opportunities**

• Performance

- **Retention**
 - *Retention (first-to-second year) (SUS, peer)*
 - *4-year graduation rate (SUS, peer)*
 - *6-year graduation rate (SUS, peer)*
- **Jobs**
 - *% BS graduates employed (SUS)*
 - *Median wages for BS graduates (SUS)*
 - *% industry interns (strategic)*
- **Projects**
 - *% industry capstone projects (strategic)*
 - *Number entrepreneurship efforts (strategic)*
 - *Number UG research opportunities (strategic)*

Prepare students for a lifetime of success



Economic Development

• Priorities

- **Conduct and execute a realistic and sustainable industry interaction model**
- **Conduct applied research to strengthen University impact**
- **Develop extended campus to support University growth**

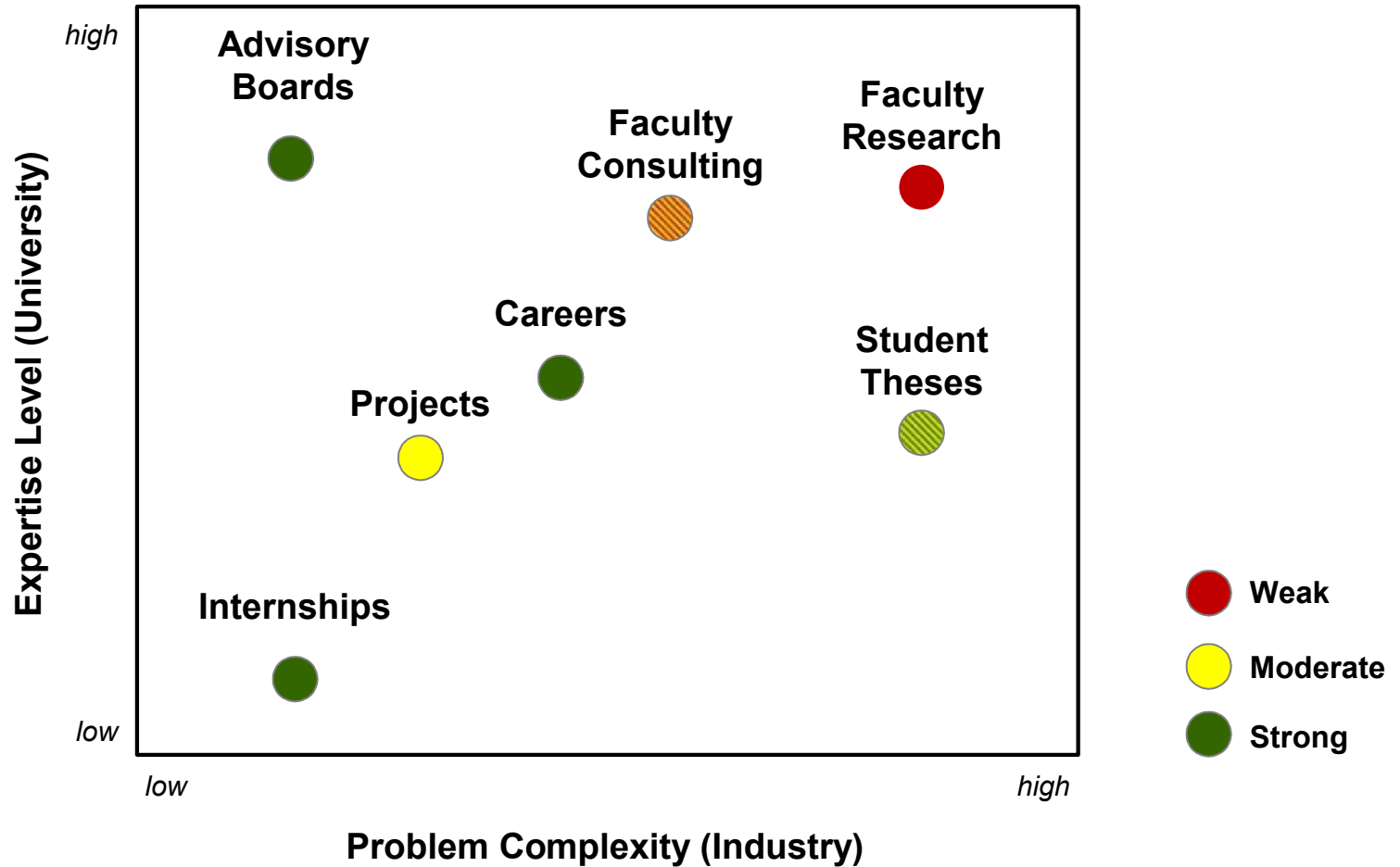
• Performance

- **Research**
 - *Number proposals generated (strategic)*
 - *Number proposals won (strategic)*
 - *Research expenditures (peer)*
- **Space**
 - *Instructional (strategic)*
 - *Academic support (strategic)*
 - *Instructional support (strategic)*

Grow a high-technology economy around Florida Poly



University–Industry Interactions





Affordability

• Priorities

- **Create a strong student user experience**
- **Concentrate spending on academic programs**
- **Continue advocacy efforts to support University growth and reputation**
- **Support professional growth of employees**

• Performance

- **User experience**
 - *NL overall experience (1,2,3)*
- **Spending**
 - *% expenditures on instructional effort (peer)*
 - *Net tuition & fees per 120 hours*
 - *PBF score*

Maximize value for the student



Summary

- **Former strategic plan created before University opened and governed its creation and startup**
 - **New plan created using a standard strategic planning process with input from constituents**
 - **Plan focuses on addressing higher education trends and SUS strategic thrusts while considering our unique nature**
 - **New positioning statements (mission and vision) produced as well as a new set of priorities with performance metrics**
 - **Payments will be included as part of each year's operational plans**
 - **If approved, plan will be compiled into a booklet this summer**
-

AGENDA ITEM: IX.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: Foundation and Development Update

Proposed Board Action

No action required.

Background Information

Kevin Aspegren, VP Advancement, will present a Foundation and Development update to the Board of Trustees.

Supporting Documentation: PowerPoint presentation

Prepared by: Kevin Aspegren, VP Advancement



FLORIDA POLYTECHNIC
UNIVERSITY

Foundation & Development Update

Kevin J. Aspegren

May 22, 2018

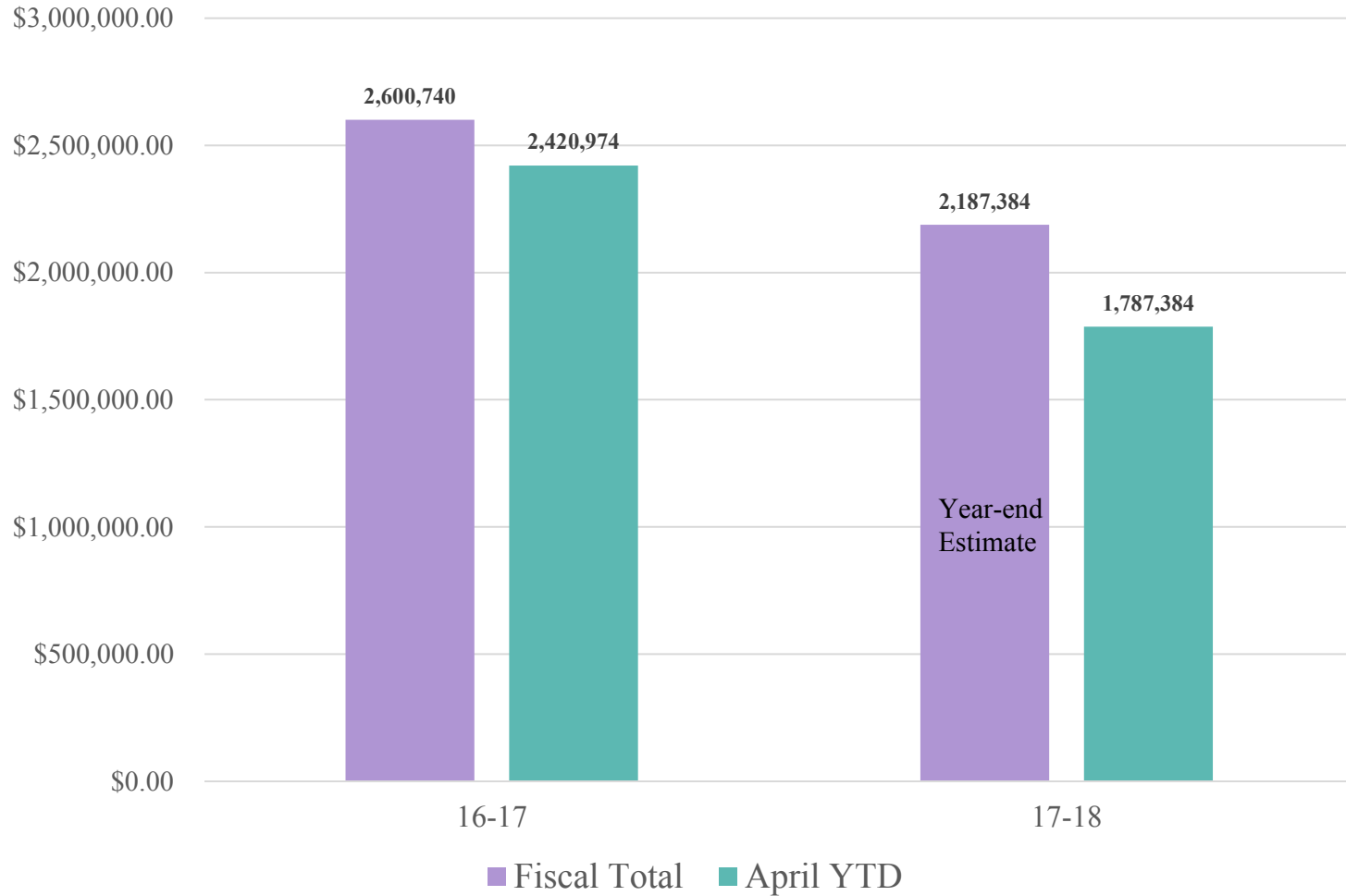


Advancement Goals

- **Culture** – Preeminent organization that the University and industry look to for leadership
- **Talent** – Diverse community of high performing professionals
- **Communications and Stewardship** – Inspire
- **Involvement and Engagement of Alumni, BOT, Faculty, Staff** – Strategic
- **Philanthropy** – Donors support passions by giving to Poly
- **Infrastructure and Finance** – Progressive business planning
- **Volunteers** – Build network led by foundation Board



Cash Contributions By Year





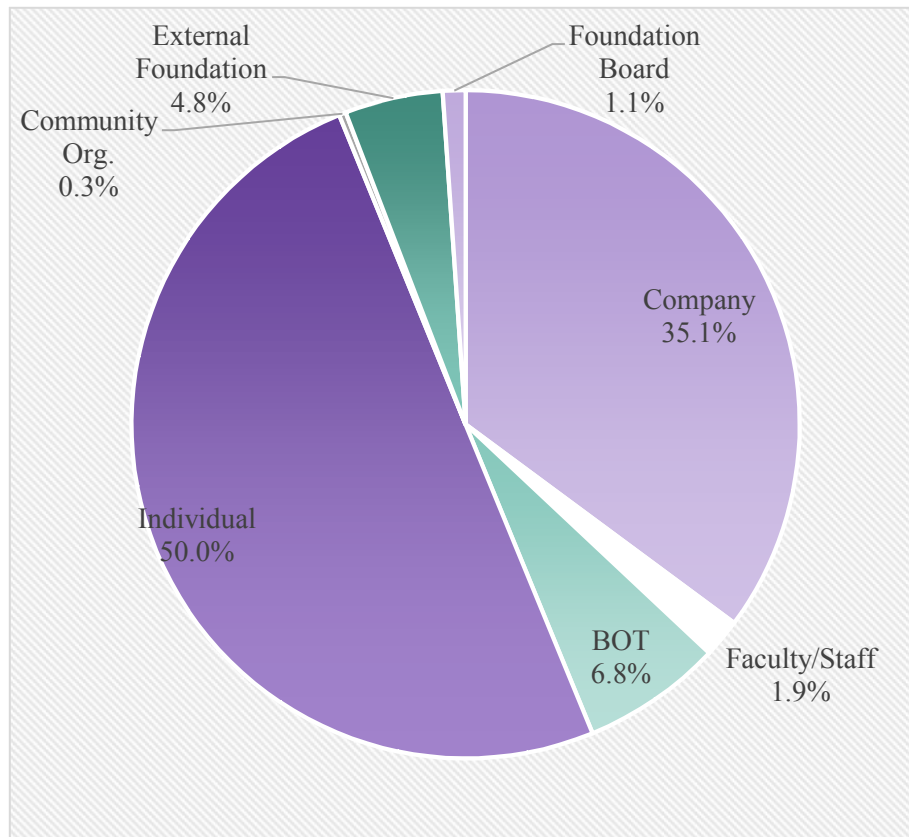
Dashboards

- Introduction
- **Dashboards**
 - Contribution Distribution
 - Gifts and Donors by Year
 - 2017-2018 Donor Distribution
 - Total & New Funds by Year
 - Endowment Contributions by Year
- **Capital Campaign**
- **Summary**

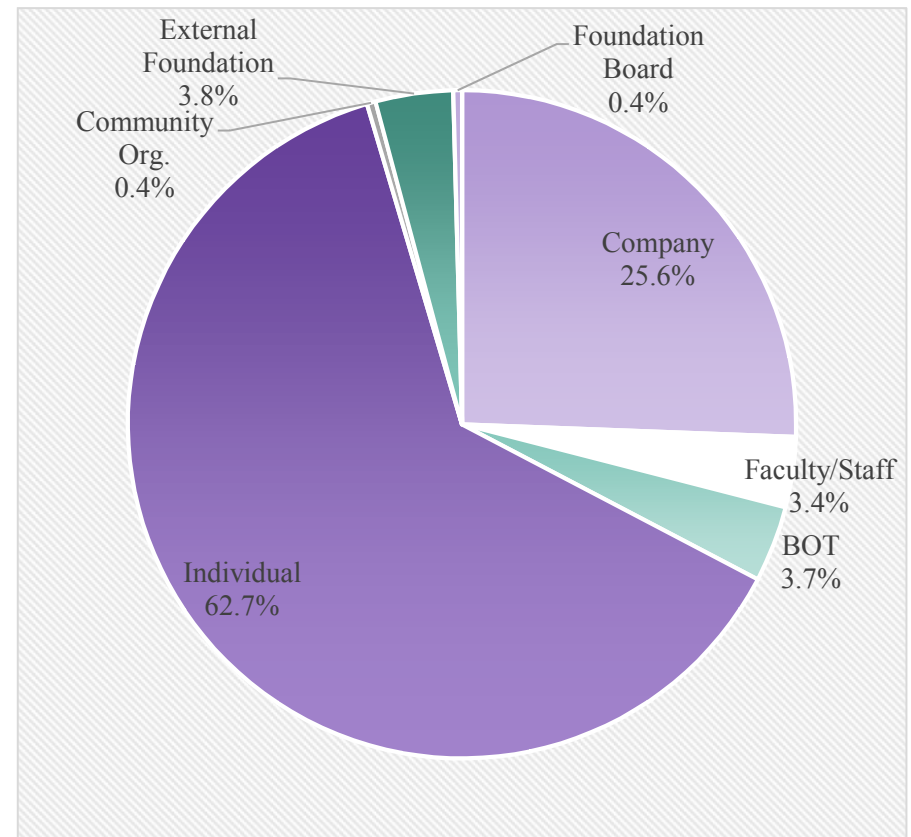


Contribution Distribution

16-17 Contributions by Donor Type



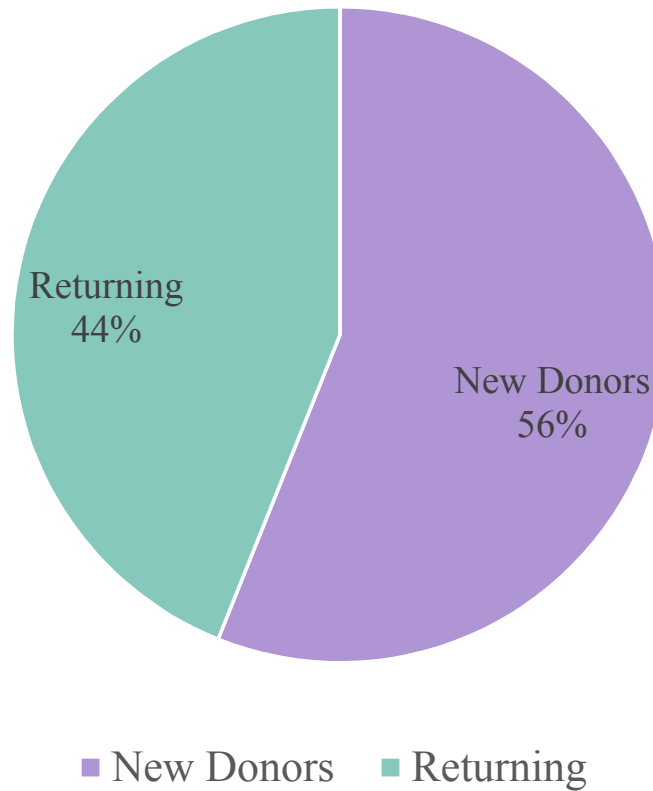
17-18 Contributions by Donor Type





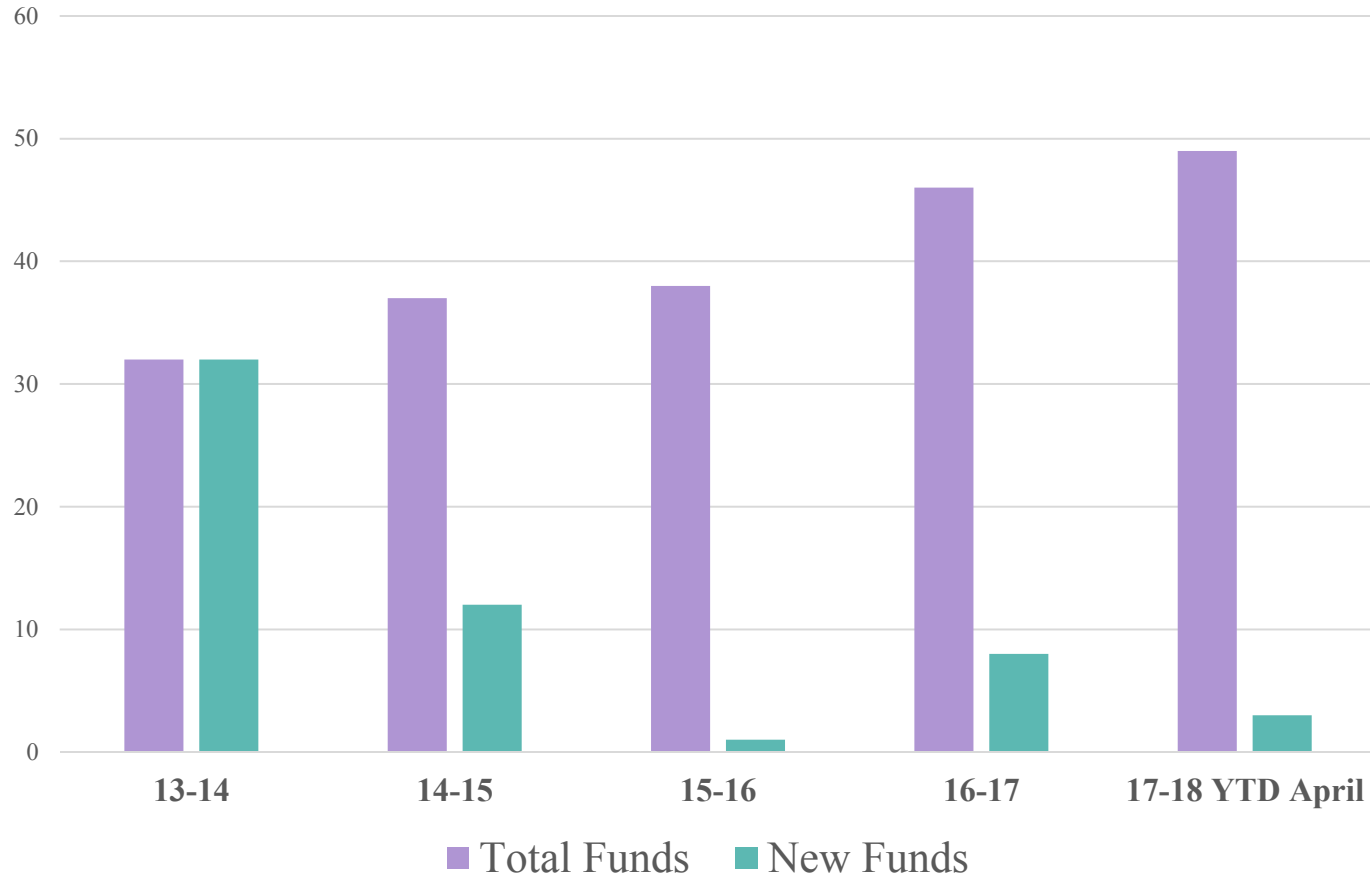
2017-2018 Donor Distribution

17-18 Donors New and Returning





Total & New Funds by Year



In 14-15 seven funds were dissolved to pay for scholarship obligations



Endowment Contributions by Year

TOTAL \$ \$909,906.25





Capital Campaign

- Introduction
- Dashboards
- **Capital Campaign**
 - Are We Ready?
 - Pre-Campaign Planning
 - Campaign Budget
 - Feasibility Study/Next Steps
 - Solicitation Phase: The Silent Phase
 - Foundation Director Recruitment Strategy
- **Summary**



Are we Ready for a Capital Campaign?

- **12-18 Month Planning Period**
- **Planning = 95% of the campaign work**
- **Use planning to strengthen volunteers, development office, the community**
- **Create a strong annual fund, cultivate donors, work with the Board of Trustees, strengthen Foundation Board, expand volunteers**



Pre-Campaign Planning

- **Strategic Plan –**

- Provides blueprint for the campaign (and FL Poly's future)
- Clearly outlines the vision, hopes, and dreams of FL Poly
- Gets BoT, Foundation Board, and Volunteers invested

- **Leadership –**

- BoT, ready and willing to give and get
- President, understands development and campaign role (90% dedicated)
- Foundation Board and Volunteers, ready to lead, committed
- Development Office, robust, well funded people, process, and technology

- **Case for Support-**

- What are we raising money for?
- Is the need perceived by the community as real
- What is the price tag
- Can all this be written down and later be the brochure?



Campaign Budget

- **Over 6-8 Years**
- **Should represent 10% of the campaign goal**
- **Separate from current operating, i.e. net new**
- **Cover the cost of running campaign and campaign should pay it all back**
- **A good time to get what you really need**
- **It takes money to raise money**



Campaign Feasibility Study/ Next Steps

- **Obtain outside opinion on the potential of the campaign**
- **Supports Development Office**
- **Identifies Volunteer Leadership**
- **Identifies Major Donors**
- **Identifies Problems/Goals**
- **Identify Campaign Chair(s)**
- **Identify Steering Committee**
- **Recruit Steering Committee**
- **Train Steering Committee**



Solicitation Phase: The Silent Phase

- **Board of Trustee and Foundation Board Chairs**
 - Asked by Campaign Chair(s) and President
- **Steering Committee Chair(s)**
 - Should be solicited prior to training
- **The ENTIRE Board of Trustees and Foundation Board**
 - Solicited by Chair(s) and/or BoT and Foundation Board Chair
- **The Steering Committee**
 - Solicited by Campaign Chair(S) and/or Board Chairs
- **Key Major Donor Prospects**

NOW WE ARE READY FOR A CAPITAL CAMPAIGN!



Foundation Director Recruitment Strategy

- **Recruitment Focus for the next two years**
 - 10 from the Orlando Area
 - 10 from the Tampa Area
 - 2 from National Corporations such as Amazon, Google, Microsoft, etc.
 - Continue strong representation from Polk County
- **Responsibilities**
 - Attend 3 Board meetings a year
 - Be a Brand Ambassador, attend events/activities on campus
 - Help Raise Money
 - Sponsor one event per year at their home or work
- **Initial Two Year term**
- **Foundation Board Directors Now Require BoT Approval**
 - First Group to be Approved September 2018



Foundation Board Meetings

- **September 7, 2018**
- **November 30, 2018**
- **April 5, 2019**
- **August 23, 2019**
- **November 22, 2019**

AGENDA ITEM: X.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: Economic Development

Proposed Board Action

No action required.

Background Information

Rick Maxey, AVP Economic Development and Board Liaison, will present information regarding economic development to the Board of Trustees.

Supporting Documentation: PowerPoint presentation

Prepared by: Rick Maxey, AVP Economic Development and Board Liaison



FLORIDA POLYTECHNIC
UNIVERSITY

Florida Poly's Impact on Economic Development

Rick Maxey

May 22, 2018



Stimulating Economic Development

Centennial Campus 1988



Florida Poly Research Park 2018



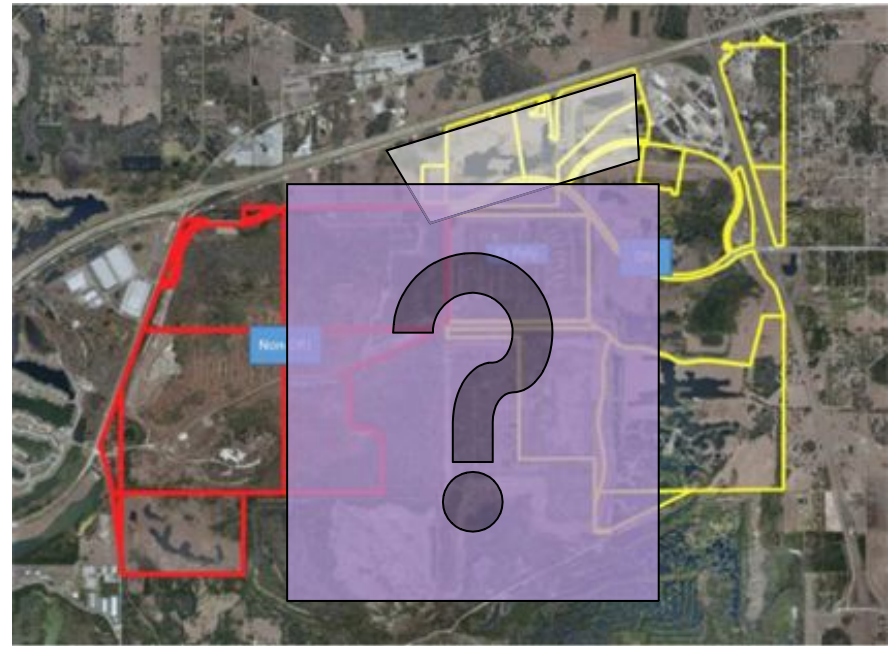


Stimulating Economic Development

Centennial Campus – 30 Years Later



Florida Poly – 30 Years Later



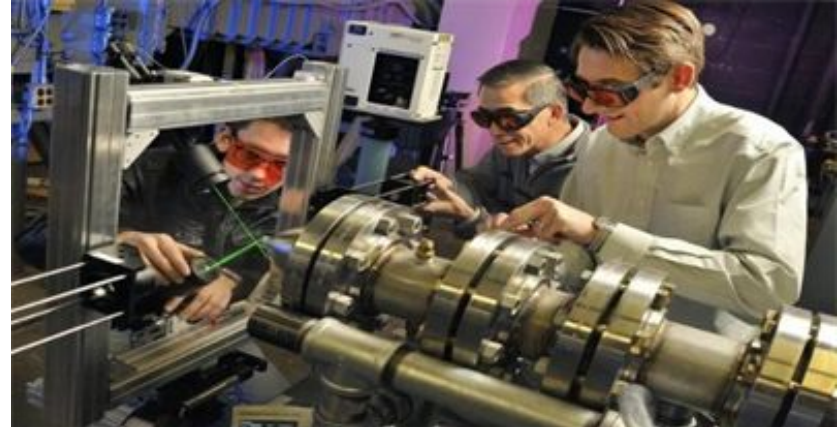


Florida Poly Research Park

Live



Work



Learn



Play





- Introduction
- **Positioning**
 - Success characteristics
 - Planning
- **Next steps**
- **Summary**



Economic Development Summit

Dennis Kekas & Tom White

- Long-term process
- Wide-spread support
- Close collaboration
- Land control & location
- Broad recruiting early-on
- Targeted recruiting
- Infrastructure
- Education systems
- Workforce availability





Logistics Infrastructure

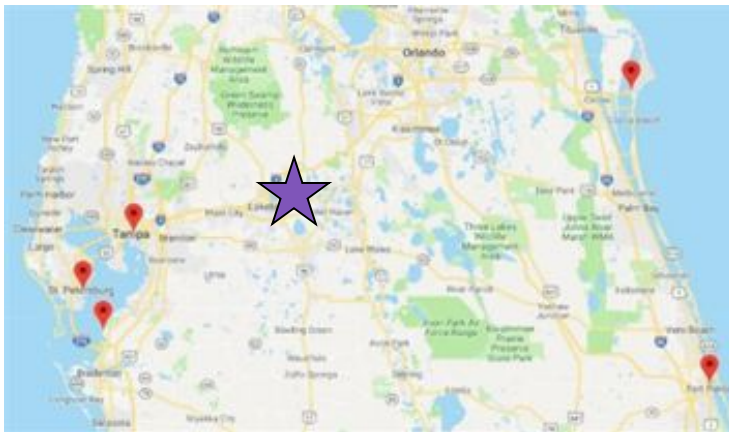
Airports



Major Highways



Seaports



Rail

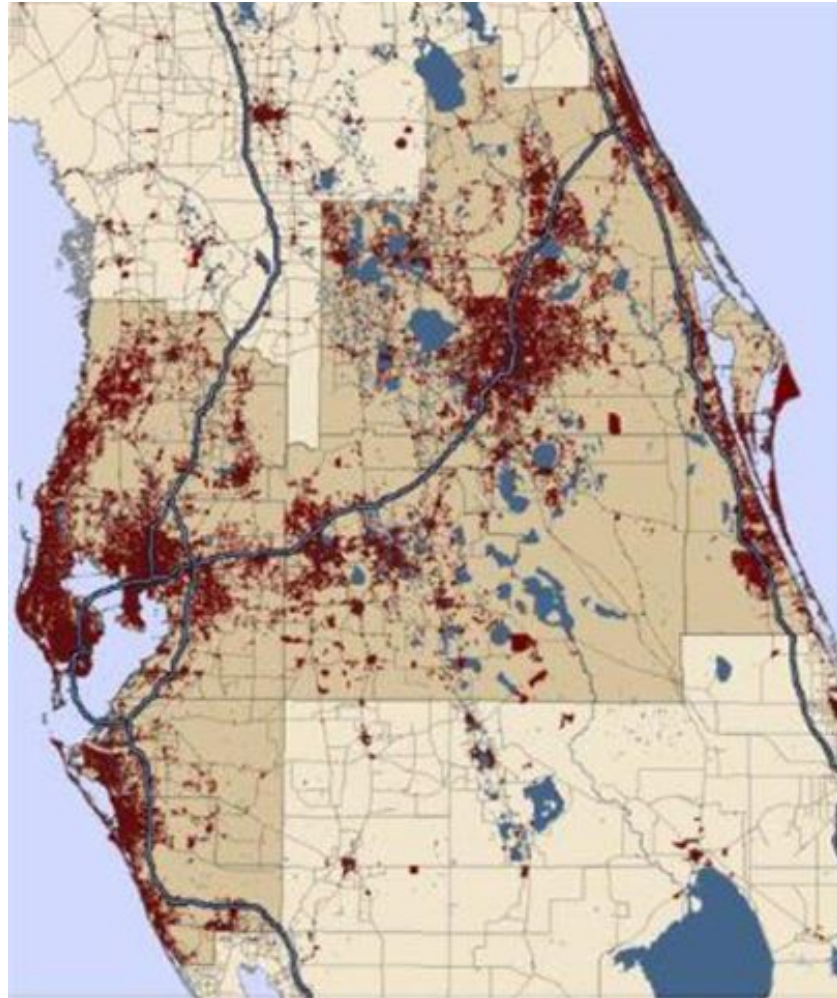




Demographics

Central Florida Super Region

- **15 counties**
- **8.2 million people**
- **4 million people within 1 hour drive**
- **2 major airports w/in 1 hour (Orlando-15th busiest, Tampa-33rd busiest)**
- **10th largest economy in U.S.**
- **Polk county-9th fastest growing by pop. (2010-2017)**





- Introduction
- Positioning
- **Next steps**
 - Alignment
 - Planning
- **Summary**



Targeted Industries

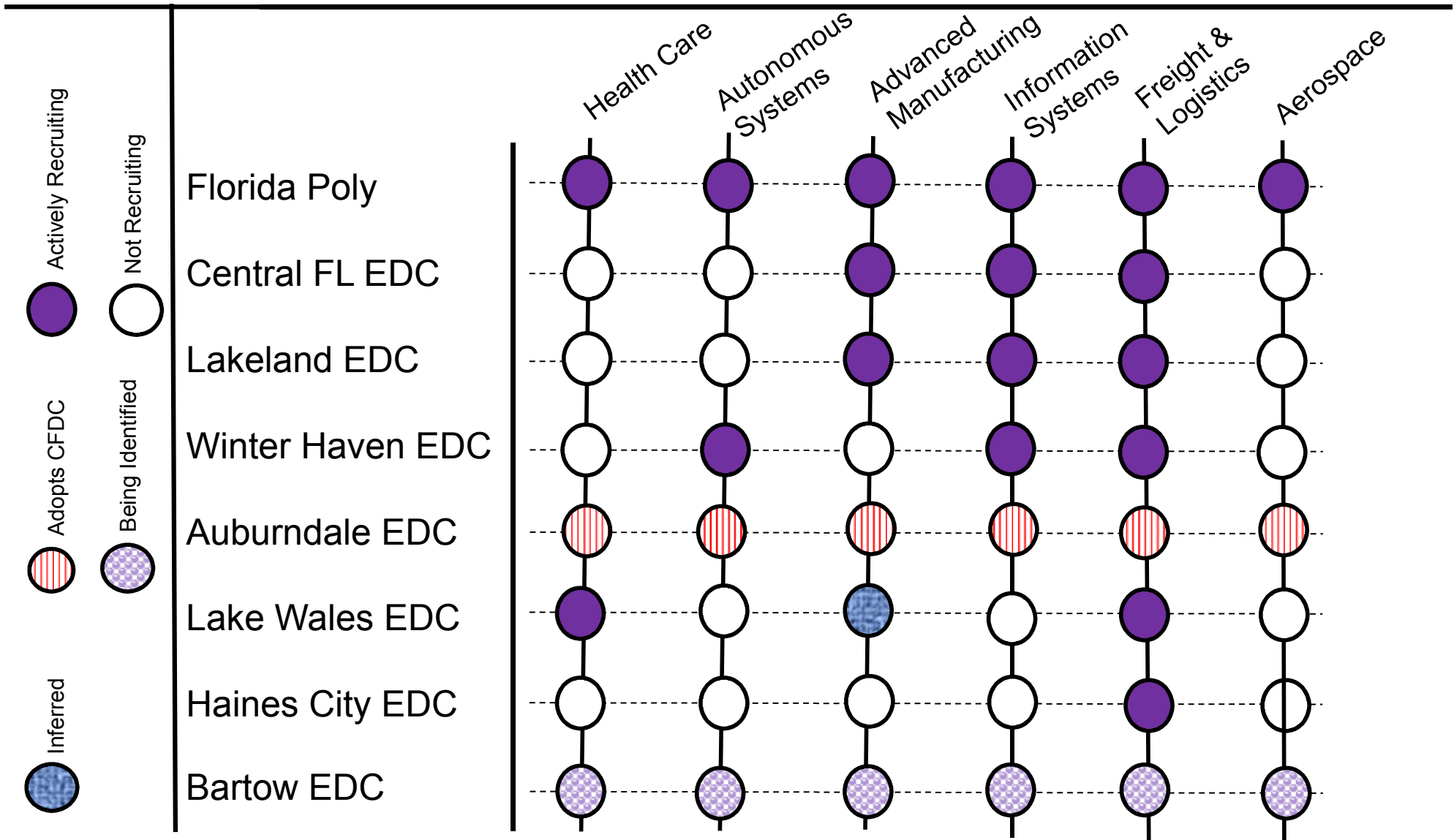
Central Florida Development Council

- **Agribusiness & Technology**
- **Aviation & Aerospace**
- **Business Services**
- **Entertainment, Arts & Tourism**
- **Life Sciences & Medical Services**
- **Logistics, Supply chain & Distribution**
- **Manufacturing**
- **Research, Technology & Creative Industries**



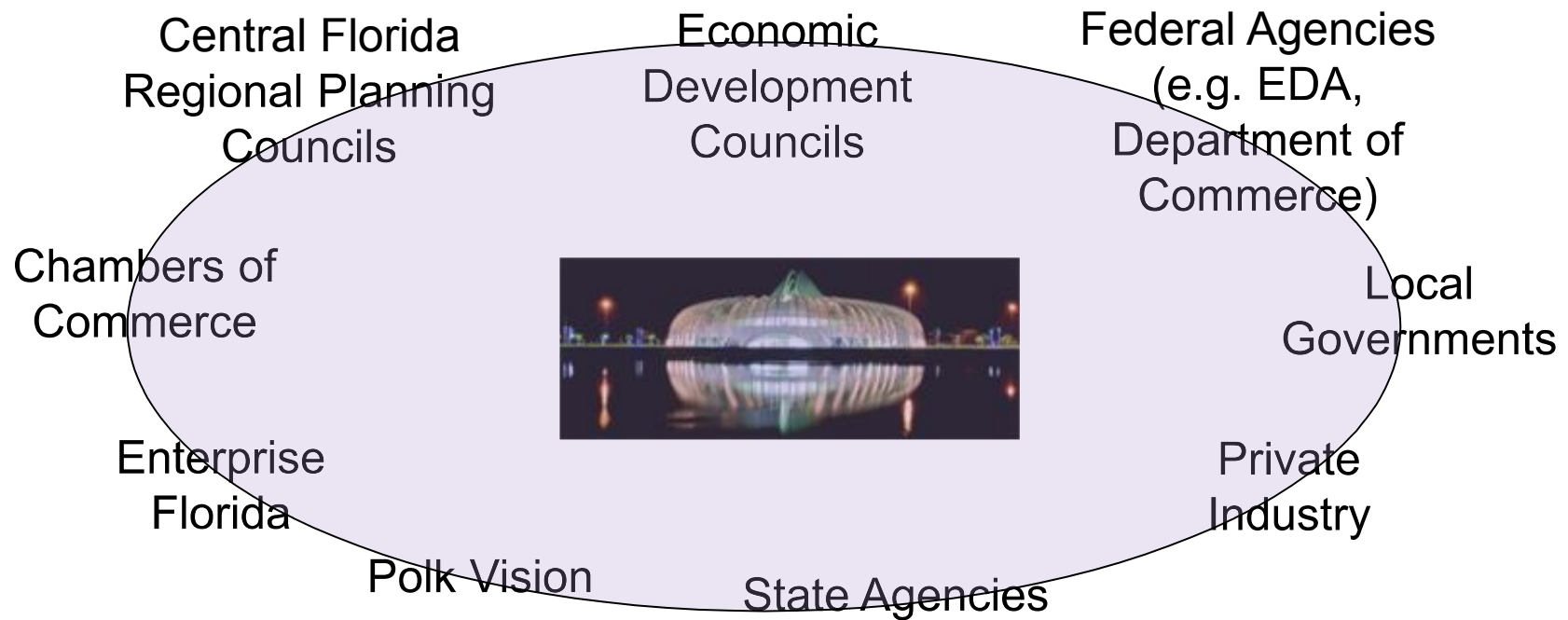


Targeted Industries





Collaboration



Success requires participation and commitment from all partners.



Control the Real Estate



The key to the development of a research park is control of the 500-800 acres of land abutting the University.



Summary

Key Actions

- **Control the real estate**
- **Align targeted industries**
- **Work collaboratively**
- **Actively recruit**
- **Sustain the effort**



AGENDA ITEM: XI.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: Title IX and Accessibility (American Disabilities Act – ADA)

Proposed Board Action

No action required.

Background Information

Michelle Disson, Title IX Coordinator, will present information regarding Title IX and accessibility (ADA) compliance to the Board of Trustees.

Supporting Documentation: PowerPoint presentation

Prepared by: Michelle Disson, Title IX Coordinator



FLORIDA POLYTECHNIC
UNIVERSITY

Title IX & Accessibility

Michelle Disson



Role of Title IX and ADA/504 Compliance

- **Provide resources and information to the University Community**
- **Ensure a prompt, fair and impartial investigation**
- **Be proactive in ensuring the campus is free from discrimination**
- **Work towards compliance within federal, state, local and university policy and procedures**
- **Improve access to the University Community with Universal Design**



Outline

- **Introduction**
- **Title IX**
- **Accessibility**
- **Summary**



Title IX - Reports

- **Reports per year**
- **Recorded by Calendar Year**
- **Policy & Procedures**
 - In process of revising with General Counsel

2016	2017	2018
7	14	10



Training - Students

Fall 2017	Spring 2018	Fall 2018
New Student Orientation – outside presenters	New Student Orientation – self	New Student Orientation - self
New Students sent online training (Haven) only 200 registered for training	<p>All students sent online training EverFi - (Alcohol Edu, Haven, SAOPE) with some customized content</p> <p>Only 2 emails sent from Student Development – no consequences</p>	<p>All students will complete new online training Get Inclusive</p> <p>Mandatory completion: registration hold for Spring Semester (working with Student Development)</p>



Training - Students

- **Alcohol Edu**
 - Part I Completed: 718
 - Part II Completed: 336
- **Haven: Introductory Course for Sexual Misconduct**
 - Part I Completed: 663
 - Part II Completed: 284
- **SAOPE: Sexual Assault Ongoing Prevention Education**
 - Part I Completed: 384
 - Part II Completed: 178



Training - Employees

Fall 2017	Spring 2018	Fall 2018
New Hire Orientation – updated slides regarding Title IX and being a Responsible Employee	(1)New Hire Orientation Slides (2)In Person Trainings – self (focus was on student facing employees)	(1)New Hire Orientation Slides (2)In Person Trainings – targeting Departments and Topics (3)Open Sessions
Sexual Harassment Online training launched and relaunched (Human Resources initiative)	Online training – procurement phase Sexual Harassment Online training relaunched (Human Resources Initiative)	Online training for ALL employees at the beginning of the Academic Year from Get Inclusive



Training - Employees

- **Employee Training**
 - Conducted 11 in person trainings
 - About 100 employees trained

- **Student Employee Training**
 - Conducted 5 in person trainings
 - About 50 student employees trained



Programming

Fall 2017	Spring 2018	Fall 2018
Passive Programming – 1	Workshops – 3 Events – 2 Student Lead Events – 2 Passive Programming – 6	Planning Meeting to occur in May with Student Development, Counseling Center, Rise Up (peer educators) Space out programming
	Topics included: Bystander Intervention, Know Your IX, Healthy Relationships, It's On Us, Take Back the Night	Workshops, Events, Peer Education, Passive Programming Target national awareness months (Oct/Jan/Feb/Apr.)



Outline

- Introduction
- Title IX
- **Accessibility**
- **Summary**



Accessibility

- **Assessment Phase**
 - Reasonable Accommodation Requests (Employees, Students, Applicants, Visitors)
 - Facilities
 - Technology
 - Academics
 - Policies & Procedures

- **Self-Evaluation**



Summary

- **Policy and Procedures are being updated**
- **New online and in-person training opportunities for students and employees**
- **More programming spread throughout the year**
- **Accessibility self-evaluation being conducted**

AGENDA ITEM: XII.A.2.

**Florida Polytechnic University
Board of Trustees
May 23, 2018**

Subject: Adjustments to President's Compensation

Proposed Board Action

Determine adjustments in President's compensation.

Background Information

Pursuant to the President's employment contract and the Board of Trustees Policy on Annual Review of the President, the Board of Trustees must after conducting an annual review and assessment of the President's performance, make any adjustments to the President's base salary and determine whether to award a bonus/performance compensation.

The Governance Committee is responsible for making a recommendation as to the President's Compensation to the full Board.

1. **Adjustment to Base Salary.** The President's Employment Agreement provides that the increase to the President's base salary shall in no event "be less than Three and One-Half Percent (3.5%) of the prior year's Base salary".

At the May 16, 2018 Governance Committee meeting, President Avent expressed that he did not want the Board to provide an increase above the 3.5% minimum. The Governance Committee is recommending a 3.5% increase to the President's base salary.

2. **Performance Compensation/Bonus.** The President's Employment Agreement also provides, "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... Any performance compensation awarded shall be paid to the President within 90 days of the date on which it is awarded."

At the May 16, 2018 Governance Committee meeting, the committee voted to recommend a performance compensation bonus of twenty percent (20%).

Supporting Documentation:

Pertinent Language from President's Employment Agreement Regarding Compensation
Chart: State University System of Florida 2016-17 Presidents Compensation Survey (as of June 30, 2017)

Prepared by: Gina DeJulio, VP & General Counsel

Pertinent Language from President's Employment Agreement
Regarding Compensation [Emphasis Added]

- 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.**

State University System of Florida 2016-17 Presidential Compensation Survey (as of June 30, 2017)

From University Foundation and Other Non-State Sources

Year	Univ	President's Name	From State Sources				From University Foundation and Other Non-State Sources							Total Comp.	Total Salary
			State Salary ¹	August SCDF ^{1a}	Univ. Housing ²	State Other ³	Salary ⁴	Housing Allowances ⁵	Car ⁶	Spouse Travel ⁷	Annuity ⁸	Bonus ⁹	Other ¹⁰		
2016-17	NCF	Donal O'Shea	\$200,000	Yes	No	\$0	\$75,000	\$36,000	\$5,000	\$0	\$41,250	\$0	\$0	\$357,250	\$275,000
2016-17	UWF	Dr. Martha Saunders	\$199,522	No	No		\$135,247	\$24,000	\$14,000		\$58,196		\$1,950	\$432,915	\$334,769
2016-17	FAMU	Larry Robinson	\$200,000	No	No	\$0	\$185,000	\$43,867	\$15,040	\$0	\$0	\$0		\$443,907	\$385,000
2016-17	FPU	Randy Avent	\$199,200	Yes			\$212,422		\$10,200		\$37,000	\$79,695		\$538,517	\$411,622
2016-17	FAU	John William Kelly	\$199,205	No	Yes	\$0	\$259,829	\$0	Yes	\$0	\$62,640	\$120,000	\$1,925	\$643,599	\$459,034
2016-17	FGCU	Dr. Wilson Bradshaw	\$191,622	No	No	\$893	\$234,201	\$50,000	Yes	\$0	\$63,717	\$145,000	\$1,092	\$686,525	\$425,823
2016-17	FIU	Mark B. Rosenberg	\$199,996	Yes	Yes	\$0	\$302,582	No	\$11,500	\$0	\$0	\$100,000	\$99,620	\$713,698	\$502,578
2016-17	FSU	John Thrasher	\$199,859	No	Yes	\$42,526	\$319,354		\$10,800			\$100,000	\$66,129	\$738,668	\$519,213
2016-17	UNF	John A Delaney	\$200,000		No	\$0	\$197,490	\$53,366	\$7,773	\$0	\$79,804	\$218,500	\$9,188	\$766,121	\$397,490
2016-17	UF	W. Kent Fuchs	\$200,000	Yes	Yes	\$0	\$672,900	\$0	\$0	\$0	\$0	\$0	\$310,000	\$1,182,900	\$872,900
2016-17	UCF	John C. Hitt	\$200,000	No	Yes	\$0	\$305,730	\$0	Yes	\$0	\$101,146	\$164,475	\$502,787	\$1,274,138	\$505,730
2016-17	USF	Judy Genshaft	\$199,200	No	No	\$0	\$292,409	\$0	\$11,856	\$0	\$98,700	\$175,000	\$502,787	\$1,279,952	\$491,609

¹ List the annual contract salary, including salary increases for the specified year, for your president paid from State funds.

^{1a} Indicated, using "Yes" or "No", whether the salary reported in #1 and #4 is the same as reported in the August Salary Category Detail File.

² Indicate, using "Yes" or "No", whether your President is provided housing by the University, as opposed to a housing allowance.

³ List the amount of annual State contract compensation, if any, for items other than salary and housing (exclude fringe benefits).

⁴ List the annual salary supplement, if any, paid to your President from non-State funds.

⁵ Provide the annual dollar figure, if any, for housing allowance provided from other than State sources.

⁶ If funds are provided for a car, please list the annual amount provided; alternatively, indicate if a car is provided with "Yes" or "No".

⁷ List the annual amount of compensation for travel, if any, provided for the President's spouse.

⁸ Indicate the annual amount contributed, if any, to an annuity for your President.

⁹ List the amount of any bonuses provided during the fiscal year.

¹⁰ List the annual amount of all other compensation, if any, provided from non-State sources. Also describe the other compensation.

AGENDA ITEM: XIV.

**Florida Polytechnic University
Board of Trustees Meeting
May 23, 2018**

Subject: Board of Trustees Meeting Calendar

Proposed Board Action

Approve the following Board of Trustees meeting dates:

1. February 27, 2019
2. May 21-22, 2019
3. September 11, 2019
4. December 11, 2019

Background Information

N/A

Supporting Documentation: N/A

Prepared by: Rick Maxey, AVP Economic Development and Board Liaison

AGENDA ITEM: XV.

**Florida Polytechnic University
Board of Trustees
May 23, 2018**

Subject: 2018-2020 BOT Chair and Vice-Chair Election

Proposed Board Action

1. Election of the Board of Trustees Chair for the term of August 1, 2018 through July 31, 2020.
2. Election of the Board of Trustees Vice-Chair for the term of August 1, 2018 through July 31, 2020.

Background Information

Pursuant to Section 4.2 of the Second Amended and Restated Bylaws of the Florida Polytechnic University Board of Trustees adopted February 28, 2018, “The Board shall elect the Chair and Vice-Chair from the appointed members of the Board at its last regular meeting prior to August 1 upon recommendation of the Governance Committee and shall serve for a two year term to begin on August 1.”

The Governance Committee met on May 16, 2018 and is nominating Don Wilson to serve as Chair of the Board and Cliff Otto to serve as Vice Chair of the Board for the term of August 1, 2018 through July 31, 2020.

Supporting Documentation:

Prepared by: Gina DeIulio, General Counsel