North Dakota State Board of Higher Education
September 28, 2023, Meeting Minutes

The State Board of Higher Education met on Thursday, September 28, 2023, at 1:00 p.m. CT., at Bismarck State College, National Energy Center of Excellence, room 335, 1200 Schafer St, Bismarck, ND 58501.

Chair Mihalick called the meeting to order at 1:00 p.m. CT.

SBHE Members participating:
- Mr. Tim Mihalick, Chair
- Mr. Jeffry Volk
- Ms. Sadie Hanson
- Dr. Casey Ryan
- Mr. Michael Linnell, Staff Advisor
- Ms. Danita Bye
- Mr. Kevin Black
- Mr. Curtis Biller
- Dr. Lisa Montplaisir, Faculty Advisor

Chancellor present: Dr. Mark Hagerott

Institution Representatives Present:
- Dr. David Cook, President, NDSU
- Dr. Steve Shirley, President, MiSU
- Dr. Carmen Simone, Dean, DCB
- Dr. Brian Van Horn, President, MaSU
- Dr. Doug Darling, President, LRSC
- Dr. Rod Flanigan, President, NDSCS
- Dr. Doug Jensen, President, BSC
- Mr. Steve Easton, J.D., President and Ms. Laura Fetting, DSU
- Dr. Andy Armacost, President and Mr. Mike Pieper, UND
- Dr. Alan LaFave, President, VCSU
- Dr. Bernell Hirning, President, WSC

NDUS Senior Staff Participating:
- Ms. Lisa Johnson, NDUS
- Mr. Darin King, CTS
- Mr. Corey Quirk, CTS
- Ms. Terry Meyer, NDUS
- Mr. Jerry Rostad, NDUS
- Mr. Chris Pieske, NDUS
- Ms. Dina Cashman, NDUS
- Mr. David Krebsbach, NDUS
- Ms. Jane Grinde, NDUS
- Dr. Jen Weber, NDUS
- Mr. Mark Gorenflo, NDUS

Others Participating:
- Ms. Meredith Larson, Assistant Attorney General
- Ms. Rachel Sinness, Assistant Attorney General
Ms. Angie Mirrione and Mr. Kirk Welch and Hub International investment services

1. **Agenda**
   Member Volk requested item ten be removed from the consent agenda and moved to Board action.

   Ryan moved, Hanson seconded, to approve the agenda, with amendment to remove item ten from the consent agenda.

   Black, Bye, Hanson, Biller, Volk, Ryan, and Mihalick voted yes.

2. **Fiduciary Training provided by Ms. Angie Mirrione, HUB International**
   The Board discussed the various components of their fiduciary responsibilities and noted that there are currently working groups noted that the North Dakota PERS Retirement Plan is administered through the State of North Dakota, not under the purview/authority of the SBHE.

**Recognition Plaque**
Ms. Terry Meyer was presented with a plaque by Chair Mihalick and Chancellor Hagerott. Ms. Terry Meyer announced her retirement, effective October 5, 2023; she has served forty years of service to the North Dakota University System Office.

**Board Consent (3 – 9)**
3. Meeting Minutes:
   a. May 22, 2023, SBHE Retreat
   b. May 23, 2023, SBHE Meeting
   c. June 29, 2023, SBHE Meeting

   SBHE Academic and Student Affairs Committee

4. Tenure

   SBHE Budget and Finance Committee

5. VCSU Viking program fee request

6. NDSU Pavek Hall Renovations request to increase authorization

7. Retirement Plan Oversight Committee Membership

8. Mayville State University Tuition
   Mayville State University’s request for an exemption from policy 805.1, section 3, subsection d, to change the factor over their ND resident tuition rate for international students from Australian and Canadian Provinces other than Saskatchewan and Manitoba from 1.75 to 1.50 to differentiate from other international students’ rates.

   Mayville State University is also requesting to lower the Western Undergraduate Exchange (WUE) tuition rates from 1.50 to 1.25 of ND resident undergraduate rate.

   SBHE Audit Committee

9. Updated FY 24 NDUS internal audit plan

   SBHE Research and Governance Committee

10. 2024 All Meeting Calendar — Removed from consent agenda and moved to Board action.
11. **1st Reading of Policy 302.4, Councils** (2nd reading waived)  
Vice Chancellor Rostad reviewed proposed amendments to Policy 302.4. The Board had no concerns.

Ryan moved, Bye seconded, to approve 1st reading, waive 2nd reading, and final adoption of Policy 302.4.

Black, Bye, Hanson, Biller, Volk, Ryan, and Mihalick voted yes.

12. **2nd Reading and final adoption of Policy 100.6, Authority & Responsibility of the SBHE**  
Vice Chancellor Rostad presented Policy 100.6; there have been no additional changes since the 1st reading at the June Board meeting.

Ryan moved, Bye seconded, to approve 2nd reading and final adoption of Policy 100.6, as presented.

Member Volk proposed an amendment to Member Ryan’s motion; the removal of Section 9c from policy 100.6. He stated it conflicts with other sections of the policy and North Dakota Century Code:

Section 9. SBHE members shall engage in transparent communication between one another to effectuate the duties vested in them through section 6 of article VIII of the Constitution of North Dakota and N.D.C.C. § 15-10-17, within the limits of open meeting law.

a. The SBHE and each of its members have the right to receive current and historical information relating to the specific powers and duties under section 6 of article VIII of the Constitution of North Dakota and N.D.C.C. § 15-10-17.

b. Requests for existing information or records will be fulfilled by the Chancellor or designated staff within the limits of available staffing and resources while in compliance with state and federal laws (Family Educational Rights and Privacy Act/ (FERPA) and Health Insurance Portability and Accountability Act/ (HIPPA)) as well as best practices for non-disclosure of Personal Identifiable Information (PII).

c. Requests to create new records or customized information must be approved by the SBHE chair.

d. The SBHE will be notified of all requests to release closed or confidential records, as defined in N.D.C.C. ch. 44-04. A member of the SBHE will not be denied access to a record, current or historical, that is closed or confidential, unless releasing such record is otherwise prohibited by law.

The Board discussed the policy amendments, more specifically an added Section 9 a – d. There was new legislation that was incorporated into components of Section 9; however, Paragraph C, received different interpretations and understanding of what constitutes a public record/document, how record requests are managed, and what guidelines should be in place for specific requests that require a document to be newly created. Ms. Larson, Assistant Attorney General to the Board, provided guidance on that section 9c specifically identifies new or customized records, which is different than an existing document(s). An existing document is subject to open records, but creating a new document isn’t required. She explained Board governance and best practices as it relates to actions of individual Board members versus the Board acting as a whole. It is best practice for the Board to identify focus areas as a whole and agree on the expectations and priorities of the administrative office staff. If Board members are making individual requests to the system office, it could cause duplication and make it difficult for staff to differentiate and/or prioritize requests and workloads. Further, the individual interests of Board members may not align with the goals of the Board as a whole.

Member Volk was asked if he would like to make a motion in regards to the final adoption of Policy 100.6.
Volk moved, Ryan seconded, to accept the proposed amendment to Policy 100.6, removing Section 9c. Bye, Hanson, Biller, Ryan, and Mihalick voted no. Volk and Black voted yes.

Motion failed 5 – 2.

Chair Mihalick called for a roll call vote on member Ryan’s motion to approve 2nd reading and final adoption of Policy 100.6, as presented.

Black, Bye, Hanson, Biller, Ryan, and Mihalick voted yes. Volk voted no. Motion passed 6 – 1.

13. 2nd Reading of Policy 302.2, Audit Committee
Ms. Dina Cashman reviewed proposed amendments to Policy 302.2.

Ryan moved, Bye seconded, to approve 2nd reading and final adoption of Policy 302.2.

Black, Bye, Hanson, Biller, Volk, Ryan, and Mihalick voted yes. Motion passed.

14. 2nd Reading of Policy 306.2 (Part A only), Internal Audit Charter
Ms. Dina Cashman explained that Policy 306.2 is the Internal Audit Charter; it has separated into two components, Part A and B. Part A of the charter will be specific to the system office Internal audit function that provides services to all NDUS institutions, except for North Dakota State University (NDSU) and University of North Dakota (UND). Part B of the charter is specific to NDSU and UND that employ their own internal auditors and will be proposed to the Board at a later date.

Ryan moved, Bye seconded, to approve 2nd reading and final adoption of part A of Policy 306.2.

Black, Bye, Hanson, Biller, Volk, Ryan, and Mihalick voted yes.

15. Authorize UND to rename the UND Department of Accountancy & Information Systems
President Armacost and other campus representatives request approval to rename the UND Department of Accountancy & Information Systems in the Nistler College of Business & Public Administration as the Herr School of Accountancy. The Nistler College of Business and Public Administration building project is funded with a combination of Legislative support and private donations. Henry and Judee Herr provided significant financial support to UND for more than 40 years including establishing endowments for student programs, and faculty support.

Hanson moved, Ryan seconded, to approve the renaming of UND’s Department of Accountancy & Information Systems to the Herr School of Accountancy, as presented.

Biller, Volk, Ryan, Black, Bye, Hanson, and Mihalick voted yes.

16. Presidential Tenure Nomination
Board Member Ryan state that the SBHE Research and Governance Committee discussed and recommended that the Board grant tenure to Minot State University President Steven W. Shirley, Ph.D. in recognition of his long and distinguished service to the North Dakota University System as the Former President of Valley City State University and current President at Minot State University. The recommended action would be an exception to SBHE Policy 605.1, and making such an exception is within the SBHE’s purview.
Ryan moved, Black seconded, to grant tenure to Minot State University President, Steven W. Shirley, Ph.D., effective immediately.

Hanson, Biller, Volk, Black, Bye, Ryan, and Mihalick voted yes.

17. **Honorary Degree**
Vice Chancellor Johnson proposed a nomination from North Dakota State University, stating the nomination aligns with SBHE Policy 430.1 that details the award of an honorary degree at the discretion of the Board. Honorary degrees that are approved by the Board are kept confidential until the requesting institution has had the opportunity to award it to the individual. Board policy requires that a candidate must have an association with North Dakota and have achieved a level of distinction to merit an honorary degree.

Black moved, Ryan seconded, to approve an honorary degree, as presented.

Hanson, Biller, Volk, Black, Bye, Ryan, and Mihalick voted yes.

18. **Chancellor’s Goals**
Chair Mihalick reviewed the process and timeline for the Chancellor’s goals.

Hanson moved, Bye seconded, to approve Chancellor Hagerott’s goals, as presented.

Hanson, Biller, Volk, Black, Bye, Ryan, and Mihalick voted yes.

19. **Nominations for Executive Secretary**
Assistant Attorney General, Ms. Meredith Larson, reviewed the policy that relates to Board Officer appointments.

Hanson moved, Ryan seconded, to appoint Ms. Bethany Kadrmas, as the State Board of Higher Education Executive Assistant.

Hanson, Biller, Volk, Black, Bye, Ryan, and Mihalick voted yes.

**Item 10 – Proposed 2024 SBHE Meeting Calendar**
Member Volk requested to change the September 2024 full Board meeting to avoid a conflict with campus homecomings; the Board agreed to move it to September 24, 2024. Chair Mihalick noted that the January meeting will be a week earlier than normally scheduled; it will take place on January 18, 2024. There was no opposition.

Volk moved, Ryan seconded, to approve the 2024 SBHE meeting schedule, as discussed.

Volk, Black, Bye, Hanson, Biller, Ryan, and Mihalick voted yes.

**SBHE Committee Reports/Updates/Discussion**
20. SBHE Academic and Student Affairs Committee provided by Mr. Kevin Black.
21. SBHE Research and Governance Committee provided by Dr. Casey Ryan and Ms. Danita Bye.
22. SBHE Budget and Finance Committee provided by Mr. Kevin Black.
23. SBHE Audit Committee provided by Mr. Jeffrey Volk.
24. Ad Hoc Post-Tenure Committee provided by Dr. Casey Ryan/Mr. Tim Mihalick.
25. Ad Hoc Presidential Compensation Committee provided by Dr. Casey Ryan.

Chancellor Report
35. COVID Update provided by Dr. Wynne.
36. DSU Retrenchment and Reorganization provided by President Easton.
37. Envision 2035 Update provided by Chancellor Hagerott, Vice Chancellor Rostad, and respective Co-Chairs.
38. Legislative Interim Committee Update provided by Vice Chancellor Krebsbach.
39. Fall 2023 Census Report provided by Dr. Jen Weber.
40. Preview of Enrollment Dashboards provided by Dr. Jen Weber.

Other Reports:
41. NDSA provided by Ms. Sadie Hanson.
42. CCF provided by Dr. Lisa Montplaisir.
43. Staff Senate provided by Mr. Michael Linnell.
44. Public Comment – no public comment.

45. Assessment of Meeting and Future Agenda Items
46. Motion to Adjourn
   Ryan moved, Hanson seconded, to adjourn the meeting at 4:20 p.m. CT.

   Black, Bye, Hanson, Biller, Volk, Ryan, and Mihalick voted yes.

September 7, 2023

Dr. Mark Hagerott, Chancellor
North Dakota University System
600 East Boulevard Ave, Dept 215
Bismarck, ND 58505-0230

Dear Chancellor Hagerott,

Dickinson State University is submitting Huijian Dong, Ph.D., Provost and Professor, School of Business & Entrepreneurship, to the North Dakota State Board of Higher Education for tenure consideration. Dr. Dong has successfully met the criteria for tenure established in SBHE Policy 605.1.

I am pleased to recommend Dr. Dong for the honor of tenure at Dickinson State University. He held tenure at New Jersey City University. We request that the Board recognize the existing tenure from another institution as part of the hiring to a North Dakota University System institution.

Consideration of the request by the State Board of Higher Education will be appreciated.

Sincerely,

Stephen D. Easton, J.D.
President
Dickinson State University

Enclosures:
Sept. 7, 2023, letter to SBHE
Procedure 605.1 Candidate Recommendation Form
Sections 11.F.7 and 11.F.2 of DSU Faculty Handbook
Dr. Huijian Dong CV
September 7, 2023

To: North Dakota State Board of Higher Education

Subject: Request for Recognition of Tenure - SBHE Policy 605.1

Pursuant to SBHE policy 605.1, Academic Freedom and Tenure; Academic Appointments, I am writing to request the State Board of Higher Education recognize tenure granted at previous institution to Dr. Huijian Dong (Provost and Professor, School of Business and Entrepreneurship).

As stated in SBHE policy, “The SBHE may award tenure to any individual appointed to the faculty who has not met the eligibility requirements of subdivisions 5(b) and 5(c) of this policy (concerning years of service at the NDUS institution) in exceptional circumstances, defined by the institution's procedures, following review and recommendation made pursuant to the procedures established at an institution. The individual shall possess a documented record of outstanding achievement and consistent excellence in a discipline or profession gained through research, scholarly or professional activities, or service.”

Dr. Dong held tenure at his previous institution, New Jersey City University, in recognition of his excellence in teaching and scholarship. Dr. Dong was most recently the acting dean of the School of Business at New Jersey City University and the academic coordinator at the Kate Tiedemann School of Business and Finance at University of South Florida. Dr. Dong has a Ph.D. in economics from the University of Delaware and is in the process of completing a second doctoral degree in education with an emphasis in adult learning from Columbia University.

Dr. Dong’s experiences lead to successful accreditation, student retention, and faculty development. Additionally, he has an extensive background in curriculum review and program development. He is also a prolific scholar with research work published in the American Business Review, Journal of Asset Management, and Journal of Wealth Management, to name a few.

In recognition of rank granted at previous institutions, as well as their breadth of knowledge and outstanding scholarly achievements, it is my recommendation that the State Board of Higher Education of the State of North Dakota grant Dr. Huijian Dong tenure status at Dickinson State University as part of the hiring process for this outstanding new professor.

Please contact me if you have questions or require additional information.

Respectfully,

Stephen D. Easton, J.D.
President
Dickinson State University
**CANDIDATE RECOMMENDATION**

Institution: Dickinson State University

Tenure Unit: School of Business and Entrepreneurship

Tenure Candidate Name: Huijian Dong

Current Rank: Professor

Number of years of tenure credit earned at current institution (including current year): __0__

Number of years of tenure credit awarded for previous professional experience: __7__

Academic Credentials and Institution: BS, South China University of Technology & PhD, University of Delaware

Policy 605.1 – Provide substantiation for the tenure recommendation and indicate the paragraph being referenced. Use additional sheets if necessary. (Check one)

___ 3. “The criteria for tenure evaluation shall include teaching, contribution to a discipline or profession through scholarships, research or professional activities, and service to the institution and society. . . Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution.” Use of paragraph 3 requires only a brief substantiation.

X 4. “The Board may, following review and recommendations made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution’s procedures, to any person appointed to the faculty who has not met the eligibility requirements of subdivisions 3(b) and 3(c) of this policy, provided that the person has a documented record of outstanding achievement and consistent excellence in a discipline or professional gained through research, scholarly or professional activities, or service.” Use of paragraph 4 requires a reference to specific institutional policy requirements and a description as to how the candidate satisfies the institution criteria.*

If the recommendation of the institution's chief executive differs from the consensus of the campus review, the chief executive is to explain the basis for her/his recommendation.

Reference: SBHE Policy 605.1
* Sections 11.F.7 and 11.F.2 of DSU Faculty Handbook (attached)
CANDIDATE RECOMMENDATION FORM

Institution: Dickinson State University

Tenure Unit: School of Business and Entrepreneurship

Tenure Candidate Name: Huijian Dong

Current Rank: Professor

Number of years of tenure credit earned at current institution (including current year): 0

Number of years of tenure credit awarded for previous professional experience: 7

Academic Credentials and Institution: BS, South China University of Technology & PhD, University of Delaware

Policy 605.1 – Provide substantiation for the tenure recommendation and indicate the paragraph being referenced. Use additional sheets if necessary. (Check one)

___ 3. “The criteria for tenure evaluation shall include teaching, contribution to a discipline or profession through scholarships, research or professional activities, and service to the institution and society… Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution.” Use of paragraph 3 requires only a brief substantiation.

X___ 4. “The Board may, following review and recommendations made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution’s procedures, to any person appointed to the faculty who has not met the eligibility requirements of subdivisions 3(b) and 3(c) of this policy, provided that the person has a documented record of outstanding achievement and consistent excellence in a discipline or professional gained through research, scholarly or professional activities, or service.” Use of paragraph 4 requires a reference to specific institutional policy requirements and a description as to how the candidate satisfies the institution criteria.*

If the recommendation of the institution's chief executive differs from the consensus of the campus review, the chief executive is to explain the basis for her/his recommendation.

Substantiation for the tenure recommendation:

* Sections 11.F.7 and 11.F.2 of DSU Faculty Handbook (attached)
II.F.7 TENURE

II.F.7.a PURPOSE OF TENURE

The purpose of tenure as defined by the State Board of Higher Education is to assure both academic freedom and a sufficient degree of economic security to make the academic profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are extremely important to the success of an institution in fulfilling its obligations to its students and to society.

There shall be a probationary period of six full-time, consecutive years of academic (tenure track) service at the University, computed from the date of appointment, unless credit has been given for previous experience. During this probationary period, the faculty member shall be observed and evaluated in accordance with evaluation procedures as outlined in Section II.F.3. of this Faculty Handbook.

II.F.7.a.1 CRITERIA FOR GRANTING TENURE

In order to be recommended for tenure, the applicant must meet or exceed the minimum criteria for all four components listed in II.F.2. (Note: This is the same criteria for promotion to associate professor.)

II.F.7.a.2 PROMOTION/TENURE MATERIALS SUBMITTED TO THE PROMOTION/TENURE COUNCIL

The materials to be submitted in a binder for tenure are the same as those for promotion as outlined in section II.F.6.d.
II.F.7.a.3 PRE-TENURE REVIEW

Dickinson State University wants its faculty members to succeed and to be productive members of the DSU community. While insuring one’s suitability for tenure is primarily the responsibility of the individual, all tenured members of a department have a professional obligation to help guide untenured faculty through their probationary period. The pre-tenure review process is one of the mechanisms through which untenured faculty gain positive and corrective feedback about their performance and how it relates to their tenure progress. This pre-tenure review process will employ the university’s established criteria for tenure, emphasizing excellence in teaching.

Timing
Tenure-track faculty members who, upon their initial hiring at DSU, were not granted prior years of service toward tenure should complete the pre-tenure review process after three years of full-time service to DSU (in the 4th contract year). In cases where prior years of service have been granted, the review should occur at the approximate mid-point of the remaining probationary period.

Review Committee
Submitted materials will be reviewed by a committee consisting of three members: the Department Chair, the faculty member’s mentor, and one additional departmental tenured-faculty member chosen by the member under review. If the mentor is unavailable, a second additional departmental tenured-faculty member can serve in this capacity.

In the case where a department does not have enough tenured faculty members, additional tenured faculty members from another department can fill these roles. Any non-departmental committee members should be acceptable to both the individual faculty member and Dean of Instruction or the Vice President for Academic Affairs.

Timeline
- By September 15 of each year, candidates for pre-tenure review will be notified by the Department Chair of their review and asked to prepare materials for submission no later than November 1.
- The candidate will submit to the review committee a draft copy of the current tenure documents with the appropriate supporting materials.
- The review committee must meet and discuss each candidate’s progress towards tenure. No later than December 1, the review committee will meet with the candidate to discuss areas of strengths and areas where additional attention is warranted. The feedback provided by the review committee is not binding and does not guarantee tenure. In addition, it should not be made part of the faculty member’s permanent file, unless
requested by the faculty member under review. The feedback is for formative assessment only.

- No later than December 15, the department chair will notify the Dean of Instruction in writing that the pre-tenure review process has been completed.

**Policy History**
Non-substantive edits approved by Faculty Senate 03/21/2019
Formatting updated 12/12/2018
Effective date 08/01/2013
Approved by Faculty Senate 9/19/2013
II.F.7.b PROCEDURE FOR GRANTING TENURE FOR FULL-TIME ACADEMIC FACULTY

The following guidelines that apply to the use of this tenure document, early tenure and other exceptional circumstances dealing with tenure are outlined in section II.F.7.c.

- Regular, full-time academic service as defined in the Dickinson State University Faculty Handbook (II.F.1.a.& b) describes the status of a candidate for meeting the eligibility requirements for tenure. “Adjustments in faculty teaching loads” made in light of administrative duties shall not exceed 50% averaged over the time period since the applicant’s initial tenure-track appointment.

- All original documents are to be deposited in the Provost/Vice President for Academic Affairs Office, viewed there, and signed there by the appropriate parties. The Provost/Vice President for Academic Affairs Office shall monitor the receipt of all materials and notify the person responsible if materials are not submitted by the due dates specified below.

- If a candidate is applying for both promotion in academic rank and tenure, the same evaluation committee (s) shall be used for both. Any additional materials for one application or the other must also be provided by the candidate.

- If a due date falls on a weekend or holiday, the due date shall be the last working day before the weekend or holiday.

- The Dean of Instruction or the VPAA must apply for tenure within his/her academic department.

- No candidate shall evaluate himself or herself. A department chair shall skip step 7, Dean of Instruction shall skip step 8, and a VPAA shall skip step 11.

- If a department chair is the candidate, the Dean of Instruction (see steps 3 and 4) shall form the department committee. If, however, the Dean of Instruction is the candidate, the department chair shall form the department committee as stated in steps 3 and 4.

Timeline

1. On or before September 1, the Provost/Vice President for Academic Affairs Office shall begin the tenure process by informing, in writing, each candidate eligible for tenure of his/her responsibility to submit substantiating evidence for his/her evaluation. Copies of the letter are to be sent to each candidate’s department chair, the Dean of Instruction, and the chair of the Promotion and Tenure Council.
2. On or before **October 1**, the **candidate** for tenure shall return, in person a completed application form to the Provost/Vice President for Academic Affairs Office. Upon submission of the completed application form, the candidate shall receive written acknowledgement of receipt by the Provost/Vice President for Academic Affairs Office.

3. On or before **October 1**, the **Dean of Instruction** shall notify the Department Chair in writing to form a three-member department committee, as described in II.F.7.b.4 below, to evaluate the candidate.

4. On or before **October 15**, the **Department Chair** shall:
   a. Appoint a three-member department committee (two faculty shall be from within the department and the applicant shall choose the third member from any department of the university). Two of the committee members must be tenured. In the case where a department does not have enough tenured faculty members, additional tenured faculty members from another department can be added to the committee. (This may result in a committee larger than three members.) Any non-departmental committee members should be acceptable to both the individual faculty member and the Department Chair.
   b. Designate the committee chair and submit the names in writing of the committee members to the Provost/Vice President for Academic Affairs Office. Copies of the letter are to be sent to the candidate, the department committee members, the Dean of Instruction, and the chair of the Promotion and Tenure Council.

5. On or before **October 15**, the **candidate** shall, in person, place substantiating evidence in the Provost/Vice President for Academic Affairs Office for review by his/her department committee, Department Chair, Dean of Instruction, Promotion and Tenure Council, Provost/Vice President for Academic Affairs, and the President of the university. Upon submission of the substantiating evidence, the candidate shall receive written acknowledgment of receipt by the Provost/Vice President for Academic Affairs Office.

6. On or before **November 15**, the **department committee** shall evaluate the candidate and his/her substantiating evidence on file in the Provost/Vice President for Academic Affairs Office. The department committee shall submit a recommendation using the Recommendation for Promotion and/or Tenure form to the Promotion and Tenure Council and deposit it in the Provost/Vice President for Academic Affairs Office ranking the candidate as to whether or not they meet or exceed the minimum criteria on each designated criterion, and specifically recommending the candidate for or against tenure. A copy of the recommendation shall be sent to the candidate, to the Department Chair, and to the Dean of Instruction.
7. On or before **December 1**, the **Department Chair** shall evaluate the candidate, his/her substantiating evidence, and the department committee’s tenure recommendation on file in the Provost/Vice President for Academic Affairs Office. The Department Chair shall submit a recommendation using the Recommendation for Promotion and/or Tenure form to the Promotion and Tenure Council and deposit it in the Provost/Vice President for Academic Affairs Office ranking the candidate as to whether or not they meet or exceed the minimum criteria on each designated criterion, and specifically recommending the candidate for or against tenure. A copy of the recommendation shall be sent to the candidate and to the Dean of Instruction.

8. On or before **December 15**, the **Dean of Instruction** shall evaluate the candidate, his/her substantiating evidence, and both tenure recommendations (department committee; Department Chair) on file in the Provost/Vice President for Academic Affairs Office. The Dean of Instruction shall submit a recommendation using the Recommendation for Promotion and/or Tenure form to the Promotion and Tenure Council and deposit it in the Provost/Vice President for Academic Affairs Office ranking the candidate as to whether or not they meet or exceed the minimum criteria on each designated criterion, and specifically recommending the candidate for or against tenure. A copy of the recommendation shall be sent to the candidate.

9. On or before **December 20**, the **candidate** shall have the right to make a written request to appear before the Promotion and Tenure Council to speak on his/her behalf. The Promotion and Tenure Council may request clarification and/or additional information as necessary from any of the above evaluators.

10. On or before **February 1**, the **Promotion and Tenure Council** shall evaluate the candidate, his/her substantiating evidence, and the three tenure recommendations *(department committee; Department Chair; Dean of Instruction)* on file in the Provost/Vice President for Academic Affairs Office. The Promotion and Tenure Council shall submit a recommendation using the Recommendation for Promotion and/or Tenure form to the President of the University and deposit it in the Office of the President that:
   a. Verifies that the candidate has met the minimum requirements for tenure, and
   b. Ranks the candidate as to whether or not they meet or exceed the minimum criteria on each designated criterion, and specifically recommends the candidate for or against tenure. A copy of the recommendation shall be sent to the candidate.

11. On or before **March 1**, the **Provost/Vice President for Academic Affairs** shall evaluate the candidate, his/her substantiating evidence, and the four tenure recommendations *(department committee; Department Chair; Dean of Instruction; Promotion and Tenure Council)* on file in the Academic Affairs Office. The Provost/Vice President for
Academic Affairs shall submit a recommendation to the President of the University and deposit it in the Office of the President ranking the candidate as to whether or not they meet or exceed the minimum criteria on each designated criterion, and specifically recommending the candidate for or against tenure. A copy of the recommendation shall be sent to the candidate.

12. On or before April 1, the President of the University, based upon:
   a. The candidate’s application and substantiating evidence,
   b. Written evaluations and recommendations from the department committee, the Department Chair, the Dean of Instruction, the Promotion and Tenure Council and the Provost/Vice President for Academic Affairs, and;
   c. Personal conferences, as deemed necessary by the President of the University, with the above mentioned evaluators and with appropriate support staff, shall grant or deny tenure. The President of the University shall notify the applicant, in writing, of his/her decision to grant or deny tenure. Copies of the letter shall be sent to the department committee members, the Department Chair, the Dean of Instruction, the Promotion and Tenure Council members, and the Provost/Vice President for Academic Affairs.

In case the President of the University does not recommend tenure, the candidate may follow the appeal procedure approved by the Board of Higher Education (Board Policy 605.1 & 605.4). The complete appeal procedure is found in North Dakota Board of Higher Education Policy Manual. Candidates are cautioned to be sure to obtain complete, current information and to follow the time framework as specified.

13. At the April meeting of the Board of Higher Education, the President of the University shall report his/her decision regarding the candidate’s tenure status.

Flow charts for the procedure for tenure follow.

Relevant Forms
Application for Promotion and/or Tenure (found on SharePoint)
Recommendation for Promotion and/or Tenure (found on SharePoint)

Reference Documents
SBHE Policy Manual, Section 605.1, Academic Freed and Tenure; Academic Appointments
SBHE Policy Manual, Section 605.4, Hearings and Appeals
Policy History
Revised / Approved by Faculty Senate 03/21/2019
Formatting updated 01/12/2019
II.F.2 CRITERIA FOR EVALUATION

All faculty hired Fall 2017 or later will be evaluated under this updated policy. Until Fall 2022, faculty hired prior to Fall 2017 will have the option of being evaluated under this new policy or under the policy that existed in the Faculty Handbook as of May 2017. After Fall 2022, this updated policy will be the only evaluation criteria accepted.

The criteria for evaluation will be divided into four components. In order to apply for promotion or tenure, a faculty member must meet or exceed the minimum criteria for all four components. Meeting those minimums does not guarantee that promotion or tenure will be granted. Faculty experts and administrators will have the final decision regarding the granting of promotion and/or tenure.

First year faculty will only be evaluated based upon their Teaching Effectiveness. There is no evaluation requirement for Scholarship or Service during the first year unless otherwise specified in an individual’s contract.

Component 1: Teaching Effectiveness

High-quality teaching includes, but is not limited to, the following:

- Creating a high-quality educational experience that advances student understanding in your field
  - For online teaching, this includes being actively engaged in coursework through the semester.
- Creating and revising courses as necessary.
- Being available to students and university through various means. This includes more time than just class time and official office hours.
  - For online teaching, this includes responding to students and university in a timely fashion.

Measured based on as many of the following as possible:

- Student Evaluations (required)
- Classroom Visitation Reports
- Peer or Mentor Reviews
- Administrators Evaluations (required)
- Evidence of Growth in Teaching (required)
Component 2: Scholarship Activities and Self-Improvement

Scholarly activities can include both of the following categories:

Research & Professional Development Activities:
- Graduate work or work towards an advanced degree
- Continuing education in professional field
- Participation in professional organizations
- Publications
- Peer-review for professional publications
- Attendance at professional meetings
- Presentations at professional meetings
- Personal performances, such as Oratorical, Musical, Dramatic, Exhibitions
- Consulting work
- Writing grants

Educational & Pedagogical Activities:
- Continuing education in teaching
- Participation in teaching organizations
- Publications
- Peer-review for professional publications
- Attendance at professional meetings
- Presentations at professional meetings
- Consulting work
- Review of commercial and professional curriculum materials
- Writing grants

Measured based on the following:
- Documentation or evidence of each completed activity

A minimum of one of these activities must be averaged per year in order to be considered for promotion and tenure. More of these are encouraged. The activities should be demonstrated over the candidate’s full employment period.

Component 3: Service to the University

Service to the university is defined as any activity related to the success of the university and/or its students.

Examples include, but are not limited to:

Required
- Advising (required for tenured/tenure-track faculty)
- Serving on a committee and/or Faculty Senate
- Additional contractual duties (if applicable)
Recommended:
- Additional committee service
- Writing student recommendations
- Involvement in student research
- Internships, field experiences, and student job placement
- Recruiting
- Raising funds
- Conducting and/or assisting at clinics, workshops, camps, tournaments and meets, intramurals, concerts, etc.
- Teaching for Continuing Education (undergraduate, graduate or non-credit)
- Advising student organizations

Measured based on the following:
- Documentation or evidence of each required activity
- Documentation or evidence of each recommended activity completed

A minimum of the required activities plus one of the recommended activities must be averaged per year in order to be considered for promotion and tenure. More of these are encouraged.
The activities should be demonstrated over the candidate’s full employment period.

Component 4: Service to the Community
Service to the community is defined as services rendered in your professional field as well as other activities. The goal is to encourage well-rounded, community-involved faculty.
Community can range from locally to globally.
Examples include, but are not limited to:
- Making speeches/giving presentations to community groups
- Organizing and/or working with community organizations
- Service to community organizations
- Seeking or holding governmental office
- Serving on advisory boards
- Serving as a resource person
- Service to or holding office in a professional organization
- Participating in accreditation/external review activities
- Professional consulting (unpaid) related to one’s professional expertise
(Monetary donations and simple membership in an organization do not count toward this component.)
Measured based on the following:

- Documentation or evidence of each completed activity

A minimum of one of these activities must be averaged per year in order to be considered for promotion and tenure. More of these are encouraged. The activities should be demonstrated over the candidate’s full employment period.

Policy History

Revised / Approved by Faculty Senate 03/21/2019
Formatting updated 11/15/2018
Approved by Faculty Senate 4/19/17
Huijian “David” Dong

Harborside Suite 2
School of Business, New Jersey City University
200 Hudson St., Jersey City, NJ 07302

Office: (201) 200-3168
Mobile: (302) 367-9399
Email: hdong@njcu.edu

Education

Ph.D. in Economics (concentration: finance), University of Delaware 2011
Dissertation: International Financial Markets Contagion: Determinants and Consequences

Ed.D. in Adult Learning (concentration: higher education), Columbia University In progress
Dissertation: The Success Factors for the Adult Learners in Higher Education Institutions

B.S. in Electrical Engineering, South China University of Technology 2000

Full-time Employment

New Jersey City University

Administrative
Interim Dean, Associate Dean, School of Business 2021-present

University of South Florida

Administrative
Academic Coordinator, Kate Tiedemann School of Business and Finance 2019-2020
Head of Finance, Economics, Statistics, and Entrepreneurship, K.T. College of Business 2017-2019
Director, Merrill Lynch Wealth Management Center 2017-2020

Faculty
Associate Professor of Finance (with Tenure) 2017-2020

Pacific University Oregon

Administrative
Chair, University Curriculum and Standards 2014-2016
Chair, College Curriculum and Standards, College of Business 2013-2016
Director, Master of Science in Finance Program, College of Business 2013-2017

Faculty
Associate Professor of Finance (with Tenure) 2016-2017
Assistant Professor of Finance 2011-2016

New Oriental Education Group (NYSE: EDU)

Administrative
Regional General Manager 2006-2007
Division Manager 2004-2006

Faculty
Lecturer 2001-2007
Academic and Administrative Services

New Jersey City University

Budgetary
- Realized $2.5 million in savings without decreasing enrollment or faculty income

Strategic planning and policies
- Led the development of School Strategic Plan 2025 with a new stakeholder committee
- Created roadmap and quantifiable metrics for performance measurement and action items
- Implemented mission-aligned outcome review protocols and people-centered timetable
- Developed a set of AACSB-consistent policies (e.g., Tenure and Promotion, Communication Protocol, Instruction and Assurance of Learning, Faculty Review Policy, General Education Curriculum Proposal, Independent Study, Online Instruction Guidelines)

Academic affairs
- Oversee 14 undergraduate programs, eight graduate programs, and eight certificate programs
- Developed five new programs (new B.S., new M.S., 4+1 pathway, and degree completion) and restructured six programs (post-restructure retention rate: 87%)
- Organized three cycles of course innovations (online and HyFlex modality transition, new strategic plan transition, core business curricula currency maintenance)
- School social mobility ranking #59 nationally.

Faculty and staff affairs
- Starting from 2021, oversaw 49 full-time faculty, 15 staffs, and 36 long-term adjunct faculty
- Reviewed seven faculty members for tenure and conducted 20+ reappointment reviews
- Hired five new faculty and staff members and administered 12 faculty and staff separations
- Introduced three sets of technology infrastructure for various human resources needs

Student affairs
- Oversee the management of 1,400 business-major students and 3,700 registrations/semester
- Led the correspondence with advising, student management, Title IX administration, Diversity and Inclusion, Student Health and COVID correspondent, and campus life events
- Developed the School of Business Teaching Symposium
- Developed the Student Town Hall meeting as a recurring student engagement event

Enrollment and admissions
- Promoted the enrollment to stay flat compared to the university’s 9% drop
- Contributed 30% of university revenue with 13% of instruction budget (including overheads)
- Graduate enrollment increased by 10% after the program restructure.
- Equipped the Fort Monmouth satellite campus with curricula and staffing
- Implemented more than 60 recruiting events with prospective students and stakeholders
- Coordinated five articulation agreements with high schools, four transfers agreement with community colleges, and one co-education agreement with a community college

Fundraising
- Facilitated securing the Guarini Institute Startup Fund ($5 million)
- Facilitated securing the Bank of America fund ($0.5 million)
- Facilitated securing the NJCEE Fund ($1.5 million in kind)
- Facilitated securing NJ Small Business Development Center ($0.5 million/year, long term)
- Facilitated securing Korean Maritime Institute (round 1: $1.2 million R&D grant)
- Facilitated securing Innovation Center ($0.25 million/year, long term)
Research initiatives
- Faculty published nice articles in A+ journals, one received Fulbright, one recognized in a national-level association, and one chaired research association
- Secured the $1,000 faculty/year travel fund despite the financial exigency
- Set up three new research grant-writing clusters: business analytics, fintech, and supply chain
- Coordinated the John Williams, President of Federal Reserve Bank of New York, Finance Talk Webinar at NJCU School of Business

Student success and scholarship
- Led to expand the Career Service from 50 to 350 offers and year-long career curricula
- Led the collaboration with the first-time college program and enhanced retention rate by 5%
- Led to set up the athletics pathway program and realized sports management internship credit
- Led to expand the honors program enrollment to 45 and 100% funding coverage
- Facilitated to grow the number of merit scholarship recipients to 300
- Promoted student clubs and competitions and received multiple national recognitions

Accreditations
- Led the ACBSP CIR 10-year review process and submitted the self-study report
- Submitted the AACSB Initial Accreditation Application with the initial benchmark report
- Supported the university with the Middle States Accreditation (MSCHE) report
- Led the School to serve as a model of policy and practice for other schools and colleges (e.g., templates for program closures, teach-out budget and planning methods, STEM designation application, CIP, non-credit programs, factsheet, athletics advising, international pathway)

Marketing and communications
- Set up the newsletter protocol and social media protocol for the School
- Developed recruiting templates and conducted admissions and recruiting training
- Let to develop standardized media image and market impression criteria
- Assisted the President and Provost with critical communications on challenging occasions
- Assisted the Vice President for Student Affairs with stakeholder engagement events

Community engagement
- Facilitated setting up the Board of Advisors forum and developed leader-taught classes
- Coordinated inviting more than 40 community leaders to join the school initiatives regularly
- Collaborated with the Alumni’s Office and Athletics Center to foster the “Lifetime NJCUer” culture for continuing education and fundraising
- Coordinated the MOU of Innovation and Security in Port Management in Israel and New Jersey, joined by Gov. Phil Murphy and Choose New Jersey President Wesley Mathews

Stakeholder relationships
- Created various technical and pedagogical reports for the university BOT (e.g., the NJCU Student Social Mobility Report, the NJCU Community Economic Impact Report)
- Developed relationships with the State Higher Education Secretary’s Office, other state schools, and local agencies to advocate for NJCU students and employees
- Coordinated the MOU between NJCU, Jersey City, and Consulate General of Mexico to create Acelera Nueva Jersey

International collaborations
- Let to grow international enrollment to 350 despite the impact of COVID
- Led to seal agreements with Mexico, China, Ireland, Korea, Peru, and Israel institutions
- Hosted seven international forums which increased the awareness and social impact of the School, e.g., three MOUs with Ireland’s Top Universities and Incubators
University of South Florida

Strategic planning and policies
- Served on the Council of ONE USF Consolidation Plan
- Served on the General Committee for Senate Committees, assigned strategic tasks, selected committee/council members among the 25 university faculty senate committees, and managed the progress of strategic initiative proposals
- Developed and updated the Student Managed Investment Fund (SMIF) Bylaws, the School Faculty Workload Policy, the Research Expectation and Evaluation Policy, the School Faculty Development Budget Policy, and the Transfer Student Credit Equivalency Guideline

Academic affairs
- Oversaw the monthly academic report (enrollment, fiscal, instructional quality, learning effectiveness, faculty contract, academic catalog updates) in the Executive Council
- Served on the Executive Committee for the executive dean on academic affairs
- Organized the Quality Matters® certification for online courses in the School
- Oversaw the assessment and enhancement of the content and delivery of the School’s academic programs to promote student and faculty success
- Managed School credentials and regulatory compliance through educational quality improvement initiatives and ongoing assessment of Student Learning Outcomes (SLO)

Faculty and staff affairs
- Supervised the School academic program directors and the directors of the School’s undergraduate office, graduate office, career center, advising center, marketing and communications, advancement, civic engagement, and four research centers
- Managed faculty and staff recruitment, research, tenure and promotion, appeals, contract, benefit, disclosure, leave, dispute, and annual review
- Conducted searches for the positions of the Associate Director of Undergraduate Studies, Director of Marketing and Communications, Director of Student Success, Associate Director of Advancement, and Director of MBA Admissions

Student affairs and student success
- Managed more than 200 courses, 1750 students (undergraduate and graduate), and 9,300 course registrations per semester
- Managed the Student Managed Investment Fund (SMIF) for the USF Foundation with 65 student fund managers recruited; contributed the investment proceeds to the university budget
- Led the DFW reduction initiative and second-year student retention initiative
- Created ONE USF business curriculum common syllabus template, textbook standards, assessment standards, and new teaching evaluation guidelines
- Supervised six long-term student organizations, e.g., Student Senate, Wall Street Club
- Created KTCOB Entrepreneur’s Club and invited renowned business leaders to address their business insights to donors and officers; the club incubated three new business entities.

Enrollment and admissions
- Graduate enrollment increased by 17%; undergraduate enrollment decreased by 5%; total enrollment decreased by 2%.
- Online MBA ranked 23rd nationally, advanced from 35th
- New Financial Planning program enrollment grew from 0 to 120 in two years.
- Invited Paul Smith, Global CEO of the CFA Institute, to visit the School and gained the opportunity of hosting the CFA Ethics Competition at KTCOB in 2019 for the first time and again in 2020; the program series contributed to reverse the downward trend of finance program enrollment.
Fundraising
• Steward alumni, friends, and organizations in conjunction with the University Advancement
• Coordinated with the advancement office to maintain and develop ties with local businesses, e.g., invited Citi and Doyle executives to give guest lectures and establish business labs
• Facilitated securing $2 million in-kind sponsorship for USF Entrepreneurship Competition
• Facilitated securing $0.7 million to set up Tampa Bay Developers Luncheon Series
• Facilitated securing $0.45 million from Merrill Lynch to set up the financial literacy initiative
• Developed the periodical Donor Impact Report

Research initiatives
• Developed AACSB teaching and scholarly activity competencies and built positive supervisory and peer relationships (two programs awarded best program, five programs covered by state media, four faculty and five staff received statewide honor)
• Coordinated two international academic conferences (online and in-person) with leading business journal editors and national association leaders
• Coordinated the first grant-writing workshop (6 credits) for the PhD, DBA, and interdisciplinary program students
• Developed the USF Student Investment Research Protocol and Research Report Policy

Accreditations
• Conducted school systematic program reviews and assessments (12 business core courses, 45 major core courses) for AACSB and SACSCOC purposes
• Monitored and improved education metrics for regulation and ranking purposes
• Drafted the Standard 3 (faculty), 4 (curriculum), and 6 (learner progression) AACSB report

Marketing and communications
• Oversaw the monthly school newsletter (student, faculty, staff achievements, administrative communications, stakeholder and community engagement)
• Connected and responded to the university offices as the school contact person: Admissions; Registrar; Financial Aid; Institutional Research; Student Success Center; Career Services; Bishop Center; Human Resources; Business Office; Marketing and Communications; Community Service & Civic Engagement; Advancement, and International Office

Community engagement
• Represented the School in external matters that supported the school's public purposes
• Communicated with the Advisory Board to discuss academic affairs matters and delivered industry dynamics to faculty, staff, and students bi-monthly (quarterly after March 2020)
• Created the USFSP Business Forum Series and regularly engage the key stakeholders in our college activities, including donors and friends, city, county, and state officers, the Executive Dean's Advisory Board, prospective students, parents, alumni, corporate partners, and community leaders
• Invited the local school district superintendent and city officers to set up the USF-City of St Petersburg and Clearwater teacher development program; more than 50 high school teachers are regularly trained to teach Economics, Management, and Finance courses delivered to more than 20,000 local students.
• Produced the monthly KTSBF Investment Newsletter for the broad Florida investor audience

Stakeholder relationships and international collaborations
• Served as the School’s representative on the University Faculty Senate and the Faculty Executive Committee
• Developed three study abroad programs for business-major students in the School and one broad-based joint international graduate program for all business-related students
Pacific University Oregon

Chair, Chair-Elect, Curriculum & Standards, Pacific University
- Conducted 4 new campus-wide programs’ proposals review, feedback, and re-evaluation
- Conducted 2 existing programs’ accreditation self-review and faculty review
- Updated the University Online Education Program Inter-college Credit Transfer Protocol
- Drafted the Advantages of Pacific University Undergraduate Education Report
- Assisted in incubating two programs outside of the College of Business at Pacific University
- Initiated and organized the University Accreditation Learning Outcome (UALO) Document

Chair, Curriculum & Standards, College of Business, Pacific University
- Advised three new faculty as the official mentor appointed by the university
- Oversaw curriculum and standards affairs, including disputes, reviews, and updates
- Provided semester-cycle management of course scheduling, offering, and planning
- Served as registrar’s contact, including transfer students and study abroad programs
- Provided semester-cycle management of student advising, admissions and graduation audit
- Provided credit transfer review and certificate course review
- Addressed MBA and MSF admissions inquiries; updated new admissions policies as needed
- Provided academic misconduct review and oversaw student appeals

M. S. in Finance Program Contact Person, College of Business, Pacific University
- Created the MSF program with proposal, budget, curriculum, recruiting, and marketing; the program was financially self-sustaining after the first cohort
- Set up the academic standards and designed the delivery model with the Registrar’s Office
- Organized and mediated the 2016 CFA Finance EXPO academic track panel discussions
- Designed the marketing and recruiting plan; host more than 10 student recruitment events
- Aligned the MSF curriculum with the CFA CBOK; dynamically update the curriculum
- Placed 46 MSF students in the regional financial industry; increased the ranking significantly from 151-200 to 91st nationally.
- Created the joint program with East China University of Science and Technology

Faculty Senate, Pacific University
- Represented College of Business and its initiatives at the University Faculty Senate
- Represented and defended 3 College of Business program and degree proposals
- Managed the business accreditation process and represented AACSB initiatives
- Chaired the retirement and benefit committee and reviewed faculty defined contribution plan
- Led the switch of faculty and staff 403(b) accounts to better investment management practice
- Participated in the Pacific 2020 strategic plan and provided the enrollment projection model
- Designed student and faculty recruitment package

Committee work at Pacific University
- Chair, Member, Admissions Committees, MSF, MBA, 2014 to 2017
- Chair, Search Committee, Assistant/Associate Professor of Marketing (tenure-track), 2016
- Faculty Representative, Search Committee, Dean of College of Business, 2016
- Member, Search Committee, Assistant/Associate Professor of Management, 2016
- Member, Search Committee, Assistant/Associate Professor of Accounting, 2016
- Member, Search Committee, Executive Assistant to the Dean, 2015
- Member, Search Committee, Assistant Professor of Accounting (term), 2014
- Member, Curriculum and Standard Committee, designed and taught three new undergraduate classes (Business Finance, Investments, Global Finance) from 2011 and five new graduate classes (Equity Asset Pricing, Fixed-Income Asset Pricing, Derivatives, Financial Statements, and Corporate Finance)
Recent Publications

Working Papers


Peer-reviewed journals


**Books**


**Conference Presentations**


Dong, H. (2019). Respond to the Challenges from Online Quantitative Curriculum, AACSB Chair Seminar.

Other Scholarly Activities

Journal Service
Served as referee for 21 manuscripts from AOM, FMA, SFA, EFA and 3 journals, 2021-22
Served as referee for 22 manuscripts from 7 journals and from 2016-20
Served as referee for 10 manuscripts from 4 journals and from 2011-15

Advisory and Research Committees/Working Groups
Organized the EFA 2020 USF discussant pane; (2020)
CFA Portland EXPO Research Track Host and Moderator (2016)
Pacific University Master Theses Advising (2013-2016, 35 projects)

Media
Finance expert expects inflation to continue rising, by Mark Parker, Catalyst (March 14, 2022)
Inflation: Why it is so bad, and what it means for St. Pete and the holidays, by Mark Parker, Catalyst (November 20, 2021)
Grocery delivery, journalist: Natalie Weber, Tampa Bay Times (July 31, 2020)
Uber eats zero commission, journalist: Natalie Weber, Tampa Bay Times (July 31, 2020)
Pinellas County Schools partners with USFSP for Economics Instruction for high school students, journalist: Matthew Blum, Pinellas County Schools WPDS TV14 (November 15, 2019)
New commercial banking, journalist: Sara DiNatale, Tampa Bay Times (January 29, 2019)

Courses Taught and Evaluations

New Jersey City University

Graduate
Advanced Portfolio Management, Summer 2021, NA

Undergraduate
Investment Management, Fall 2021, 4.3
Investment Management, Spring 2022, NA

University of South Florida

Graduate
Wealth Management and Financial Planning, Summer 2018, 5
Investments: Empirical Methods, Fall 2018, 4.78
Investments: Empirical Methods, Fall 2019, 4.89
Financial Statement Analysis, Spring 2019, 5
Financial Statement Analysis, Fall 2019, 4.71
Financial Statement Analysis, Spring 2020, 4.50
Financial Statement Analysis, Summer 2020, 4.83

Undergraduate
Advanced Investment Analysis and Portfolio Management, Fall 2018, 5
Advanced Investment Analysis and Portfolio Management, Spring 2019, 4.5
Advanced Investment Analysis and Portfolio Management, Fall 2019, 5
Advanced Investment Analysis and Portfolio Management, Spring 2020, 4.6

Pacific University Oregon

Graduate
Financial Management, 2013-2016, average 4.7
Asset Pricing II-Fixed Income, 2013-2016, average 4.9
Alternative Investments, 2013-2016, average 4.9
Entrepreneurial Finance, 2013-2016, average 5

Undergraduate
Principles of Finance, 2011-2016, average 4.6
Investments, 2012-2016, average 4.8
Global Finance, 2012-2016, average 4.8
Operations Management, 2014-2016, average 4.8
Econometrics, 2015, 5

Part-time Employment

Director, CFA Society Tampa Bay Board 2019-2020
Academic Contact Person, USF-Pinellas County School District Development Program 2018-2021
Director, Portland CFA Finance EXPO Board 2015-2016

Professional Certification and Training

Chartered Financial Analyst (CFA), License No.: 2270075
Chartered Alternative Investment Analyst (CAIA), License No.: 100890196807
Intrinio Programming Seminar, Intrinio® (2019)
Quality Matters® Online Education Reviewer, QM® (2018)
Preventing Sexual Harassment on Campus for Supervisors, USF (2018)
Title IX Policy, the State of Florida (2019)
Academic Administration Human Resources Seminar, USF (2018)
AACSB Chair’s Seminar, AACSB (2019)

Grants and Awards

KTCOB Merrill Lynch Wealth Management Center is granted the Outstanding Program Award by USFSP. (2020)
The research "Is tail risk an idiosyncratic risk? Evidence from volatility smile" received the Tiedemann-Cotton grant. (2019)
The research "Are extreme negative return events independent of the market?" received the Tiedemann-Cotton grant. (2018)
Outstanding Graduate Teaching Award by Pacific University (2017)
August 29, 2023

Dr. Mark Hagerott, Chancellor
North Dakota University System
State Capitol
600 East Boulevard Ave, Dept 215
Bismarck, ND 58505-0230

Dear Chancellor Hagerott:

I am pleased to recommend to you and the State Board of Higher Education that the following individual be granted tenure to their respective unit at the University of North Dakota.

Tao Wang, Ph.D. - Department of Teaching Leadership and Professional Practice

I have enclosed the tenure candidate recommendation form which details their accomplishments.

Sincerely,

Andrew P. Armacost
President

APA/thw
Enclosures
CANDIDATE RECOMMENDATION

Institution: University of North Dakota

Tenure Unit: Department of Teaching Leadership and Professional Practice

Tenure Candidate Name: Tao Wang

Current Rank: Associate Professor

Number of years of tenure credit earned at current institution (including current year): 0

Number of years of tenure credit awarded for previous professional experience: 0

Academic Credentials and Institution:

Ph.D., University of Washington
Curriculum and Instruction (Multicultural Education)

M.A., University of Washington
Curriculum and Instruction (Multicultural Education)

B.A., Southwest University, Chongqing, China
Education

Policy 605.1 – Provide substantiation for the tenure recommendation and indicate the paragraph being referenced. Use additional sheets if necessary. (Check one)

☐ 3. “The criteria for tenure evaluation shall include teaching, contribution to a discipline or profession through scholarships, research or professional activities, and service to the institution and society. . . Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution.” Use of paragraph 3 requires only a brief substantiation.

✓ 4. “The Board may, following review and recommendations made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution’s procedures, to any person appointed to the faculty who has not met the eligibility requirements of subdivisions 3(b) and 3(c) of this policy, provided that the person has a documented record of outstanding achievement and consistent excellence in a discipline or
professional gained through research, scholarly or professional activities, or service.” Use of paragraph 4 requires a reference to specific institutional policy requirements and a description as to how the candidate satisfies the institution criteria.

If the recommendation of the institution's chief executive differs from the consensus of the campus review, the chief executive is to explain the basis for her/his recommendation.

Reference: SBHE Policy 605.1

August 9, 2023

This letter is written on behalf of Dr. Tao Wang’s application for tenure and promotion to the rank of Associate Professor in the Department of Teaching, Leadership, & Professional Practice at the University of North Dakota. After the review of Dr. Wang’s academic journey and contributions to both the field of expertise, we are confident in his qualifications for tenure.

In Fall 2023, Dr. Tao Wang was hired into an open discipline position in the College of Education and Human Development (CEHD). He was recruited through a national search process and his application was evaluated by a search committee that included representatives from both departments in CEHD. The committee agreed unanimously that Dr. Wang should be offered a position of Associate Professor with tenure based on his record of research and teaching. At the University of Washington, Dr. Wang was a faculty member for eight years from 2011-2016. More recently, since 2016, Dr. Wang was employed at East China Normal University in Shanghai, initially as a post doc and then as associate professor. His commitment to excellence is evident in his teaching and research expertise in the areas of multicultural education, curriculum theories, cultural diversity and equity to name a few areas.

In the realm of research, Dr. Wang has made significant contributions on these same topics with his innovative work and it has been recognized within the academic community. He demonstrates an ability to publish in English and Chinese journals, present at conferences, and collaborate with other researchers. With Dr. Tao’s documented record of achievement and excellence, the recommendation is to grant promotion to Associate Professor. His accomplishments, dedication, and potential for continued contributions will continue to make a valuable asset to UND’s academic community.
Tao Wang

Associate Professor
Faculty of Education
East China Normal University, Shanghai

Wenke Building 1618
North Zhongshan Road 3663
Shanghai, China, 200062
Twang2017@163.com

EDUCATION

Ph.D. University of Washington, 2015, Curriculum and Instruction (Multicultural Education)
Dissertation: “Walking out of the Mountain: Cultural Identification and Education of Rural Migrant Muslim Students in Northwest China”
Committee: Geneva Gay (Chair), James Banks, Michael Knapp, Kam Wing Chan

MEd University of Washington, 2012, Curriculum and Instruction (Multicultural Education)

B.A. Southwest University, Chongqing, China, 2010, Education

RESEARCH AND TEACHING INTERESTS

(Im)Migrants, Minorities, and Social Integration
Global Citizenship Education and Curriculum Development
Controversial Public Issues and Civic Reasoning in Social Studies
Sociocultural Foundation of Education
Teaching and Learning in a Multicultural Society

SCHOLARLY PUBLICATIONS

English Publications


**Chinese Publications**


*Wang, T.*, Wen, Y., Zheng, M. -P., & Liao, D. -N. Chapter 3 Dianxing guojia he diqu yiwu jiaoyu jieduan kecheng fangan de yanjiu jinzhan [International Comparison of curriculum programs in selected countries and regions]

Cui, Y. -H., & *Wang, T*. Chapter 4 Yiwu jiaoyu kecheng fangan xijing de Beijing, silu, jiqi bianhua [The background, ideas and changes of the revision of the compulsory education curriculum program]

Cui, Y. -H., *Wang, T.*, & Wang, S. -F. Chapter 20 Yiwu jiaoyu kecheng fangan xijing de fansi yu zhanwang [Reflections and prospects on the revision of Compulsory Education Curriculum Program]


**MANUSCRIPT IN PROGRESS**


Wang, T. (In progress). The Possibilities and Perils of Developing Controversial Issues in Civic Curriculum with Teachers in Shanghai. *Citizenship Studies*

Wang, T. (In progress). Subject Core Competencies: Curricular Integration of Core Competencies and Curriculum Innovation in China. *Journal of Curriculum Studies*

### RESEARCH GRANTS

- **“Theories and Practices of Dream Education,”** Sponsored by the Adream Foundation
  - P.I.: 2022-2024
  - $255,000

- **“Chinese Approach to Global Understanding Education and its Curriculum Construction,”** Sponsored by National Social Science Foundation
  - P.I.: 2019-2023
  - $35,000

- **“Curriculum and Textbook Changes across Nations,”** Sponsored by Shanghai Municipal Education Commission
  - P.I.: 2022-2023
  - $20,000

- **“Curriculum Reforms in International Cities,”** Sponsored by Shanghai Municipal Education Commission
  - P.I.: 2020-2021
  - $40,000

- **“Future of Education: Discussion of Global Citizenship and Sustainable Development,”** Sponsored by UNESCO ASPnet ICUA
  - PI: 2020-2021
  - $15,000

- **“International Comparison of Cross-disciplinary Civic Education,”** Sponsored by Shanghai Municipal Education Commission
  - P.I.: 2021-2022
  - $8,000

- **“School Curriculum Development and Classroom Improvement based on New National Curriculum and Textbooks,”** Sponsored by Dalian No.11 High School
  - P.I.: 2020-2021
  - $16,000

- **“International Comparison of Civic Education Program,”** Sponsored by Shanghai Municipal Education Commission
  - P.I.: 2019-2020
  - $8,000

- **“Cultural Integration of Muslim Migrant Children in Middle and Mega Cities in China,”** Sponsored by China Postdoctoral Science Foundation
  - P.I.: 2018-2019
  - $20,000

- **“Cultural Communication, Conflicts, and Intercultural Education Among Countries within ‘Belt and Road’ Initiatives,”** Sponsored by East China Normal University
  - P.I.: 2017-2018
  - $12,000

- **“Cultural Appropriateness and Culturally Responsive Teaching for Rural Migrant Children in Shanghai,”** Sponsored by China Postdoctoral Science Foundation
  - P.I.: 2017-2019
  - $8,000

- **“An Action Research of Glocalized Understanding and its Curriculum Design,”** Sponsored by East China Normal University
  - P.I.: 2017-2018
  - $10,000
“Cultural Appropriateness and Culturally Responsive Curriculum for Rural Migrant China in Shanghai,” Sponsored by Shanghai Municipal Education Commission

“Evaluation of Curriculum Implementation in K-12 Education of China”, Sponsored by the Ministry of Education in China

“International Comparison of National Curriculum Programme,” Sponsored by Shanghai Municipal Education Commission

“Cultural Identification of Migrant Muslim Students in China,” Sponsored by Boeing International Fellowship for International Research, University of Washington


Book Project, “Global Migration, Diversity, and Civic Education,” Sponsored by the National Academy of Education (P.I.: James A. Banks)

RESEARCH EXPERIENCE

East China Normal University, Shanghai (Ranked # 2 in Education Program in China)

Associate Professor, Department of Curriculum and Instruction, Faculty of Education, 2019-

- Teach six undergraduate and graduate courses on educational foundations, curriculum development, and cultural diversity
- Mentor 10 graduate students (three cohorts graduated), and one undergraduate student (graduated)
- Conduct nationally- and locally-funded research on global curriculum changes, global citizenship education, and curriculum policies (see details in Research Grants)

Post-doctoral Research Associate, 2016-2019

- Led three research projects on the curriculum for global citizenship, and rural migrant students
- Participated in several national and local research projects, such as “Evaluation of Implementation of Curriculum in China” (Funded by the Ministry of Education in China)

University of Washington, Seattle

Post-doctoral Research Associate, Center for Multicultural Education, College of Education, 2015-2016

- Assisted in editing a book for the National Academy of Education on Global Migration, Diversity and Civic Education (Edited by James A. Banks)


• Assisted in Grant Writing: Spencer Foundation ($50,000); The AERA Grant ($ 50,000)
• Organized academic conferences and book talks

Research Annotator, Sociocultural Content in Language Program in the Department of Linguistics, 2011

UNIVERSITY TEACHING EXPERIENCE

Associate Professor, East China Normal University, Sept. 2019-
• Curriculum Theories (2 credits, Graduate-level) (Rate: 4.87/5.0, 2021)
• Historical and Cultural Inquiry of Curriculum (2 credits, graduate) (Rate: 4.88/5.0, 2019; 4.56/5.0, 2020; 4.99/5.0, 2021)
• Foundations of Curriculum and Instruction (2 credits, undergraduate) (Rate: 4.76/5.0, 2021)
• Cultural Diversity and Educational Equity in China (2 credits, undergraduate and graduate) (Rate: 4.817/5.0, Online, 2020)
• Research Design and Paper Writing (1 credit, graduate) (Rate: 5.0/5.0, 2021)
• Foundations of Education (2 credits, undergraduate) (Rate: 4.75/5.0, 4.77/5.0, 2019)
• Professional English in Curriculum and Instruction (1 credit, undergraduate) (Rate: 4.81/5.0, 2019; 4.98/5.0, 2020)
• Academic Presentation in English (2 credits, undergraduate) (Rate: 4.92/5.0, 2020)

• Professional English (5 credits, 28 undergraduate students)

Adjunct Professor, School of Educational Studies, University of Washington, Bothell, Dec. 2015-Mar. 2016
• Teaching and Learning in a Multicultural Society (5 credits, 60 undergraduate students)

• Educating Ethnic Minority Youth: Seminar in Multicultural Education (Prof. James A. Banks), Autumn 2014, 2012
• Multicultural Education Across Nations (Prof. James A. Banks), Winters 2015, 2014, 2013
• Race, Gender and Knowledge Construction (Prof. James A. Banks), Autumn 2013, Winter 2012
• Multi-Ethnic Studies: Methods, Content, and Materials (Prof. James A. Banks), Autumn 2012
• L. S. Vygotsky, Funds of Knowledge, and the Cultural Mediation of Thinking (Prof. Luis Moll), Summer 2013
• Learning in Our Own times (Prof. Shirley Brice Heath), Summer 2012
K-12 TEACHING EXPERIENCE

Heritage Language Teacher (Chinese), Chong Wa Chinese School, Seattle 2011-2012
Chinese Teacher, Seattle Public Schools Foreign Language Assistance Program Summer Language Camp, Aki Kurose Middle School Academy, Seattle Jul. 2012
Chinese and English Intern Teacher, Nonglin Primary School, Hongyan Primary School, and Chengjiang Middle school (Chongqing, China) 2006-2010

ACADEMIC AND ADMINISTRATIVE SERVICE

Member, Commission of K-9 National Curriculum Revision (18 members), Ministry of Education of China, 2019-2022
- Drafted and revised the new “National Curriculum Program of Compulsory Education” (launched in April 2022 and serves 158 million students and 10 million teachers)
- Conducted research and submitted six consulting reports on global curriculum changes, learning domains, and core competences to the Ministry of Education
- Invited to national demonstration training (online) for 10 million teachers

Assistant Director, Institute of Curriculum and Instruction, East China Normal University, 2019-
- Organized international conferences on curriculum integration (on-site, 2019), the new norms of education (hybrid, 2020, 18k attendants), and several small academic conferences since 2019
- Managed the application for the National Office for Educational Science (Equivalent to IES in the U.S.), and two projects successfully received grants in 2020
- Invited international scholars for academic talks and visiting professorships, including Professors James Banks, Lee Shulman, Zongyi Deng, Geneva Gay, and Django Paris
- Proposed new faculty candidate (hired) in 2020

Executive Editor, Book Series “Curriculum Reform and School Innovation in China” (Editor: Lee Shulman, Yunhuo Cui, & Shuangye Chen), Springer, 2022-

Assistant Editor, ECNU Review of Education, 2018-

Founding member, Academic Advisory Entity of International Center for the UNESCO Associated Schools Network, Nov. 2020-
- Conducted research for the UNESCO Initiatives of “The Future of Education.”
- Submitted a report on global citizenship education in China to the ASPnet

Expert, Center for Curriculum Program, Shanghai Municipal Education Commission, Sept. 2017-
- Consult on the drafting and revision of curriculum programs in Shanghai

Expert, Focus Group 2, Education 2030, OECD, Nov. 2017-
- Present research and provide advice on the projects of “Learning Compass 2030.”

Editorial Board Member, Journal of Ethnic and Cultural Studies, 2015-present

CONFERENCE PRESENTATIONS (Selected)


INVITED PRESENTATIONS, TALKS & INTERVIEWS (Selected)

- “International Trends on Core Competences and its Curriculum Implementation,” Demonstration Training Session (Recorded) for K-9 Teachers Nationally, Jul. 2022
- “Schools in China are trying to make pupils’ lives easier. Why do some parents object?”, Media Mentions by the Economist, Sept. 2020
- “Change is constant: How the COVID-19 pandemic may shape the future of studying abroad”, Report by EurekAlert, Aug. 2020
- “An International Perspective on Contextualizing Multicultural Education,” Center for Multicultural Education 30th Symposium, University of Washington, Apr. 2018

PROFESSIONAL DEVELOPMENT EXPERIENCE

Teacher Educators, Institute of Curriculum and Instruction, ECNU, Shanghai, China Sept. 2017-
• Taught more than 100 professional development workshops about glocalized competence and curriculum development, design-based research in K-12 schools, and culturally responsive pedagogy

**Curriculum Consultant on Curriculum development, Shanghai and Dalian, China Sept. 2019-**

• Consult on whole-school design and curriculum development for more than five schools in Shanghai and Dalian

**HONORS & AWARDS**

Second Prize of the 5th National Distinguished Educational Research 2021
First Prize of the Distinguished Educational Research of Shanghai (2014-2020) 2021
ECNU Faculty of the Year, East China Normal University 2020
FoE Faculty of the Year, Faculty of Education, East China Normal University 2019
The James I. Doi Fellowship (funding for dissertation), University of Washington 2015
Doi Dissertation Research Scholarship, University of Washington 2015
Research Assistantship, Center for Multicultural Education, U.W., 50% FTE 2011-2015
College of Education Scholarship, University of Washington 2014
Boeing International Fellowship for International Research, University of Washington 2014
College of Education Travel Grant, University of Washington 2013, 2014, and 2015
Graduate and Professional Student Senate Travel Grant, University of Washington 2014
National Scholarship, Top 1%, Ministry of Education, China, 2008, 2009

**PROFESSIONAL MEMBERSHIP**

Member and Reviewer, American Educational Research Association 2011-
Member, Comparative and International Education Society 2015-
Member, Council of Curriculum, Chinese Educational Research Association 2019-
Member, Jean Piaget Society: Society for the Study of Knowledge and Development 2014-
Summary of Proposed Action
SBHE Meeting – October 26, 2023

1. Issue: VCSU has been granted an exemption to the N.D.C.C. 15-54.1 matching requirements in 2023 HB1003, section 40 to access $415,945 for Tier III capital building funds as designated in 2019 HB 1003 sections 30. The NDUS System Office is requesting a transfer from its NDUS Capital Building Fund account at the State Investment Board of $415,945.

2. Proposed motion: Ratify Chancellor’s approval of the transfer of $415,945 from the NDUS Capital Building Fund at the State Investment Board to the VCSU capital building fund appropriation line.

3. Background: HB1003, section 11 provides $24 million from the strategic investment and improvements fund. Tier II capital building fund pool requires $1 in matching funds from operations or other sources for each $1 in state funds. Tier III capital building fund pool requires $2 in matching funds from operations or other sources for each $1 in state funds. Carryover capital building funds have the same matching requirements. Funds transferred to an institution must be placed in that institution's capital building fund line item. During the 2023 session HB1003 section 40 exempts specific institutions designated capital building funds from requiring matching funds (N.D.C.C. 15-54.1) and provided an emergency clause on this section to allow institution to be granted the funds prior to the end of the current fiscal year.

   VCSU will use the 2019-21 biennium Tier III carryover dollars for the renovation of McCarthy Hall.

4. Financial implications: The transfer assists VCSU in the renovation of McCarthy Hall.

5. Academic implications: None.

6. Legal/policy issues: None.

7. Review Process:

8. Enclosures:

9. Contact person: David Krebsbach, Vice Chancellor for Administrative Affairs, david.krebsbach@ndus.edu, 701-328-4116; Erica Buchholz, Vice President for Business Affairs, erica.buchholz@vcsu.edu, 701-845-7235.

1. **Issue:** NDSU seeks authorization to increase the project authorization for the Pavek Hall Renovations project.

2. **Proposed actions or motion:** Ratify Chancellor’s interim authorization for NDSU to: 1) increase the project authorization for the Pavek Hall Renovations project from an estimated cost of $14,500,000 to $20,500,000 to be funded from local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds; and 2) to proceed with the project.

3. **Background information:** Pavek Hall is one of the four high rise dormitories and was completed in 1987 at the cost of $3.9 million. It contains 280 beds and is located in the southwest corner of the quadrangle of the high-rise residence halls. The SBHE authorized NDSU to proceed with the Pavek Hall Renovations project at an estimated cost of $14,500,000 at its February 23, 2023 meeting. However, the construction climate had changed and when NDSU received the Guaranteed Maximum Price (GMP), it exceeded the original estimates and available funds. Additional funds have since been secured so to avoid any further increased costs and before the GMP expires, NDSU is seeking interim Chancellor approval to increase the project authorization amount and to proceed with the project, with future ratification by the SBHE.

4. **Financial implications:** The project will be funded from local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds which are sufficient, available for use, and include no unrestricted gift funds. More than 75% of this project cost addresses deferred maintenance.

5. **Legal/policy issues or implications:** February 23, 2023: The SBHE approved the SBHE Budget & Finance Committee recommendation to authorize NDSU to proceed with the Pavek Hall Renovations project at an estimated cost of $14,500,000 to be funded by local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds.

6. **Academic issues or implications** None.

7. **Review Process:** University System office staff.

8. **Attachments:** Agenda Item

9. **Contact information:** Bruce Bollinger, VP for Finance and Administration, 701/231-8412, Bruce.Bollinger@ndsu.edu

10. **Chancellor’s recommendation:** Chancellor Hagerott recommends approval.
North Dakota State University, September 28, 2023

Ratify Chancellor’s interim authorization for NDSU to: 1) increase the project authorization for the Pavek Hall Renovations project from an estimated cost of $14,500,000 to $20,500,000 to be funded from local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds; and 2) to proceed with the project.

Background Information
Pavek Hall is one of the four high rise dormitories and was completed in 1987 at the cost of $3.9 million. It is located in the southwest corner of the quadrangle of the high-rise residence halls with 280 beds. In October of 1990 it was renamed Pavek Hall in recognition of F. Leslie Pavek, Vice President of Student Affairs.

Project Description
The SBHE authorized NDSU to proceed with the Pavek Hall Renovations project at an estimated cost of $14,500,000 to be funded from local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds at its February 23, 2023 meeting. However, the construction climate had changed and when NDSU received the Guaranteed Maximum Price (GMP), it exceeded the original estimates and available funds. Additional funds have since been secured so to avoid any further increased costs and before the GMP expires, NDSU is seeking interim Chancellor approval to increase the project authorization amount and to proceed with the project, with future ratification by the SBHE.

Dorm rooms become the home for first year students while they live on campus. Updated facilities are critical for attracting and retaining students. This Pavek Hall project includes renovating and updating. The project may include the following:
- Bathroom modifications to meet current codes and accessibility requirements. The existing piping has experienced failures, which is at the end of its life and will be replaced.
- Replace doors, ceilings, lights, flooring, and all finishes with new.
- Replace one elevator and add stops at each floor.
- A building laundry room will be added.
- New study and lounge spaces will be created.
- The building has limited airflow, so we will add a HVAC system to provide fresh air, heating, and cooling.
- Update plumbing, electrical, fire sprinkler, and fire alarm systems as required.
- Repurpose other spaces as needed.

Consistency with Campus Facility Master Plan and Budget
The 2016 Campus Master Plan has several sections that are directly related to this project:
1. 2.c. Maintenance and Facility Condition Standards:
   - Fire Alarms
   - HVAC
   - Electrical systems
   - Water and Waste/Vent Piping
   - Exterior doors
   - Carpet
   - Paint
   - Asbestos
   - ADA
2. 2.d.ii lists upgrade fire alarms.
3. 3.b. Deferred Maintenance Priority (DMP) Repairs:
   - DMP 8 – Mechanical System Upgrades
   - DMP 12 – Fire Alarms
4. 3.c. Life/Safety/Security (LSS) Priority Needs:

- LSS 6 – Card Access
- LSS 7 – Video Surveillance

SBHE and/or Legislative History

- February 23, 2023: The SBHE approved the SBHE Budget & Finance Committee recommendation to authorize NDSU to proceed with the Pavek Hall Renovations project at an estimated cost of $14,500,000 to be funded by local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds.

Estimated Total Purchased or Donated Costs (ALL costs should be included in the estimate, unless specifically noted otherwise).

<table>
<thead>
<tr>
<th>Description</th>
<th>Previous Amount</th>
<th>Requested Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning, Permits and Insurance (design costs associated with current project, OMB preplanning revolving funds, architect and engineer fees, permits, insurance)</td>
<td>$600,000</td>
<td>$600,000</td>
</tr>
<tr>
<td>Land/Building Preparation and Purchase or Donated Costs (land acquisition and site preparation/development)</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Demolition and Disposal</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Construction (foundation and building construction or renovation, including fixed equipment, landscape, infrastructure and utilities, mechanical and electrical, parking and driveways or roadways)</td>
<td>$13,500,000</td>
<td>$19,500,000</td>
</tr>
<tr>
<td>Institutional work (value of work completed by institutional trade staff)</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
<tr>
<td>Contingency</td>
<td>$300,000</td>
<td>$300,000</td>
</tr>
<tr>
<td>Hazardous Material Abatement</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Other, including 3rd party costs (please describe)</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>SUBTOTAL (if total exceeds $250,000, requires SBHE approval)</td>
<td>$14,500,000</td>
<td>$20,500,000</td>
</tr>
<tr>
<td>Furniture, Fixture and Equipment (FF&amp;E)</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

No other work, other than that specified within this request, is required for the completion of the project not is other work planned to supplement this project using funding or authority not included within this request.

Future Operating/Improvement Costs and Funding Sources

Additional operating costs will be covered by local funds.

Source and Availability of Funds (including FF&E)

The project will be funded from local auxiliary reserve funds, capital building tier matching fund, and appropriated operating funds which are sufficient, available for use, and include no unrestricted gift funds. More than 75% of this project cost addresses deferred maintenance.
Project Management Oversight *(consistent with 9/25/13 SBHE approved guidelines)*
The NDSU Facilities Management Director will be the project manager supporting this project in compliance with SBHE guidelines approved 9/25/13.

Estimated Project Timeline and Completion Date
Construction will start in the winter 2023 with a completion of spring 2025.
Retirement Plan Oversight Committee Membership and Term Dates

Membership
Faculty Representatives
  Maren Furuset, Associate Professor of Business, Williston State College, 2-yr term June 2021 – June 2023 (1-yr extension, thru June 2024)
  Vacant, 2-yr term, call for nominations in Fall 2024

Staff Representatives
  Andy Wakeford, Coordinator/Online Advisor, Lake Region State College, 2-yr term June 2021 – June 2023 (1-yr extension, thru June 2024)
  Vacant, 2-yr term, call for nominations in Fall 2024

Administrative Affairs Council Representative—Rebecca Collins

Legal Representative
  Assistant Attorney General—Meredith Larson

Human Resource Representative
  Vacant, 2-yr term, call for nominations June 8, 2023

Vice Chancellor for Administrative Affairs/Chief Financial Officer
  David Krebsbach, System Office

Retirement Plan Coordinator
  Jane Grinde, NDUS/Core Technology Services HR Director

Purpose
The Retirement Plan Oversight Committee provides fiduciary oversight for the retirement plans of the North Dakota University System. The committee’s role is to advise the Plan Sponsor (NDUS) in matters related to the following:

- Understanding participant needs
- Advising and assisting to ensure fiduciary compliance
- Assist with plan investment oversight and review of NDUS retirement plans
- Monitor the Investment Policy Statement
- Recommend the overall number and types of options to be offered to participants
- Review performance of investment options and make recommendations
- Review and monitor the costs associated with the plans
- Participate in annual fiduciary training
- Evaluate and select appropriate consultant needs and scope of services
- Comply with the provisions of all pertinent federal and state laws and regulations
- Perform other activities consistent with this charge deemed appropriate by the Plan Sponsor
- Provide recommendations to select and terminate funding options
- Monitor performance of funding options and recommend investment changes when necessary
- Document activities of the Committee
- Advise on effective participant communication strategies, services, etc.
- Annually review and recommend updates to plan default investment option

All members shall have a basic understanding and/or interest in retirement plans and investments. Each member will contribute to the review of plan investments; ensuring that participants have the resources they need to make informed enrollment, deferral, and investment decisions; making sure the plan is compliant with industry regulations; and identifying and implementing best practices for resolving issues relating to plan administration, compliance, enrollment, and operations.

Meeting Schedule: The committee will meet via TEAMS/video quarterly and additional meetings may be added based on the business needs.
State Board of Higher Education Summary

Title: Mayville State University is requesting two tuition factor modifications to consolidate and simplify rates and expand recruitment opportunities in target areas

Proposed action: Approve Mayville State University’s request for an exemption from policy 805.1, section 3, subsection d, to change the factor over their ND resident tuition rate for international students from Australian and Canadian Provinces other than Saskatchewan and Manitoba from 1.75 to 1.50 to differentiate from other international students’ rates.

Mayville State University is also requesting to lower the Western Undergraduate Exchange (WUE) tuition rates from 1.50 to 1.25 of ND resident undergraduate rate.

Background Information: Reducing the tuition rates in these areas accomplishes numerous goals; focusing targeted recruitment efforts by accessible region, reducing the cost of attendance for non-residents and students in international markets, enhanced recruitment tools and affordability. This action also reduces waivers for athletics and shifts to academics’ recruitment.

Financial matters: To break even on this change, 10 additional students need to be admitted and enrolled. Projections involved athletics and recruitment and include 10 additional out of state enrollees and 10 new international students, conservatively.

Legal/policy matters: Request an exemption to 805.1 Tuition Policy section 3 subsection d.

Academic matters: None

Review Process: None

Chancellor’s recommendation:

Contact information: Amber Hill, VPBA Mayville State University, amberl.hill@mayvillestate.edu, (701) 788-4761
On an annual basis, data is gathered from NDUS institutions, industry best practices and emerging risks to create the internal audit plan.

<table>
<thead>
<tr>
<th>FY24 General description of Audit Engagements or Follow-up</th>
<th>Est. Hours</th>
<th>Approximate % of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Follow-Up Reviews and Prior Not Implemented (PNI)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PSFT Generic accounts</td>
<td>40</td>
<td></td>
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<tr>
<td>LRSC Admissions</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>VCSU Bookstore-PNI</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>NDSCS Admission process (PNI)</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>WSC-III (PNI)</td>
<td>20</td>
<td></td>
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<tr>
<td>MaSU - Background Check (PNI)</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>Total Projected Follow-up Reviews and PNI Hours</td>
<td>180</td>
<td>4%</td>
</tr>
<tr>
<td>Follow-Up Audits</td>
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<td></td>
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<tr>
<td>System-wide Immunization</td>
<td>100</td>
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<tr>
<td>System-wide PSFT Supplier’s Changes and Updates</td>
<td>200</td>
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<tr>
<td>System-wide NDUS Transfer Credits</td>
<td>100</td>
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<tr>
<td>Total Projected Follow-up Audit Hours</td>
<td>400</td>
<td>7%</td>
</tr>
<tr>
<td>System-wide Audit Engagements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>System-wide Procurement of large capital projects to the ND Institutions audit</td>
<td>400</td>
<td></td>
</tr>
<tr>
<td>System-wide Clery Act compliance audit</td>
<td>400</td>
<td></td>
</tr>
<tr>
<td>System-wide Faculty Overload analysis for classes 100-200 level</td>
<td>200</td>
<td></td>
</tr>
<tr>
<td>System-wide College Credit in High school audit</td>
<td>400</td>
<td></td>
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<tr>
<td>System-wide Expenses Reimbursement audit</td>
<td>400</td>
<td></td>
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<tr>
<td>Total Projected System-wide Audit Hours</td>
<td>1800</td>
<td>33%</td>
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<tr>
<td>IT Audit Engagements</td>
<td></td>
<td></td>
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<tr>
<td>Data Protection (Data Management, Inventory, Access Control, Retention, Disposal)</td>
<td>300</td>
<td></td>
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<tr>
<td>Access Control Management (Granting, Revoking, MFA)</td>
<td>300</td>
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<tr>
<td>Total Projected IT Audit Hours</td>
<td>600</td>
<td>11%</td>
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<tr>
<td>Specific Entity Audit Engagements</td>
<td></td>
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<tr>
<td>DSU-Consulting services for the procurement processes above $10,000</td>
<td>160</td>
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<tr>
<td>WSC-Consulting services for Pcard reconciliation process</td>
<td>160</td>
<td></td>
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<tr>
<td>MSU-Conflict of interest consulting services</td>
<td>160</td>
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<tr>
<td>OUB-Consulting services for veteran’s waiver process</td>
<td>160</td>
<td>Changed engagement area per management request</td>
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<tr>
<td>Total Projected New Audit Area Hours</td>
<td>640</td>
<td>12%</td>
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<tr>
<td>Data Driven Regular Reporting</td>
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<tr>
<td>Continuous Review (vendor, P-card, access, new/other)</td>
<td>200</td>
<td></td>
</tr>
<tr>
<td>Advanced Filtering (data analytics, PowerBI, other)</td>
<td>200</td>
<td></td>
</tr>
<tr>
<td>Total Data Driven Regular Reporting Hours</td>
<td>400</td>
<td>7%</td>
</tr>
<tr>
<td>Other Audit Responsibilities</td>
<td></td>
<td></td>
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<tr>
<td>Enterprise Risk Management Assessment</td>
<td>80</td>
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<tr>
<td>NDUS Risk Assessment including IT</td>
<td>300</td>
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<tr>
<td>Audit Planning</td>
<td>60</td>
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<tr>
<td>Fraud Risk Assessment</td>
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<tr>
<td>Annual Internal Control Training Update</td>
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<td>Quality Assessment Improvement Process (QALP)</td>
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<tr>
<td>Miscellaneous - (ad hoc, new PNI, emergency, unannounced, unassigned)</td>
<td>344</td>
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<tr>
<td>Total Other Audit Responsibility Hours</td>
<td>1024</td>
<td>20%</td>
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<tr>
<td>Administrative Responsibilities</td>
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<tr>
<td>Professional Development</td>
<td>120</td>
<td></td>
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<tr>
<td>New staff training</td>
<td>80</td>
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<tr>
<td>Council/Committee/Board Meetings (incl. prep time)</td>
<td>200</td>
<td></td>
</tr>
<tr>
<td>Total Administrative Responsibility Hours</td>
<td>400</td>
<td>6%</td>
</tr>
</tbody>
</table>

**IMPORTANT:** The NDUS Internal Audit plan for the FY24 is based on known circumstances and certain areas requiring routine audit coverage. Portions of the plan are unannounced or unplanned to allow internal audit flexibility to respond to events that transpire; and to add, delay or eliminate audits throughout the year.
Title: 2024 Annual NDUS/SBHE Meeting Schedule

Proposed action: Approve 2024 All Meeting Schedule

Background Information: The NDUS Office continues to work towards internal processes to better manage agendas and the flow of information that builds those agendas (AIMM – Administrative Information Meeting Management). The first stage of implementation was to identify where the documentation is housed and accessible, that phase has been completed. The second phase is cross training between system office departments/staff for efficiencies; in addition to rework the NDUS Councils/Chancellor’s Cabinet/SBHE Committees meeting schedule to allow a week between the SBHE Committees and the full Board meeting.

There has been positive feedback on the current structure of consolidating meetings into specific weeks and having the SBHE Committee meetings designated on a single day of the week.

The recommended change to the 2024 meeting calendar is to have NDUS Councils and Chancellor’s Cabinet meet the same week, but on different days (most NDUS Councils on Tues. and Chancellor’s Cabinet on Thurs.); the following week SBHE Committees will meet on Wednesday. The following week will be used by system office and institutions to collaborate, work through, and prepare final meeting materials. This will help eliminate delays in posting final Board agenda/materials, provides additional time for Board members to review, and allow time for Board members to reach out to system office staff with concerns or edits to the posted materials. The target is always to improve efficiency and communication between the system office, institutions, and SBHE members.

After discussion with Board leadership, board members are encouraged to contact the system office if they have edits and/or suggested changes to the agenda and/or agenda materials prior to the meeting so the corrections can be made ahead of the meeting. This will promote a clear understanding of agenda items and ensure all parties are prepared properly for discussion and/or decision making.

Financial matters: N/A
Legal/policy matters: N/A
Academic matters: N/A

Review Process:
Senior Staff 8/28/2023 Recommends moving forward
AAC 9/5/2023
Admin 9/5/2023
SAC 9/5/2023
Cabinet 9/13/2023

Chancellor’s recommendation: Chancellor Hagerott recommends approval.

Committee Review RGC

Contact information: Terry Meyer, Chief of Staff, 701-328-2963, terry.meyer@ndus.edu
<table>
<thead>
<tr>
<th>Agenda items due to NDUS Office by Dec. 11, 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>January</strong> (1 New Year’s Day / 15 Martin Luther King)</td>
</tr>
<tr>
<td>Chief Information Officers Council Tuesday 2</td>
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<tr>
<td>Human Resource Council Tuesday 2</td>
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<tr>
<td>Student Affairs Council Tuesday 2</td>
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<tr>
<td>Admin Affairs Council Tuesday 2</td>
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<tr>
<td>Academic Affairs Council Tuesday 2</td>
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<tr>
<td>Public Affairs Council Wednesday 3</td>
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<tr>
<td>Chancellor’s Cabinet Thursday 4</td>
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<td>ASAC Wednesday 10</td>
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<td>Audit Wednesday 10</td>
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<td>BFC Wednesday 10</td>
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<tr>
<td>Research/Governance Wednesday 10</td>
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<tr>
<td>SBHE Thursday 18</td>
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<table>
<thead>
<tr>
<th>Agenda items due to NDUS Office by Jan. 22</th>
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<tbody>
<tr>
<td><strong>February</strong> (19 President’s Day)</td>
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<td>Academic Affairs Council Tuesday 6</td>
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<td>Public Affairs Council Wednesday 7</td>
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<td>Chancellor’s Cabinet Thursday 8</td>
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<tr>
<td>Research/Governance Wednesday 14</td>
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<tr>
<td>SBHE – F-2-F</td>
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<td><strong>March</strong></td>
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<tr>
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<td>Public Affairs Council Wednesday 6</td>
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<td>Chancellor’s Cabinet Thursday 7</td>
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<td>BFC Wednesday 13</td>
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<tr>
<td>Research/Governance Wednesday 13</td>
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<td>SBHE – F-2-F</td>
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<thead>
<tr>
<th>Agenda items due to NDUS Office by Mar. 18</th>
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<tr>
<td><strong>April</strong> (March 29 Good Friday)</td>
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<td>Chief Information Officers Council Tuesday 2</td>
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<td>BFC Wednesday 10</td>
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<td>Event</td>
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<td>--------------------------------------------</td>
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<tr>
<td>Research/Governance</td>
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<tr>
<td>SBHE</td>
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**Agenda items due to NDUS Office by Apr. 22**

**May (27 Memorial Day)**

<table>
<thead>
<tr>
<th>Event</th>
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<th>Time</th>
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<tbody>
<tr>
<td>Chief Information Officers Council</td>
<td>Tuesday 7</td>
<td>9:00 - 10:30</td>
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<td>Human Resource Council</td>
<td>Tuesday 7</td>
<td>9:30 - 11:00</td>
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<tr>
<td>Student Affairs Council</td>
<td>Tuesday 7</td>
<td>10:30 - 12:00</td>
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<td>Admin Affairs Council</td>
<td>Tuesday 7</td>
<td>1:00 - 2:30</td>
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<tr>
<td>Academic Affairs Council</td>
<td>Tuesday 7</td>
<td>2:30 - 4:30</td>
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<tr>
<td>Public Affairs Council</td>
<td>Wednesday 8</td>
<td>11:00 - 12:00</td>
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<tr>
<td>Chancellor’s Cabinet</td>
<td>Thursday 9</td>
<td>9:00 - 10:00</td>
</tr>
<tr>
<td>ASAC</td>
<td>Wednesday 15</td>
<td>9:30 - 10:30</td>
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<tr>
<td>Audit</td>
<td>Wednesday 15</td>
<td>11:30 - 12:30</td>
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<tr>
<td>BFC</td>
<td>Wednesday 15</td>
<td>1:00 - 2:30</td>
</tr>
<tr>
<td>Research/Governance</td>
<td>Wednesday 15</td>
<td>3:15 - 4:30</td>
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<tr>
<td>SBHE Strategic Retreat/Mtg. F-2-F</td>
<td>Wed/Thurs 29 &amp; 30</td>
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**Agenda items due to NDUS Office by May 20**

**June**

<table>
<thead>
<tr>
<th>Event</th>
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<th>Time</th>
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<tbody>
<tr>
<td>Chief Information Officers Council</td>
<td>Tuesday 4</td>
<td>9:00 - 10:30</td>
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<tr>
<td>Human Resource Council</td>
<td>Tuesday 4</td>
<td>9:30 - 11:00</td>
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<td>Student Affairs Council</td>
<td>Tuesday 4</td>
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<td>Admin Affairs Council</td>
<td>Tuesday 4</td>
<td>1:00 - 2:30</td>
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<tr>
<td>Academic Affairs Council</td>
<td>Tuesday 4</td>
<td>2:30 - 4:30</td>
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<tr>
<td>Public Affairs Council</td>
<td>Wednesday 5</td>
<td>11:00 - 12:00</td>
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<tr>
<td>Chancellor’s Cabinet</td>
<td>Thursday 6</td>
<td>9:00 - 10:00</td>
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<td>ASAC</td>
<td>Wednesday 12</td>
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<td>11:30 - 12:30</td>
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<td>BFC</td>
<td>Wednesday 12</td>
<td>1:00 - 2:30</td>
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<tr>
<td>Research/Governance</td>
<td>Wednesday 12</td>
<td>3:15 - 4:30</td>
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<td>SBHE – F-2-F</td>
<td>Tuesday 25</td>
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**Agenda items due to NDUS Office by June 24 - All meetings tentative for July and August**

**July (4 Independence Day)**

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<thead>
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<tbody>
<tr>
<td>Chief Information Officers Council</td>
<td>Tuesday 9</td>
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<tr>
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<tr>
<td>Admin Affairs Council</td>
<td>Tuesday 9</td>
<td>1:00 - 2:30</td>
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<tr>
<td>Academic Affairs Council</td>
<td>Tuesday 9</td>
<td>2:30 - 4:30</td>
</tr>
<tr>
<td>Public Affairs Council</td>
<td>Wednesday 10</td>
<td>11:00 - 12:00</td>
</tr>
<tr>
<td>Chancellor’s Cabinet Retreat</td>
<td>Thursday 11</td>
<td>Face to Face</td>
</tr>
<tr>
<td>ASAC</td>
<td>Wednesday 17</td>
<td>9:30 - 10:30</td>
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<tr>
<td>Audit</td>
<td>Wednesday 17</td>
<td>11:30 - 12:30</td>
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<tr>
<td>BFC</td>
<td>Wednesday 17</td>
<td>1:00 - 2:30</td>
</tr>
<tr>
<td>Research/Governance</td>
<td>Wednesday 17</td>
<td>3:15 - 4:30</td>
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<tr>
<td>SBHE</td>
<td>Wednesday 31</td>
<td>8:30 - 2:00</td>
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**Agenda items due to NDUS Office by July 22 - All meetings tentative for July and August**

**August**

<table>
<thead>
<tr>
<th>Event</th>
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<th>Time</th>
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<tbody>
<tr>
<td>Chief Information Officers Council</td>
<td>Tuesday 6</td>
<td>9:00 - 10:30</td>
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<td>Human Resource Council</td>
<td>Tuesday 6</td>
<td>9:30 - 11:00</td>
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<tr>
<td>Student Affairs Council</td>
<td>Tuesday 6</td>
<td>10:30 - 12:00</td>
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<tr>
<td>Admin Affairs Council</td>
<td>Tuesday 6</td>
<td>1:00 - 2:30</td>
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<tr>
<td>Academic Affairs Council</td>
<td>Tuesday 6</td>
<td>2:30 - 4:30</td>
</tr>
<tr>
<td>Public Affairs Council</td>
<td>Wednesday 7</td>
<td>11:00 - 12:00</td>
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<tr>
<td>Chancellor’s Cabinet</td>
<td>Thursday 8</td>
<td>9:00 - 10:00</td>
</tr>
<tr>
<td>ASAC</td>
<td>Wednesday 14</td>
<td>9:30 - 10:30</td>
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</tbody>
</table>
Audit  Wednesday 14  11:30 - 12:30
BFC  Wednesday 14  1:00 - 2:30
Research/Governance  Wednesday 14  3:15 - 4:30
SBHE  Thursday 29  8:30 - 2:00

**Agenda items due to NDUS Office by Aug. 19**

**September (2 Labor Day)**
- Chief Information Officers Council  Tuesday 3  9:00 - 10:30
- Human Resource Council  Tuesday 3  9:30 - 11:00
- Student Affairs Council  Tuesday 3  10:30 - 12:00
- Admin Affairs Council  Tuesday 3  1:00 - 2:30
- Academic Affairs Council  Tuesday 3  2:30 - 4:30
- Public Affairs Council  Wednesday 4  11:00 - 12:00
- Chancellor’s Cabinet  Thursday 5  9:00 - 10:00
- ASAC  Wednesday 11  9:30 - 10:30
- Audit  Wednesday 11  11:30 - 12:30
- BFC  Wednesday 11  1:00 - 2:30
- Research/Governance  Wednesday 11  3:15 - 4:30
- SBHE – F-2-F  **Thursday 26 8:30 – 2:00**

(Updated at SBHE mtg 9-26-23)

**Agenda items due to NDUS Office by Sep. 16**

**October**
- Chief Information Officers Council  Tuesday 1  9:00 - 10:30
- Human Resource Council  Tuesday 1  9:30 - 11:00
- Student Affairs Council  Tuesday 1  10:30 - 12:00
- Admin Affairs Council  Tuesday 1  1:00 - 2:30
- Academic Affairs Council  Tuesday 1  2:30 - 4:30
- Public Affairs Council  Wednesday 2  11:00 - 12:00
- Chancellor’s Cabinet  Thursday 3  9:00 – 10:00
- ASAC  Wednesday 9  9:30 – 10:30
- Audit  Wednesday 9  11:30 – 12:30
- BFC  Wednesday 9  1:00 – 2:30
- Research/Governance  Wednesday 9  3:15 – 4:30
- SBHE  Thursday 24  8:30 – 2:00

**Agenda items due to NDUS Office by Oct. 21**

**November (11 Veteran’s Day / 28 Thanksgiving Day)**
- Chief Information Officers Council  Tuesday 5  9:00 - 10:30
- Human Resource Council  Tuesday 5  9:30 - 11:00
- Student Affairs Council  Tuesday 5  10:30 - 12:00
- Admin Affairs Council  Tuesday 5  1:00 - 2:30
- Academic Affairs Council  Tuesday 5  2:30 - 4:30
- Public Affairs Council  Wednesday 6  11:00 - 12:00
- Chancellor’s Cabinet  Thursday 7  9:00 – 10:00
- ASAC  Wednesday 13  9:30 - 10:30
- Audit  Wednesday 13  11:30 - 12:30
- BFC  Wednesday 13  1:00 - 2:30
- Research/Governance  Wednesday 13  3:15 - 4:30

**December (25 Christmas Day)**
- SBHE  Thursday 5  8:30 a.m.
Title: 302.4 Councils

Proposed action: Approve periodic review of policy

Background information: Policies are reviewed every five years to ensure they are up to date and consider whether any amendments should be made.

Financial matters: N/A

Legal/policy matters: N/A

Academic matters: N/A

Review Process:

<table>
<thead>
<tr>
<th>Group</th>
<th>Date</th>
<th>Status</th>
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<tbody>
<tr>
<td>Legal Review</td>
<td>8/2/2023</td>
<td>Recommends approval</td>
</tr>
<tr>
<td>Senior Staff</td>
<td>8/14/2023</td>
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<tr>
<td>AAC</td>
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<tr>
<td>Cabinet</td>
<td>9/13/2023</td>
<td>Recommends approval</td>
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Chancellor’s recommendation: Chancellor recommends approval

Committee Review:

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<tbody>
<tr>
<td>RGC</td>
<td>9-20-23</td>
<td>Approve</td>
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<tr>
<td>SBHE</td>
<td>9-28-23</td>
<td>1st read</td>
</tr>
</tbody>
</table>

Contact information:

Jerry Rostad, Vice Chancellor of Strategy and Strategic Engagement, 701-969-9229, jerry.rostad@ndus.edu
1. To assist the Chancellor and institution officers in management of the NDUS, policy development and to conduct research, prepare reports and make recommendations to the Chancellor and institution officers concerning assigned areas of responsibility, the Chancellor may establish system advisory councils, such as an academic affairs council, administrative affairs council, student affairs council, human resource council, or such additional councils as the Chancellor deems necessary or appropriate. The membership of the councils shall include institution officials, generally the chief institution officer in the relevant area of responsibility, and a NDUS office representative, or such other or additional members as the Chancellor may designate. The councils shall have such duties and responsibilities as the Chancellor may delegate to them. Institution officers and employees shall cooperate with and assist the work of the councils.

2. Ad hoc user groups may be established to assist on special projects. These user groups may provide multiple forums throughout the year to collaborate system wide and share information pertaining to special projects. The user group offers an environment for members to network and share information and best practices with one another.

**HISTORY:** New policy, SBHE minutes, June 25-26, 1992; Amendment, SBHE minutes, May 12, 1999; Amendment, SBHE minutes, November 18-19, 1999; Amendment, SBHE minutes, September 30, 2015; Revised by legal counsel, June 21, 2018.
Title: Policy 100.6 Authority and Responsibility of the State Board of Higher Education (dated 2012)

Proposed action: Approve/Deny the above policy

Background information: All SBHE policies are required to be reviewed after 10 years. Policy 100.6 reached the 10-year mark this past year. The policy as reviewed and updated in late 2022 and was routed through the appropriate councils and SBHE committees, landing on the March SBHE monthly agenda. However, Member Bye asked to pull policy 100.6 off the agenda so that additional inputs/edits could be accomplished. The updated policy is now ready to go forward.

Financial matters: NA

Legal/policy matters: Section 9 is intended to comply with SB 2343.

Academic matters: NA

Review Process:

Legal Review 5/15/2023  Recommends moving forward
Senior Staff 12/12/2022  Recommends moving forward
AAC 01/03/2023  Recommends moving forward
Admin 01/03/2023  Recommends moving forward
SAC 01/03/2023  Recommends moving forward
Cabinet 01/12/2023  Recommends moving forward

Chancellor’s recommendation: Chancellor recommend approval

Committee Review

RGC 01/18/2023; 3/22/2023; 4/19/2023; 5/17/2023; 6/21/2023
SBHE 1/26/2023  1st Read  Returned to RGC
4/27/2023  1st Read  Revised policy
5/22/2023  1st Read  Returned to RGC
6/27/2023  1st Read  Approved
9/28/2023  2nd Read

Contact information:
Jerry Rostad, Vice Chancellor for Strategic Engagement, 701-969-9229, jerry.rostad@ndus.edu
1. The SBHE was established by an initiated measure approved by the voters in 1938 (now Art. VIII, § 6 of the North Dakota Constitution). Art. VIII, §6 states the SBHE “shall have the control and administration of” all of the state institutions established in the state constitution at that time and “such other state institutions of higher education as may hereafter be established.” Further, the SBHE “shall have full authority over the institutions under its control” and “full authority to organize or reorganize within constitutional and statutory limitations, the work of each institution under its control, and do each and everything necessary and proper for the efficient and economic administration of said state educational institutions.” The SBHE shall appoint a commissioner of higher education as its “chief executive officer.” In 1990, the SBHE established a unified system of higher education, with its Commissioner/Chancellor as the system’s chief executive officer. Later, the state legislature enacted North Dakota Century Code § 15-10-01.2, which states:

The institutions of higher education under the control of the state board of higher education are a unified system of higher education, as established by the board, and are designated as the North Dakota University System (NDUS).

2. Holding the NDUS in its trust, the SBHE:
   a. Establishes the mission, vision and goals of the NDUS; Ensures the NDUS achieves the purposes of its mission and goals;
   b. Hires and evaluates the Chancellor and institution presidents; Ensures the NDUS is properly led and managed;
   c. Maintains the quality of academic programs;
   d. Provides responsible governance policies and procedures for proper governance;
   e. Safeguards NDUS assets;
   f. Honors the mission and integrity of each institution and its people;
   g. Champions Serves as a catalyst to create more efficient and effective programs and services through partnership and resource sharing;
   h. Maintains student affordability;
   i. Represents the institutions to the public and vice versa, assisting where appropriate in the understanding of each other’s needs;
   j. Ensures effective stewardship of its financial, physical, and intellectual assets;
   k. Achieves cost savings due to economies of scale, where appropriate;
   l. Secures cooperative and planning advantages;
   m. Shapes, supports, and achieves complementary institution missions;
n. Ensures excellence in programs, faculty, and students;
e-1. Minimizes unnecessary duplication through cooperative endeavors;
p-m. Gains public and legislative support for the NDUS through unified efforts; and
n. Shields institutions from direct political and other outside interference.

3. The SBHE is a policy-based governance board that focuses on setting the strategic direction and broad policies, rather than managing day-to-day operations. The board's role is to ensure that all NDUS institutions are achieving their mission and objectives while adhering to ethical and legal standards. The board delegates operational responsibilities to the executive leadership team and monitors their performance against established policies and goals.

In fulfilling its mission and vision, the SBHE will govern the institutions in the NDUS in accordance with the North Dakota Constitution and state statutes and will be guided by the belief statements and core values adopted by the SBHE. The people of North Dakota created the SBHE through the North Dakota Constitution to ensure the institutions and their employees were protected from political interference. Recognizing the legitimacy and importance of such protection and believing each institution properly retains substantial responsibility for its own affairs, the SBHE and the NDUS honor the integrity of each institution and its people. The SBHE will provide the leadership and governing environment necessary to maximize the opportunities for the NDUS institutions to be successful in fulfilling their individual missions and enhancing the economic and social vitality of North Dakota.

3-4. The North Dakota Constitution provides the SBHE with broad powers and specifies the SBHE retains any powers it does not specifically delegate to the institutions. The SBHE has adopted the following guiding principles regarding the responsibility of the SBHE, as stewards of the NDUS, and the institutions.

a. SBHE approval for new or discontinued programs and organizational units ensures the overall pattern of service to the state is coherent and efficient.

b. SBHE review of institutional and program quality ensures the institutions provide positive educational experiences and seek continually to improve. Academic program quality and faculty quality determinations are made by faculty peers and institution administrators. The SBHE's responsibility is to support, provide oversight, and hold the institutions accountable for institutional and program quality that ensures positive educational experiences that continually seeks improvement for results.

c. SBHE budget guidelines and final approval of budget requests promote equity and appropriate investment of state resources throughout the NDUS.

d. The SBHE will use a systemwide prioritization process for establishing capital/building requests. SBHE priority-setting of capital/building facility requests promotes the equitable funding of NDUS facilities on a systemwide, prioritized process based on statewide need.

e. On matters that involve major costs for equipment or facilities which could be shared effectively among institutions, such as computing and telecommunications, the SBHE expects and will help facilitate such sharing.
f. The SBHE sets NDUS priorities regarding all requests of the legislature and executive branch. Those representing the institutions are not to undermine those priorities.

g. The SBHE is the appointing authority for institution presidents and has final authority concerning contract terms. The SBHE shall exercise this authority in consultation with the Chancellor and has delegated to the Chancellor authority to conduct searches and recommend a candidate and contract terms to the SBHE.

h. The SBHE delegates substantial authority and responsibility to each institution's president through the Chancellor, as defined in SBHE Policy 305.1, and holds each accountable for performance.

i. The SBHE shall have access to information about students, programs, faculty, staff, and finances of each institution to carry out its responsibilities.

j. The Chancellor shall alert the SBHE when its attention any difficulties in the application of any of the above responsibilities threaten to impede institutional effectiveness or efficiency. The SBHE is committed to free and fair inquiry and just resolution of such difficulties.

k. General education courses and programs are central to the mission of all NDUS institutions and overlap among institutions is expected and necessary. However, the SBHE will continue to guard against unnecessary program duplication and collaborative delivery will be encouraged where the quality of the program can be maintained and the total cost of delivery can be reduced.

l. Professional, technical, vocational, and graduate courses and programs require institutional and SBHE judgments regarding their number and missions.

m. The SBHE retains authority for naming, professorship and endowed chairs, physical structures, and academic units including a college, school, department, center or institute and academic units including a college, school, department, center or institute.

5. **Members of the SBHE will comply with the conflict of interest policy (SBHE Policy 308.4). Members of the SBHE shall not serve on other NDUS campus-based boards or campus-based foundation boards.** This ensures that the SBHE operates in an ethical and transparent manner and avoids the potential for competing interests that may influence decision-making or create the appearance of a conflict of interest.

4-6. Within the framework of the NDUS is a division of labor between the Chancellor and the services operating at each institution. In addition to a strong SBHE and Chancellor, achieving the advantages and purposes of a multi-institution NDUS require the energies, leadership, and talent of equally strong presidents who are dedicated to the mission and goals of their respective institution. While the principal role of the SBHE and Chancellor lie in policy, overall direction, and planning, the leadership demanded of the presidents is primarily focused on implementation and direct operational control. Generally, system-level services exist only when there is a strong rationale justifying cost efficiencies and unnecessary duplication of functions. These include academic policy, planning, and quality assessment; capital planning and construction; budgeting; human resources policy and compliance; institutional research; risk management; auditing; legal services; information technology systems and services shared among the institutions; and legislative and community relations.
5.7 The Chancellor is the chief executive officer of the SBHE and NDUS and exercises such powers as are necessary for SBHE and NDUS governance and functions. Chancellor duties and responsibilities are delegated in SBHE Policy 304.1 and other SBHE policies or directives.

8. A president is the chief executive officer of their respective institution and a member of the Chancellor’s executive staff. The presidents report to and are responsible to the Chancellor. This designation includes the right and responsibility to manage the institution within the overall policies and directives issued by the Chancellor and SBHE. Presidents’ duties and responsibilities are delegated in SBHE Policy 305.1 and other SBHE policies or SBHE or Chancellor directives.

9. SBHE members shall engage in transparent communication between one another to effectuate the duties vested in them through section 6 of article VIII of the Constitution of North Dakota and N.D.C.C. § 15-10-17, within the limits of open meeting law.
   a. The SBHE and each of its members have the right to receive current and historic information relating to the specific powers and duties under section 6 of article VIII of the Constitution of North Dakota and N.D.C.C. § 15-10-17.
   b. Requests for existing information or records will be fulfilled by the Chancellor or designated staff within the limits of available staffing and resources while in compliance with state and federal laws (Family Educational Rights and Privacy Act (FERPA) and Health Insurance Portability and Accountability Act (HIPPA)) as well as best practices for non-disclosure of Personal Identifiable Information (PII).
   c. Requests to create new records or customized information must be approved by the SBHE chair.
   d. The SBHE will be notified of all requests to release closed or confidential records, as defined in N.D.C.C. ch. 44-04. A member of the SBHE will not be denied access to a record, current or historical, that is closed or confidential, unless releasing such record is otherwise prohibited by law.


HISTORY: New policy, SBHE minutes, March 30, 2001; Amendment, SBHE minutes, April 15, 2004; Amendment, SBHE minutes, September 26, 2012; Revised by legal counsel, April 30, 2018.
Title: Policy 302.2 Audit Committee

Proposed action: Approve/deny the revised SBHE Audit Committee Policy.

Background information: The policy has been revised to align policy with practice, remove items that are no longer completed by the Audit Committee, and comply with the SBHE policy drafting manual. This summary includes the policy with the tracked changes and a clean version of the revised policy.

Financial matters: N/A

Legal/policy matters: N/A

Academic matters: N/A

Review Process:
Legal Review 6/5/2023 Recommends moving forward

Chancellor’s recommendation: Chancellor recommend approval

Committee Review:
Audit 6/21/2023 Approved
SBHE 6/27/2023 1st Read Approved
9/28/2023 2nd Read

Contact information:
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NORTH DAKOTA
STATE BOARD OF HIGHER EDUCATION
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Policy: 302.2 Audit Committee
Effective: May 29, 2020

1. The SBHE shall establish an audit committee to fulfill its oversight responsibilities for the financial reporting process, the system of internal control, the audit process, and the NDUS process for monitoring compliance with laws, policies, regulations and the code of conduct. The audit committee has authority to conduct or authorize investigations into any matters within its scope of responsibility, including:

   a. Appoint, compensate, and oversee the work of any registered public accounting firm employed by the organization;

   b. Resolve any disagreements between management and the auditor regarding financial reporting

   c. Pre-approve all auditing and non-audit services;

   d. Retain independent counsel and request appointment of legal counsel by the attorney general as a special assistant attorney general, accountants, or others to advise the audit committee or assist in the conduct of an investigation;

   e. Seek any information it requires from employees, who are directed to cooperate with the committee's requests, or external parties; and

   f. Meet with officers, external auditors, or outside counsel, as necessary.

2. Each member shall be free of any relationship that would interfere with their exercise of independent judgment or give the appearance of a conflict of interests. The majority of the members must be knowledgeable about financial matters.

2.3. Non-compliance with any of the following, within a timely manner, will result in the audit committee recommending to the SBHE that the respective institution pay for the services of an audit by an external, independent firm, selected by the audit committee, the chief audit executive and the compliance officer, or increase the amount that is assessed by the NDUS to the institution for audit and compliance functions:

   a. Any requests or requirements of any NDUS internal audit staff;

   b. Any requests or requirements of the state auditor’s office; or
c. Documented implementation plans.

The committee shall consist of three voting members of the SBHE and the Chancellor shall serve, ex officio, as a non-voting member of the committee. Each committee member shall be both independent and financially literate. The SBHE president Chair will appoint committee members as well as the committee chair by June 30th of each year to serve one-year terms starting July 1st. The SBHE Chair president may also appoint additional members to serve, ex officio, as non-voting members of the committee. If a vacancy on the committee occurs before June 30th, the SBHE Chair president shall appoint a voting member of the SBHE to fill the vacancy no later than the next regular meeting of the SBHE after the vacancy occurs.

The committee shall set a meeting schedule for the year at the committee’s first meeting after July 1st. Meetings shall comply with all applicable laws, including the necessary posting of notice, the preparation of agendas in advance of meetings, and the recording of minutes for each meeting.

The committee will carry out the following responsibilities:

a. Financial statements:
   i. Review significant accounting and reporting issues, including complex or unusual transactions and highly judgmental areas, and recent professional and regulatory pronouncements, and understand their impact on the financial statements.
   ii. Review with management and the external auditors the results of an audit, including any difficulties encountered.
   iii. Review the annual financial statements, and consider whether they are complete, consistent with information known to committee members, and reflect appropriate accounting principles.
   iv. Review other sections of the annual report and related regulatory filings before release and consider the accuracy and completeness of the information.
   v. Review with management and the external auditors all matters required to be communicated to the committee under generally accepted auditing standards.

b. Internal control:
i. Consider the effectiveness of the NDUS internal control system, including information technology security and control.

ii. Understand the scope of internal and external auditors’ review of internal control over financial reporting, and obtain reports on significant findings and recommendations, with management's responses.

iii. The NDUS chief audit executive (executive) reports functionally to the Audit committee and administratively to the NDUS Chancellor.

b. Organization:

i. The NDUS compliance officer (officer), report reports directly to the Vice Chancellor for Administrative Affairs, with an indirect reporting line to the Audit committee.

iii. The Audit committee will shall ensure that there are no unjustified restrictions or limitations in the course of performing audit engagements, including restrictions on the scope of work and access to required information

iii. Approve the decisions regarding and review and concur in the appointment and removal, replacement or dismissal of the executive or the officer.

iv. Obtain regular updates from the executive and the officer, management, the SBHE, and the attorney general regarding relevant matters.

v. Review with the executive or the officer the internal audit or compliance budget, resource plans, activities and organizational structure.

vi. At least once per year, review the performance of the executive and the officer and recommend the annual compensation and salary adjustment.

d. Internal audit:

i. Approve an internal audit charter.

ii. Approve the risk-based annual audit plan and all major changes to the plan. Review the internal audit activity performance relative to its plan.

iii. Review the effectiveness of the internal audit function, including conformance with the following publications of the institute of internal auditors: the definition of internal auditing, code of ethics, and the international standards for professional practice of internal auditing.
d.e. External audit:
i. Review the external auditors' proposed audit scope and approach, including coordination of audit effort with internal audit.

ii. Review the performance of the external auditors, as applicable.

iii. Meet with the external auditors to discuss relevant matters, as needed.

e.f. Compliance:
i. Review the effectiveness of the system for monitoring compliance with laws and regulations and the results of the officer’s or management's investigation and follow-up of any instances of noncompliance, including review of disciplinary action.

ii. Review the findings of any examinations by the officer, regulatory agencies, and any auditor observations.

iii. Review the process for communicating the code of conduct to SBHE members and NDUS personnel, and for monitoring compliance therewith.

f.g. Reporting responsibilities:
i. Regularly report to the SBHE about committee activities, issues, and related recommendations.

ii. Provide an open avenue of communication between internal audit, the external audit, and the SBHE.

iii. Review any other reports the system or institutions issue that relate to committee responsibilities.

g.h. Other responsibilities:
i. Perform other activities related to this policy as requested by the SBHE.

ii. Institute and oversee special investigations as needed. Efforts should be made to keep the SBHE informed of such special investigations within the confines of open meetings laws as permitted by law.

iii. Review and assess the adequacy of the committee policy annually, requesting SBHE approval for proposed changes, and ensure appropriate disclosure as may be required by law, policy or regulation.

iv. Confirm annually that all responsibilities outlined in this policy have been carried out.

v. Evaluate the committee and individual member performance on a regular basis.
History: New policy, SBHE minutes, February 27, 2014; Amended, SBHE minutes, June 17, 2016; Amended, SBHE minutes, June 28, 2018; Amended, SBHE minutes, May 29, 2020.
CLEAN REVISED VERSION

NORTH DAKOTA
STATE BOARD OF HIGHER EDUCATION
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Policy: 302.2 Audit Committee
Effective:

1. The SBHE shall establish an audit committee to fulfill its oversight responsibilities for the financial reporting process, the system of internal control, the audit process, and the NDUS process for monitoring compliance with laws, policies, regulations and the code of conduct. The audit committee has authority to conduct or authorize investigations into any matters within its scope of responsibility, including:
   a. Appoint, compensate, and oversee the work of any registered public accounting firm employed by the organization;
   b. Resolve any disagreements between management and the auditor regarding financial reporting;
   c. Pre-approve all auditing and non-audit services;
   d. Retain independent counsel and request appointment of legal counsel by the attorney general as a special assistant attorney general, accountants, or others to advise the audit committee or assist in the conduct of an investigation;
   e. Seek any information it requires from employees, who are directed to cooperate with the committee's requests, or external parties; and
   f. Meet with officers, external auditors, or outside counsel, as necessary.

2. Each member shall be free of any relationship that would interfere with their exercise of independent judgment or give the appearance of a conflict of interests. The majority of the members must be knowledgeable about financial matters.

3. Non-compliance with any of the following, within a timely manner, may result in the audit committee recommending to the SBHE that the respective institution pay for the services of an audit by an external, independent firm, selected by the audit committee, the chief audit executive and the compliance officer, or increase the amount that is assessed by the NDUS to the institution for audit and compliance functions:
   a. Any requests or requirements of any NDUS internal audit staff;
   b. Any requests or requirements of the state auditor's office; or
   c. Documented implementation plans.

4. The committee shall consist of three voting members of the SBHE and the Chancellor shall serve, ex officio, as a non-voting member of the committee. The SBHE Chair will appoint committee members as well as the committee chair by June thirtieth of each year to serve one-year terms starting July first. The SBHE Chair may also appoint additional members to serve, ex officio, as non-voting members of the committee. If a vacancy on the committee occurs before
June thirtieth, the SBHE Chair shall appoint a voting member of the SBHE to fill the vacancy no later than the next regular meeting of the SBHE after the vacancy occurs. The committee shall set a meeting schedule for the year at the committee’s first meeting after July first. Meetings shall comply with all applicable laws, including the necessary posting of notice, the preparation of agendas in advance of meetings, and the recording of minutes for each meeting.

5. The committee shall carry out the following responsibilities:
   a. Financial statements:
      i. Review significant accounting and reporting issues, including complex or unusual transactions and highly judgmental areas, and recent professional and regulatory pronouncements, and understand their impact on the financial statements.
      ii. Review with management and the external auditors the results of an audit, including any difficulties encountered.
      iii. Review other sections of the annual report and related regulatory filings before release and consider the accuracy and completeness of the information.
      iv. Review with management and the external auditors all matters required to be communicated to the committee under generally accepted auditing standards.
   b. Internal control:
      i. Consider the effectiveness of the NDUS internal control system, including information technology security and control.
      ii. Understand the scope of internal and external auditors' review of internal control over financial reporting, and obtain reports on significant findings and recommendations, with management's responses.
   c. Organization:
      i. The NDUS chief audit executive (executive) reports functionally to the Audit committee and administratively to the NDUS Chancellor.
      ii. The NDUS compliance officer (officer), reports directly to the Vice Chancellor for Administrative Affairs, with an indirect reporting line to the Audit committee.
      iii. The Audit committee shall ensure that there are no unjustified restrictions or limitations in the course of performing audit engagements, including restrictions on the scope of work and access to required information.
      iv. Approve the decisions regarding the appointment and removal of the executive or the officer.
      v. Obtain regular updates from the executive and the officer, management, the SBHE, and the attorney general regarding relevant matters.
      vi. Review with the executive or the officer the internal audit or compliance budget, resource plans, activities and organizational structure.
      vii. At least once per year, review the performance of the executive and the officer and recommend the annual compensation and salary adjustment.
   d. Internal audit:
      i. Approve an internal audit charter.
      ii. Approve the risk-based annual audit plan and all major changes to the plan. Review the internal audit activity performance relative to its plan.
iii. Review the effectiveness of the internal audit function, including conformance with
the following publications of the institute of internal auditors: the definition of
internal auditing, code of ethics, and the international standards for professional
practice of internal auditing.

e. External audit:
i. Review the external auditors' proposed audit scope and approach, including
coordination of audit effort with internal audit.
ii. Review the performance of the external auditors, as applicable.
iii. Meet with the external auditors to discuss relevant matters, as needed.

f. Compliance:
i. Review the effectiveness of the system for monitoring compliance with laws and
regulations and the results of the officer's or management's investigation and
follow-up of any instances of noncompliance, including review of disciplinary
action.
ii. Review the findings of any examinations by the officer, regulatory agencies, and
any auditor observations.
iii. Review the process for communicating the code of conduct to SBHE members and
NDUS personnel, and for monitoring compliance therewith.

g. Reporting responsibilities:
i. Regularly report to the SBHE about committee activities, issues, and related
recommendations.
ii. Provide an open avenue of communication between internal audit, the external
audit, and the SBHE.
iii. Review any other reports the system or institutions issue that relate to committee
responsibilities.

h. Other responsibilities:
i. Perform other activities related to this policy as requested by the SBHE.
ii. Institute and oversee special investigations as needed. Efforts should be made to
keep the SBHE informed of such special investigations as permitted by law.
iii. Review and assess the adequacy of the committee policy annually, requesting
SBHE approval for proposed changes, and ensure appropriate disclosure as may be
required by law, policy or regulation.
iv. Confirm annually that all responsibilities outlined in this policy have been carried
out.

History: New policy, SBHE minutes, February 27, 2014; Amended, SBHE minutes, June 17, 2016;
Amended, SBHE minutes, June 28, 2018; Amended, SBHE minutes, May 29, 2020.
Title: Policy 306.2 Internal Audit Charter

Proposed action: Approve/deny the revised SBHE Internal Audit Charter.

Background information: The policy has been revised to align policy with practice, comply with Institute of Internal Auditors standards, and separate the NDUS internal audit function’s charter from the UND and NDSU internal audit functions’ charter. Part A of the policy will apply to the NDUS internal audit function. Part B will apply to the UND and NDSU internal audit functions. Approval of Part B will be sought at a future meeting. This summary includes the policy with the tracked changes and a clean version of the revised policy.

Financial matters: N/A

Legal/policy matters: N/A

Academic matters: N/A

Review Process:
- Legal Review 6/8/2023 Recommends moving forward

Chancellor’s recommendation: Chancellor recommends approval

Committee Review:
- Audit 6/21/2023 Approved
- SBHE 6/27/2023 1st Read Approved
- 9/28/2023 2nd Read

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NORTH DAKOTA
STATE BOARD OF HIGHER EDUCATION
Policy Manual

Policy: 306.2 Internal Audit Charter
Effective: May 30, 2019

North Dakota University System Internal Audit Charter.

A. This Charter applies to the North Dakota University System Internal Audit.

1. INTRODUCTION:
   Internal Auditing is an independent and objective assurance and consulting activity that is guided
   by a philosophy of adding value to improve the operations of the North Dakota University
   System (NDUS). It assists NDUS in accomplishing its objectives by bringing a systematic and
disciplined approach to evaluate and improve the effectiveness of the organization's governance,
   risk management, and internal control.

2. ROLE AND OBLIGATION:
The internal audit activity is established by the State Board of Higher Education (Board).
The internal audit activity's responsibilities are defined by the Board and the Audit Committee as
part of their oversight role.

   The internal audit activity of NDUS is responsible for conducting system-wide audits as well as
   institution specific audits, including the NDUSO and CTS, for those institutions that do not
directly employ internal audit staff. Each research institution shall directly employ its own
   internal audit staff.

3. Standards for the Professional Practice of Internal Auditing:

3.1 PROFESSIONALISM:
   a. The internal audit activity will govern itself by adherence to The Institute of Internal
      Auditors' mandatory guidance including the Definition of Internal Auditing, the Code of
      Ethics, and the International Standards for the Professional Practice of Internal Auditing
      (Standards). This mandatory guidance constitutes principles of the fundamental
      requirements for the professional practice of internal auditing and for evaluating the
      effectiveness of the internal audit activity’s performance.

   b. The Institute of Internal Auditors' Practice Advisories, Practice Guides, and Position
      Papers will also be adhered to as applicable to guide operations. In addition, the internal
      audit activity will adhere to relevant Board policies and procedures and the internal audit
      activity's standard operating procedures manual.

3.2 AUTHORITY:
The internal audit activity of NDUS will consist of the NDUS chief audit executive (CAE) and any internal audit staff or consultants hired by the system office.

The NDUS Internal Audit CAE will report functionally to the Audit Committee and administratively (i.e. day to day operations) to the NDUS Chancellor.

NDSU and UND directly employ their own internal audit staff. The NDSU and UND internal auditors follow the North Dakota Institutions’ internal audit charter.

4. Authority:
The internal audit activity, with strict accountability for confidentiality and safeguarding records and information, is authorized full, free, and unrestricted access to any and all NDUS (and affiliated organizations) records, physical properties, and personnel pertinent to carrying out any engagement. All NDUS (and affiliated organizations) employees are requested to assist the internal audit activity in fulfilling its roles and responsibilities. The internal audit activity will also have free and unrestricted access to the Board and Audit Committee.

a. ORGANIZATION:

The internal audit activity of NDUS will consist of the NDUS chief audit executive (CAE) and any internal audit staff or consultants hired by the system office or any of the institutions which comprise the NDUS system.

a. The CAE will report functionally to the Audit Committee and administratively (i.e. day to day operations) to the NDUS Chancellor.

b. Institutionally based internal audit activity will report functionally and administratively to the institutional chief executive officer and if warranted, to the Audit Committee.

c. In the event that institutionally based internal audit activity is performed at other than a home institution, said internal audit activity will report functionally to the institutional chief executive officer of the institution where the work is being performed. Administrative reporting is unchanged.

d. All internal audit activity, regardless of location, have an indirect report to the CAE and the Audit Committee.

e.a. The Board and Audit Committee will:

i. Review and approve the internal audit charter.

ii. Approve the risk based internal audit plan.

iii. Approve the internal audit budget and resource plan for the CAE.

iv. Receive communications from the CAE on the NDUS internal audit staff's performance relative to its plan and other matters.

v. Approve and/or Make decisions regarding the appointment and removal of the CAE.

vi. Recommend and approve the remuneration of the CAE.
vii. Make appropriate inquiries of management and the CAE to determine whether there is inappropriate scope or resource limitations.

viii. Make recommendations to the SBHE to take actions based on reports received from the CAE; and

ix. Review disputes regarding investigations, reports, or recommendations issued by the CAE.

b. The CAE will communicate and interact directly with the Board and Audit Committee, including in executive sessions and between Board meetings as appropriate.

5. Independence and Objectivity

   The CAE shall ensure that the internal audit activity will remain free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an independent and unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the CAE determines that independence or objectivity may be impaired in fact or appearance, the details of any such impairment will be disclosed to the Chancellor and the Audit Committee.

   a. Interference by any element in the organization, including matters of audit selection, scope, procedures, frequency, timing, or report content to permit maintenance of a necessary independent and objective mental attitude.

   b. The NDUS Internal Audit shall maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgment on audit matters to others.

   c. The NDUS internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgement, including:

      i. Assessing specific operations for which they had responsibility within the previous year;

      ii. Performing any operational duties for the SBHE, the NDUS, or the institutions;

      iii. Initiating or approving transactions external to the NDUS internal audit activity; or

      iv. Directing the activities of any NDUS or institutional employee not employed by the NDUS Internal Audit, except to the extent that such employees have been appropriately assigned to auditing teams or to otherwise assist internal auditors.

   a. Would normally be subject to review. However, Internal Audit may be consulted when new systems or procedures are designed to ensure they adequately address internal controls.

   If the CAE is assigned duties or responsibilities that fall outside of this Charter, safeguards will be established to avoid potential impairment to independence or objectivity.
d. Internal auditors will exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors will make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others in forming judgments.

Internal auditors shall:

i. Disclose any actual or apparent impairment of independence or objectivity to the appropriate party.
ii. Exhibit professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined.
iii. Make balanced assessments of all available and relevant facts and circumstances.
iv. Take necessary precautions to avoid being unduly influenced by personal interests or by others in forming judgments.

f. The CAE shall disclose to the Audit Committee any interference and related implications in determining the scope of internal auditing, performing work, and/or communicating results.

b. The CAE will confirm to the Board, at least annually, the organizational independence of the internal audit activity.

6. Scope of Internal Audit Authority RESPONSIBILITY:

a. Assurance Services. The scope of internal auditing encompasses, but is not limited to, the examination and evaluation of evidence for the purpose of providing independent assessments to the SBHE and management on the adequacy and effectiveness of the organization's governance, risk management, and internal control processes for NDUS, as well as the quality of performance in carrying out assigned responsibilities to achieve the organization's stated goals and objectives. This includes evaluating whether:

i. Evaluating risk exposure relating to achievement of the organization's strategic objectives are appropriately identified and managed.
ii. Whether the actions of SBHE and NDUS officers, directors, employees, and contractors are in compliance with SBHE policies, NDUS procedures, and applicable laws, regulations, and governance standards;
iii. Whether the results of operations or programs are consistent with established goals and objectives;
iv. The adequacy and effectiveness of the organization’s governance, risk management, and internal controls, as well as the quality of performance in carrying out assigned responsibilities to achieve the organization’s stated goals and objectives;
v. Whether operations or programs are being carried out effectively and efficiently.
vi. The processes and systems that enable compliance with policies, procedures, laws, and regulations;
vii. Whether information and the means used to identify, measure, analyze, classify, and report such information are reliable and have integrity.

viii. Whether resources and assets are acquired economically, used efficiently, and protected adequately.

b. The CAE shall report periodically to the NDUS Chancellor and the Audit Committee regarding:
   i. NDUS Internal Audit’s purpose, authority, and responsibility;
   ii. NDUS Internal Audit’s audit plan and performance relative to the audit plan;
   iii. NDUS Internal Audit’s conformance with The Institute of Internal Audit’s Code of Ethics and Standards, and action plans to address any significant conformance issues.
   iv. Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by, the SBHE.
   v. Results of audit engagements or other activities;
   vi. Resource requirements; or
   vii. Any response to risk by management that may be high risk.

c. The CAE shall coordinate the activities of and may rely on the work of other internal and external assurance and consulting service providers as engaged on consultation with the SBHE.

d. The NDUS Internal Audit may identify opportunities to improve the efficiency of governance, risk management, and control processes may be identified during audit engagements. To the extent appropriate, such opportunities shall be communicated to the appropriate level of management.

e. Consulting Services: NDUS Internal Audit provides consulting services in an advisory capacity, and are generally performed at the specific request of the Chancellor or NDUS institutional chief executive officers. The nature and scope of the consulting engagement are subject to agreement with management. Consulting may range from formal engagements with defined scopes and objectives to advisory activities such as providing informal guidance in response to general inquiries. When performing consulting services the internal auditor should maintain objectivity and not assume management responsibility.

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b. Evaluating the reliability and integrity of information and the means used to identify, measure, classify, and report such information.

e. Evaluating the systems established to ensure compliance with those policies, plans, procedures, laws, and regulations which could have a significant impact on the organization.

d. Evaluating the means of safeguarding assets and, as appropriate, verifying the existence of such assets.
a. Evaluating the effectiveness and efficiency with which resources are employed.

f. Evaluating operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.

g. Follow-up, as needed, on the implementation of planned corrective action by auditees on issued internal audit recommendations.

h. Monitoring and evaluating governance processes.

i. Monitoring and evaluating the effectiveness of the organization's risk management processes.

j. Evaluating the quality of performance of external auditors and the degree of coordination with internal audit.

k. Performing consulting and advisory services related to governance, risk management and internal control as appropriate for the organization.

l. Reporting periodically on the internal audit activity’s purpose, authority, responsibility, and performance relative to its plan.

m. Reporting significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by the Board.

n. Evaluating specific operations at the request of the Board or Chancellor, or institutional chief executive officers, as appropriate.

7. Responsibility

INTERNAL AUDIT PLAN:

a. The NDUS internal audit staff is responsible for conducting system-wide audits, including the NDUS system office and NDUS Core Technology Services (CTS). It will also conduct internal audits and consulting services for institutions that do not directly employ internal audit staff. The two research institutions, UND and NDSU, shall directly employ their own internal audit staff. Those auditors shall have primary responsibility for conducting audit activities on their employing campus.

b. The CAE has the responsibility to:

   i. Submit, at least annually, to the Chancellor and the Audit Committee a risk-based internal audit plan for review and approval;
   
   ii. Communicate to the Chancellor and Audit Committee the impact of resource limitations on the internal audit plan;
   
   iii. Review and adjust the internal audit plan, in consultation with the Audit Committee as necessary, in response to changes in NDUS's business, risks, operations, programs, systems, and controls;
   
   iv. Communicate to the Chancellor and the Audit Committee any significant interim changes to the internal audit plan.
v. Ensure that each engagement of the internal audit plan is executed, including: the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programs and testing results, and the communication of engagement results with applicable conclusions and recommendations to appropriate parties.

vi. Follow up on engagement findings and corrective actions, and reports periodically to the Chancellor and the Audit Committee any corrective actions or recommendations not effectively implemented;

vii. Ensure the NDUS Internal Audit applies and upholds the principles of integrity, objectivity, confidentiality, and competency;

viii. Maintain a professional audit staff that collectively possesses or obtains the knowledge, skills, and other competencies needed to meet the requirements of the this Charter;

ix. Remain current on trends and emerging issues that could impact NDUS and communicate the same to the Chancellor and Audit Committee as appropriate;

x. Consider adopting emerging trends and successful practices in internal auditing

xi. Establish and ensure adherence to SBHE policies and NDUS procedures designed to guide the NDUS Internal Audit;

xii. Ensure that the NDUS Internal Audit adheres to relevant SBHE policies and NDUS procedures. Any conflicts between this Charter and SBHE policies and NDUS procedures shall be resolved in consultation with the Audit Committee and the Chancellor;

xiii. Review and update the NDUS Internal Audit Charter at least every three years, or more if changes are warranted, and provide the updated Internal Audit Charter to the Audit Committee for review and approval.

xiv. Ensure that the NDUS Internal Audit conforms with the Institute of Internal Audit Standards, with the following qualifications:

1. If the NDUS Internal Audit is prohibited by law or regulation from conformance with certain parts of the Institute of Internal Audit Standards, the CAE will ensure appropriate disclosures and will ensure conformance with all other parts of the Standards.

2. If the Institute of Internal Audit Standards are used in conjunction with requirements issued by other authoritative bodies, the CAE shall ensure that the NDUS Internal Audit conforms with the Institute of Internal Audit Standards, even if the NDUS Internal Audit also conforms with the more restrictive requirements of other authoritative bodies.

c. The majority of audits are planned, however that does not preclude Internal Audit from conducting unplanned audits, following the same standards of engagement and reporting as planned audits. As unplanned projects are required, they are included in the overall plan for the year. Any significant deviation from the approved internal audit plan will be communicated to the Chancellor, institutional chief executive officers, the Board, and Audit Committee through periodic activity reports.

At least annually, the CAE will submit to the Chancellor, institutional chief executive officers, and the Board an internal audit plan for review and approval. The internal audit plan will consist of a
work schedule as well as budget and resource requirements for the next fiscal year. The CAE will communicate the impact of resource limitations and significant interim changes to the Chancellor, institutional chief executive officers, the Board, and Audit Committee.

The internal audit plan will be developed based on a prioritization of the audit universe using a risk-based methodology, including input of the Chancellor, institutional chief executive officers, and the Board. The CAE will review and adjust the plan, as necessary, in response to changes in the organization’s business, risks, operations, programs, systems, and controls.

7. REPORTING AND MONITORING:

a. A written report will be prepared and issued by the CAE, designee, or institutional internal audit staff or designee following the conclusion of each internal audit engagement and will be provided to the Chancellor and appropriate institutional chief executive officer(s).

b. Internal audit reports issued by any institutional internal audit activity will be submitted to the CAE in a timely manner.

c. Internal audit results will also be communicated to the Board and Audit Committee.

d. The internal audit report may include management’s response and corrective action taken or to be taken in regard to the specific findings and recommendations. Management’s response, whether included within the original audit report or provided thereafter (i.e. within thirty days) by management of the audited area should include a timetable for anticipated completion of action to be taken and an explanation for any corrective action that will not be implemented.

e. The internal audit activity will be responsible for appropriate follow-up on engagement findings and recommendations. All significant findings will remain in an open issues file until cleared.

f. The CAE will periodically report to the Chancellor, institutional chief executive officers, the Board, and Audit Committee on the internal audit activity’s purpose, authority, and responsibility, as well as performance relative to its plan. Reporting will also include significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by the Chancellor, institutional chief executive officers, the Board, and Audit Committee.

8. Quality Assurance and Improvement Program

a. The NDUS internal audit activity will maintain a quality assurance and improvement program that covers all aspects of the internal audit activity. The program will include an evaluation of the internal audit activity’s conformance with the Definition of Internal Auditing and the Standards and an evaluation of whether internal auditors apply the Code
of Ethics. The program also assesses the efficiency and effectiveness of the internal audit activity and identifies opportunities for improvement.

b. The CAE will communicate to the Chancellor, institutional chief executive officers, the Board, and Audit Committee and the Board on the internal audit activity’s quality assurance and improvement program, including results of ongoing internal assessments and external assessments conducted at least every five years.

B. North Dakota Institutions’ Internal Audit Charter

This Charter applies to North Dakota Institutions that employ internal auditors.

PURPOSE:

The role of internal audit is to provide independent and objective assurance and consulting activity that is guided by a philosophy of adding value to improve the operations of the respective campus. It assists in accomplishing its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of the institution’s governance, risk management, and internal controls.

ROLE:

The internal audit department is established by the ND State Board of Higher Education at NDSU and UND (the “Institutions”) and the respective campus. The internal audit activity will adhere to relevant NDUS and institutional (NDSU/UND) policies and procedures.

PROFESSIONALISM:

The Institutions’ internal audit activity will govern itself by adherence to The Institute of Internal Auditors’ mandatory guidance including the Definition of Internal Auditing, the Code of Ethics, and the Core Principals and International Standards for the Professional Practice of Internal Auditing, and to the recommended guidance including the Practice Guides and Implementation Guidance. The internal audit activity will adhere to relevant NDUS and institutional (NDSU/UND) policies and procedures.

AUTHORITY:

The Institutions’ internal audit departments are authorized full, free, and unrestricted access to all Institutions’ records, physical properties, and personnel pertinent to carrying out any engagement. Internal audit will maintain strict accountability for confidentiality and safeguarding records and information which is obtained. All employees are requested to assist the internal audit activity in fulfilling its roles and responsibilities.

ORGANIZATION:

The institutional audit activity employed by the individual campuses will have a dual reporting structure by reporting directly administratively and functionally to the respective campus Presidents and indirectly to the Audit Committee.
At least annually:

1. The Directors of Internal Audit must confirm to the SBHE Audit Committee the organizational independence of the internal audit function;

2. The Directors of Internal Audit and the SBHE Audit Committee shall discuss the internal audit mandate and the charter to assess whether the authority, role, and responsibilities continue to enable the internal audit function to accomplish its objectives; and

3. The Directors of Internal Audit shall present a status update to the SBHE Audit Committee regarding internal audit functions.

The Directors of Internal Audit at the campuses will communicate and interact directly with the Chair of the SBHE Audit Committee and the SBHE Audit Committee at any time necessary either with or without the campus President present.

The SBHE Audit Committee will:

- Approve the internal audit charter.
- Receive copies of the President’s approved internal audit plans.
- Receive institution’s internal audit reports and follow-up reports.
- Make appropriate inquiries of management and the Directors of Internal Audit to determine whether there are inappropriate scope or resource limitations.
- Have unrestricted access to all institutional audit staff.

The Presidents will:

- Provide appropriate support and necessary resources to internal audit to accomplish its day-to-day activities.
- Enable adequate communications and information flow such that the internal audit function has an adequate and timely flow of information concerning the activities, plans, and business initiatives of the organization.
- Ensure budgetary controls and considerations imposed by the President should not impede the ability of the internal audit function to accomplish its mission.
- Ensure internal audit maintains independence and can maintain open and effective communications with the Audit Committee and its Chair at any time.
- Approve the audit plan and be actively involved in its development by providing strategic advice.
- Receive and review audit reports as they are completed.
- Provide an annual evaluation for internal audit staff.

The Directors of Internal Audit shall each establish a program at their respective campus to evaluate and ensure the internal audit function conforms with the Global Internal Audit Standards, achieves performance objectives, and pursues continuous improvement. The program shall include internal and external assessments.
INDEPENDENCE AND OBJECTIVITY:
The Institutions’ internal audit activity will remain free from interference by any element in the organization, including matters of audit selection, scope, procedures, frequency, timing, or report content to permit maintenance of a necessary independent and objective mental attitude. The Institutions’ internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair internal auditor’s judgment.

The Institutions’ internal auditors will exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. The Institutions’ internal auditors will make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others in forming judgments.

RESPONSIBILITY:
The scope of the Institutions’ internal auditing encompasses, but is not limited to, the examination and evaluation of the adequacy and effectiveness of the organization’s governance, risk management, operations, and internal controls as well as the quality of performance in carrying out assigned responsibilities to achieve the organization’s stated goals and objectives. This includes:

a. Evaluating risk exposure relating to achievement of the organization’s strategic objectives.

b. Evaluating the reliability and integrity of information and the means used to identify, measure, classify, and report such information.

c. Evaluating the systems established to ensure compliance with those policies, plans, procedures, laws, and regulations, which could have a significant impact on the organization.

d. Evaluating the means of safeguarding assets and, as appropriate, verifying the existence of such assets.

e. Evaluating the effectiveness and efficiency with which resources are employed.

f. Evaluating operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.

g. Follow-up, as needed, on the implementation of planned corrective action by auditees on issued internal audit recommendations.

h. Monitoring and evaluating governance processes.
i. Monitoring and evaluating the effectiveness of the organization's risk management processes and operations.

j. Performing consulting and advisory services related to governance, risk management and internal control as appropriate for the organization.

k. Reporting periodically to the Institutions’ chief executive officers on the internal audit activity’s purpose, authority, responsibility, and performance relative to its plan.

l. Reporting significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by the Institutions’ chief executive officers.

m. Evaluating specific operations at the request of the Institutions’ chief executive officers, as appropriate.

INTERNAL AUDIT PLAN:
At least annually, the internal auditors for the Institutions will prepare their campus internal audit plans for approval by their Institution’s presidents who will provide informational copies to the Chair of the SBHE Audit Committee. The Institutions’ internal audit plan will be developed based on a prioritization of the audit universe using a risk-based methodology, including input of the Institutions’ president and senior management. The Institutions’ Directors of Internal Audit will review and adjust the plan, as necessary, in response to changes in the organization’s business, risks, operations, programs, systems, and controls and will also provide adjusted plans to the Audit Committee.

The majority of audits are planned, however that does not preclude Institutions’ internal audit function from conducting unplanned audits, following the same standards of engagement and reporting as planned audits. As unplanned projects are required, they are included in the overall plan for the year. Any significant deviation from the approved internal audit plan will be communicated to the respective campus President and updated on the audit plan shared with the Audit Committee.

REPORTING AND MONITORING:
A written report will be prepared and issued by the Institutions’ Director of Internal Audit staff following the conclusion of each internal audit engagement and will be provided to their respective campus President and senior management over the area under review.

Internal audit reports issued by the Institutions’ Directors of Internal Audit will be provided to the Audit Committee.

The Institutions’ internal audit reports may include management’s response and corrective action taken or to be taken in regard to the specific findings and recommendations. Management’s response, whether included within the original audit report or provided thereafter (i.e. within thirty days) by management of the audited area should include a timetable for anticipated...
completion of action to be taken and an explanation for any corrective action that will not be implemented.

The Institutions’ internal audit functions will be responsible for appropriate follow-up on engagement findings and recommendations. Audit follow-up reports will be provided to the Audit Committee. All significant findings will remain in an open issues file until cleared.

Reporting will also include significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by the Institutions’ President or the Audit Committee.
communicated to the Chancellor, institutional chief executive officers, the Board, and Audit Committee through periodic activity reports.

8. Quality Assurance and Improvement program:
   a. The NDUS internal audit activity will maintain a quality assurance and improvement program that covers all aspects of the internal audit activity. The program will include an evaluation of the internal audit activity’s conformance with the Definition of Internal Auditing and the Standards and an evaluation of whether internal auditors apply the Code of Ethics. The program also assesses the efficiency and effectiveness of the internal audit activity and identifies opportunities for improvement.
   b. The CAE will communicate to the Chancellor, institutional chief executive officers, Audit Committee and the Board on the internal audit activity’s quality assurance and improvement program, including results of ongoing internal assessments and external assessments conducted at least every five years.

Title: Department Name Change Request

Proposed action: Authorize UND to rename the UND Department of Accountancy & Information Systems to the XXXX School of Accountancy

Background Information: The University of North Dakota and the UND Alumni Association & Foundation request that the North Dakota State Board of Higher Education consider naming the UND Department of Accountancy & Information Systems for a couple who have donated multiple substantial gifts to the department and Nistler College. The donors have requested anonymity up until this meeting but will be identified when the agenda item comes up for discussion before the SBHE.

The UND Alumnus is a North Dakota native who loves his state, and the field of accountancy, and has an extraordinary passion for his alma mater. We are confident that having his name associated with the UND Department of Accountancy & Information System will add prestige to the School while honoring this couple’s generous philanthropic spirit.

The elevation of our Department of Accountancy and Information Systems to the XXXX School of Accountancy would allow us to house the first named School of Accountancy in the Upper Midwest, further advancing our level of distinction among our peers. The prominence of this named school would differentiate us from other Accounting programs, while recognizing our strong reputation and past accomplishments. This change would highlight UND Accountancy’s unique history of building the profession of accountancy in the state of North Dakota. This school would offer a foundation for outreach and leadership in the state/region through a center for financial wellness, efforts across the state to adapt education to changing CPA exam model (e.g., graduate certificates in advanced areas), interdisciplinary collaboration possibilities such as with the UND School of Law on graduate tax programs, grant applications for tax clinics, etc., and UND Odegard School of Aerospace on aviation and accounting/business.

Further, the XXXX School of Accountancy would likely attract more students to UND, the Nistler College, and the Accounting program and increase opportunities to engage with alumni, firms, and recruiters. This change, if approved, would also support the identity of accounting as a professional discipline with a formal licensure requirement and unique degrees (Bachelor of Accountancy, and Master of Accountancy). Removing “Information Systems” from the formal naming also allows the faculty to focus on additional majors and minors related to the field of accountancy (such as data analytics) while still offering the Information Systems degree.

Financial matters: There should be no significant costs associated with this request. The minimal costs of new business cards and other printed materials can be covered by College operating funds and Foundation endowments.

Legal/policy matters: This name change request is made pursuant to SBHE Policy 307.1 Institutional Organization – Notice and Approval.

Academic matters: There are no academic implications related to this project.
Review Process:
  Cabinet  09/13/2023  Recommends approval
  ASAC      09/20/2023

Chancellor's recommendation: Chancellor Hagerott recommends approval.

Contact information:
Andrew Armacost, President, 701-777-2121, andrew.armacost@und.edu
Title: Tenure for President Steven W. Shirley, Ph.D.

Proposed action: Grant tenure to President Shirley, effective immediately.

Background Information: The Governance Committee recommended that the Board grant tenure to Minot State University President Steven W. Shirley, Ph.D. in recognition of his long and distinguished service to the North Dakota University System as president of Valley City State University and Minot State University. The recommended action would be an exception to SBHE Policy 605.1, and making such an exception is within the SBHE’s purview.

Financial matters: Any additional expenses associated with contracting President Shirley as tenured faculty would be drawn from Minot State University’s general funds, pursuant to Policy 605.1(6)(b)(iii).

Legal/policy matters: N.D. Const. Art. VIII, Sec. 5 provides that the SBHE was created “for the control and administration of . . . state educational institutions.” Section 15-10-11 states, in part, the Board “has full authority over the institutions under its control.”

Academic matters: N/A

Review Process:
SBHE-Gov 09/20/2023
SBHE 09/28/2023

Chancellor’s recommendation: Chancellor Hagerott recommends approval.

Contact information: Dr. Casey Ryan, casey.ryan.2@ndus.edu
Title: Honorary Degree Nominations for North Dakota State University (NDSU):
Norma Peltier

Proposed action: NDSU is seeking approval to award the above Honorary Degrees.

Background Information: Norma Peltier is exceptionally qualified for the award of an Honorary Doctorate in Agriculture based on her lifelong commitment to North Dakota State University, the state of North Dakota, and the northland region.

Legal/policy matters: State Board of Higher Education (SBHE) Policy 430.1 Honorary Degrees outlines the criteria for awarding honorary degrees.

Academic matters: N/A

Review Process: Nominations must meet the criteria state in SBHE Policy 430.1 to include:
   a) The candidate should have had an association with North Dakota. This association may be by virtue of birth, of residence, of education, of service to the state, the SBHE, or one of the institutions governed by the SBHE.
   b) The candidate must have achieved a level of distinction which would merit comparable recognition in the profession or area of excellence.
   c) The renown of the candidate should reflect favorably on the SBHE, the institutions it governs, and North Dakota.

Chancellor’s recommendation: Chancellor Hagerott recommends approval.

Contact information:
Dr. David Cook, President, 701-231-7211, david.cook@ndsu.edu
September 11, 2023

Lisa Johnson
Vice Chancellor for Academic and Student Affairs
North Dakota University System
State Capitol Building, 10th Floor
Bismarck, ND 58505

RE: Honorary Degree

Dear Vice Chancellor Johnson:

In accordance with SBHE Policy 430.1, Honorary Degree, North Dakota State University respectfully requests approval to award an honorary Doctorate of Agriculture to Norma Peltier. Ms. Peltier meets criteria established by the State Board of Higher Education and North Dakota State University as evidenced in the attachment. I am forwarding this on behalf of President Cook, who has approved this nomination.

We appreciate your consideration.

Sincerely,

David Bertolini
Provost
September 6, 2023

To: David Bertolini, Provost
From: Greg Lardy, VP Agricultural Affairs
Re: Nomination of Norma Peltier for Honorary Doctorate

It is my pleasure to nominate Norma (Skunes) Peltier for an Honorary Doctorate degree from North Dakota State University. The Peltier family name is synonymous with NDSU as it is interwoven into the fabric of the institution's rich history since its founding.

Even though Norma did not receive an undergraduate or graduate degree from NDSU, the educational ties between NDSU and her family run deep. Norma grew up on a farm near Grandin, ND. Several Skunes family members attended NDSU through the years.

Norma and Joe '51 married on May 31, 1952, and were advocate educators, business leaders and supporters of higher education in North Dakota. They were involved with Arthur Companies, Northern Crops Institute, and numerous other agriculture business-related associations. Often times, Joe and Norma hosted international business friends exploring new agriculture markets in North Dakota; Norma is proud of the many, many meals and conversations that occurred around her kitchen table. Joe's maternal grandmother, Jessamine Slaughter Burgum, was the first female student at NDSU (then NDAC). His mother, Marjorie Burgum Peltier, continued her education at NDSU, and all of Joe and Norma's children, Keith '75, Jeff '76, Suzette '79, and Betty-Jo '83, are alumni. Joe passed away January 12, 2014.

Norma has a passion for all things NDSU and has been a 'regular' at athletics, arts, social, alumni, faculty, scholarship, and recognition events for decades.

Norma and Joe have been major benefactors to NDSU through gifts to a variety of scholarships, endowments, and facilities. The most recent and perhaps most visible evidence of their philanthropy is the family's gift commitment which resulted in naming the Peltier Complex. This multimillion-dollar contribution supported one of NDSU's most advanced teaching and research facilities. This facility will forever associate the Peltier name with NDSU's legacy as a premier land grant university focused heavily on agriculture.

Norma was instrumental in guiding the couple's giving to other areas of the university and their support includes scholarship endowments, award endowments, and other programmatic support. They have been major contributors to the NDSU Foundation for such projects as the Peltier Endowment for Innovation in Teaching, the Don Larew Scholarship, the Jessamine Slaughter Burgum Scholarship, and the Joe Peltier Scholarship for Risk Management.

In summary, I am delighted to nominate Norma Peltier for consideration to receive the Honorary Doctorate Award. Her and her family's importance to North Dakota's economy, building relationships with friends around the world, their support of students through scholarships, and other philanthropic activities which support multiple aspects of the institution makes her exceptionally worthy of consideration for this recognition.

Please contact me if you have any questions or need any additional information.
Title: Approve Chancellor Mark Hagerott’s 2023-24 Goals

Proposed action: Consideration to approve Chancellor Hagerott’s goals for himself and the North Dakota University System for 2023-24 academic year.

Background Information: Board Policy 304.1 states that “The Board shall annually evaluate the Chancellor’s performance as provided in Policy 604.2.” 604.2 states, “The performance review of the Chancellor shall be based upon a statement of goals for the year of evaluation which were formulated by the Chancellor and approved by the Board.”

Financial matters: Could be substantial if goals are not reached.

Legal/policy matters: Could be substantial if goals are not reached.

Academic matters: This is a core Board policy relating to the performance of the Chancellor in his role as leader of the system.

Review Process: Per SBHE Policy 604.1, Chancellor Hagerott has reviewed and approved the Presidents’ goals, and then built his goals to encompass oversight of the Presidents’ goal achievement, advancement of the colleges and universities in the system, functions of the System Office and performance of the System Office staff.

Contact information: Chancellor Mark Hagerott, 701.328.2963.
Chancellor Mark Hagerott's 2023-2024 Goals
State Board of Higher Education

Goals submitted for approval by the State Board of Higher Education for September 28, 2023

I am honored to serve the State of North Dakota as chancellor of the multi-campus, multi-tier system of higher education during these near unprecedented times. Changing economic conditions with near record inflation; post-COVID effects on the desire of students to attend college; post-COVID effects on the propensity for workforce to join in campus staff positions; as well as technological innovations all combine to place inordinate demands on higher education. I am committed to support the SBHE and lead the system office and cabinet to maintain resilience at three levels: reliability in our day-to-day operations, adaptability with minor adjustments to changes in the educational landscape, and transformability as campuses adopt major initiatives poised to meet future demands in the higher education marketplace.

It is important to note that unlike the campuses, the system office is not teaching or conducting research, but is policy development, administrative, and integrating in nature. In addition, system office staff are not responsible for our facilities, but rent space from OMB. Thus, the Chancellor’s goals are ultimately derived from the SBHE goal of “Unified System” to support the entirety of the SBHE goals, through those who care for students, maintain facilities, teach, train, and do research. In addition, based on feedback from board members, each goal will be identified how it aligns to both “4”, Unified System, and any other goals it may support, as well as whether the goal aligns mostly with the operation of ND System Office (NDSO) or the larger NDUS. Lastly, additional details have been provided either in the main body of the document or as discussed below, new sections of the document.

There are two addendums added in response to board member feedback, a ‘short list’ of the highest priority half dozen goals, as well as a list of those areas where I personally devote substantial time and effort, though such numerical metrics will obviously not capture many of the immeasurable qualities of servant leadership and adaptability to changing circumstances required from me and my staff.

1. Implementation of 68th Legislative Session law; Preparations for 69th Legislation Session in 2025 with emphasis on Legislative Interim Committees and Listening Sessions (Goals 4, 1-6, NDUS):

The main funding bill returned North Dakota higher education to previous 2017 levels, to include a substantial increase in construction and maintenance funding, as well as support for a tuition freeze and minimum amount payable. In addition, several bills passed that require follow up by the SBHE, system office, and campuses and will work to ensure we comply with the new state laws or intent of the legislature, key bills of which include:

- HB 1446 (post-tenure review): This bill was defeated but the SBHE assured the House majority leader that the SBHE/NDUS office would conduct a zero-based study of Post Tenure Review. I will support the study effort and first meetings and data call created in July 2023. Expected completion by June 2024.

- SB 2247 (specified topics): This started as “the divisive topics” bill and then morphed into “specified topics.” A similar bill passed in Tennessee recently, but shortly after its passage, it hit challenges and required amendments. We worked with the committee early on to include the amended language from Tennessee to avoid similar stumbling blocks. I will monitor NDUS compliance and will be prepared to update the legislative committee, if requested, Summer 2024.
• SB 2343: Requires the SBHE to establish a policy ensuring transparent communications between board members. The policy has been updated to reflect this change in law and I will work to ensure expanded access as required, completed July 2023.

The legislature expects the NDUS office to support their Interim Higher Education Committee, as well as Interim Committee studies. It is a priority goal to meet this expectation, as fluid as it might be. To further prepare for the next session, I will conduct periodic “Legislative Listening Sessions” as I travel the state, and in conjunction, where possible, with the ENVISION 2035 workflow. In addition, in partnership with the Board Chair and Vice Chair, I will request additional Executive Branch Listening/Discussion meetings, to help align NDUS with emerging Governor’s priorities with those of the legislative feedback. Legislative studies which I will need to ensure our participation and engagement include:

• 1288/4 Public Private Partnerships and Infrastructure;
• 1003/4 Dual Credit;
• 1003/44: Impacts of Emerging Artificial Intelligence;
• 1341/1 Firearms to include Campus implications;
• 2122 Work Force Centers Funding Models;
• 3026 Formerly Incarcerated Individuals entry into the NDUS, among others. All studies to be completed by Summer-Fall 2024.

As will be discussed below, the ENVISION 2035 Strategy process will also support the effort to create potential new legislative requests. I will continue to engage with legislators, Governor, and Interim Committees to support existing legislative priorities of the SBHE, until amended by the Envision 2035 process or other SBHE direction. I will use multiple methods to engage the legislature, to include at least two quarterly meetings with legislators of Budget Section and the Interim Higher Education Committees (anticipated 8 total). In addition, I will hold at least one “Chat with the Chancellor” or “Lunch with Legislators” monthly over the year (anticipated 12 total). The topics to be discussed will be their feedback on their local college or university, briefings on our Envision 2035 process, and the below several priorities, previously approved by the SHBE, include:

• Secure future funding for the Workforce Innovation Fund.
• Work to expand “Career Builders” to include incentives for out-of-state workers for the energy industry (Senator Krebsbach bill), perhaps expanding this ‘ask’ to a more general out-of-state workforce/student recruitment.
• Expand funding levels for the Research Legacy Fund, which passed at a modest $5.5 million.
• Stabilization Fund for the NDUS, which was supported by the Governor in 2021. Have had preliminary discussions with Interim Committee members.
• IT and Physical Infrastructure: This topic has been moved to one of the Envision 2035 study groups, but I will continue to impress upon legislators that IT especially is on an escalating trajectory, to include the implications of Artificial Intelligence (AI).
• Systemwide Marketing: This request was not funded by the legislature, but as the Minnesota North Star Promise has shown, there is a need for some level of statewide marketing.
2. **Cybersecurity of NDUS and the 11 Campus System (Goals 4,5, NDUS, NDSO):**

We need to be ever vigilant from bad actors trying to gain access to our digital systems to exploit our data. A strong focus on cybersecurity is job #1. Overall, ransomware attacks on higher education nationwide are up approximate 50%. Most recently, Valley City State University halted a major attack, avoiding any compromised data in July of this year, but University of Minnesota experienced a major breach in August 2023. For these reasons, cybersecurity remains one of the top priority goals in the coming year. I will continue to partner with NDIT to build out the capabilities of the NDUS Security Operations Center (SOC) which received additional legislative support to help augment staffing. A recent security audit done by external penetration testers on NDUS systems cited great improvement, however they also indicated our capability to detect and respond to attacks was critically hampered by inadequate staffing. Increased staffing levels in the SOC will help us better respond to the daily attacks on systems across the NDUS. In addition, we will further build capacity by using internships and apprenticeships to staff the center. Finally, in response to recent security incidents, we have increased the annual reporting requirements to include verification that security controls are in place on publicly accessible systems at each institution. These security controls include Cortex XDR and multi-factor authentication.

The initiatives listed above focus on technological vulnerabilities, but many intrusions are the result of human error. I will continue to work with the NDUS Information Security Council (ISC) and Chief Information Officers Council (CIOC) to sustain and expand where possible improved and standardized cyber security training for all NDUS faculty and staff, at no charge to the campuses. The initial build out of the NDUS Security SOC, Jan 2024.

3. **Goals Pertaining to NDUS System Policy Development:**

   A. **Workforce (Goals 4,6, NDUS):**

   The legislative session was highly successful, seeing record amounts of new funding for the workforce to include Career Builders increased by approximately $6.8 million (almost a 150% increase) and CTE programs increased by $1 million. But there remains an urgent need for start-up funding, as mentioned previously. I will make this a priority to build legislative and executive branch support for funding the Workforce Education Innovation Fund and began such efforts at the Interim Committee meeting in August 2023, as well as in the first one-on-one meetings with senior legislators. The ND Career Builders Scholarship & Loan Repayment program is a tool for business to recruit and retain talent in high-need and emerging occupations in the state. I will continue to support our institutions as they create innovative Career Builder pathways, and explore with the Cabinet how Career Builders might be expanded to assist the recruitment of ‘out of state’ students, perhaps as a counter to the MN Promise. Expanded Career Builders to work with the Legislative Committee and MN Promise working group, and a goal of new guidelines or expanded eligibility by June 2024.

   B. **Dynamic Enrollment Environment, Retention, Attainment at the 11 Campuses (Goals 4, 3, NDUS):**

   I approach this urgent goal with four time-framed methods:

   a. **Immediate term**, meaning now and ongoing, will be to continue support of campus presidents as they shift to stackable certificates and programs to appeal to adult learners who may be place bound. I approach this goal mindful that enrollment challenges vary from campus to campus, campuses are creating a significant number of certificate programs, but where possible, I will encourage campuses to collaborate and share certificates (e.g., as the DDA is building a digital GEN-ED). To assist this collaboration, the NDSO is developing resources to assist students in navigating a wide array of educational pathways,
documentation of individual competencies, and the ability to convey these skills to employers. I will continue to support these efforts and where possible, identify and share with the campuses new procedures or technologies to promote participation in these initiatives to aid students in curating verifiable digital badges, micro credentials, and completed degrees. The goal is to provide secure transmission of credentials, so students have the ability to send their entire academic record or a pertinent certificate to potential employers. This is an ongoing effort, review of outcomes or issues, June 2024.

b. **Short term**, meaning over the summer and available by October-November, is the rapid development of enhanced digital tools to help campus leaders better understand their enrollment environment (led by Dr. Weber). This tool was developed in July-August, and is an AI tool, named “Power BI”, to give more actionable data to individual campuses as they individually adapt their enrollment strategies. This program is in prototype now and was demonstrated to the Academic Affairs committee and anticipated to be available to campuses by October/November 2023.

c. **Medium term** (to prepare potential 2025 legislation or other recommendations). At the SBHE meeting in June, the SBHE working group focused on best practices of student recruitment and enrollment was refocused to study the MN North Star Promise. As was discussed at the May SBHE meeting, even before the MN plan emerged, the SBHE understood elevated inflation has been shown to put pressure on families to defer post-secondary education investments, which the tuition freeze is just now taking effect, and will monitor the results. Legislators with whom I have spoken are hopeful their funding of the tuition freeze may help mitigate the MN Plan, but it will require an extended period to evaluate the effects. Anticipate findings to the SBHE by December 2023, and budget or policy recommendations by June 2024 in time for the legislative budget proposals to the Governor.

d. **Longer term** the ENVISION 2035 “Student of the Future” study to better understand the context and challenges expected to emerge in a longer time horizon. I and the system office will provide support to this study. For timeline, see ENVISION 2035 checklist and timeline. I will personally include the enrollment challenge in my Stakeholder Engagement and Legislative Engagement. To that end, detailed briefings have already been provided to the Legislative Interim committee and to the Governor’s staff (completed August 2023; briefings to Governor’s Workforce Development Council expected Sept 2023). I have held over a half dozen meetings over the summer with legislators and members of several chamber members to highlight the urgency of the MN Plan to potential work force shortages. In parallel, I will continue to seek legislative support to reinstitute a systemwide recruitment and marketing campaign to be included in SBHE budget in June 2024.

C. **Helping Students and Faculty Respond to Digitization (Goals 4, 2, 3, 6, NDUS):**

As determined by the SBHE in June, there is a need for digital literacy across all campuses, but the SBHE made clear this is a campus led effort, and each will determine how best to meet SBHE direction. But the need for cyber and digital skills continues to pressure educators to turn out more graduates or certificate holders. I will continue to lend personal support to the Dakota Digital Academy (DDA) and Dakota Digital Review (DDR) staff with speaking and supporting meetings with the newly formed Work Force Advisory Council. To that end, I am scheduled to help teach and lecture in late September 2023. Relatedly, I will support the SBHE task to the campuses to offer a Digital Literacy or “Gen Ed” course in computational sciences as soon as possible. This course would be part of the curriculum requirement for all students. Due to
severe shortages of computer science, software engineer, cyber science faculty, this digital literacy course or “Gen Ed” may need to be offered with an online, AI-type course. The exact timeline of digital literacy programs will vary from campus to campus but believe the process could be accelerated by cross-campus collaboration, which I will support. Completion: varying by campus but expected one year role out beginning Fall 2024.

D. Inflationary Impacts on Presidential Cabinet and NDUS Staff (Goals 4, 6, NDUS, NDSO)

Record levels of inflation have compressed the already tight labor market. I will support the SBHE presidential salary study now underway with AGB corporation. For other NDUS system staff, I will try to economize the system budget to perhaps allow some one-time bonuses later in the biennium, and to that end, as will be discussed under NDUS staffing, I am working to combine duties of two positions and closely reviewing other expenses. We face difficult hiring environments and I believe salaries adjusted for inflation, meaning REAL DOLLARS, and not nominal, should be a larger goal of future legislative budgets for higher education and state government. Presidential salary study to be completed by May 2024. I will work with the ENVISION 2035 Human Capital Study, with emphasis on presenting legislative request for a COLA, pending final SBHE approval in June 2024.

E. SBHE Strategy Review: Envision 2035 (Goals 4, 1-6, NDUS)

In 2016, the State Board of Higher Education, the System Office and institutions, and numerous external stakeholders embarked on a two-year process to ‘envision’ the future possibilities of the NDUS. The resulting Envision 2030 report provided the strategic vision for the SBHE going forward. It has been five-plus years since that work was completed and we are embarking on an update to that work, ENVISION 2035. To that end, the SBHE has initiated an ENVISION 2035 process led by nine co-chairs of one SBHE member and one president or dean. The SBHE will seek insight and consensus from business and industry leaders, government, and civic leaders, and NDUS faculty and staff on nine study topics to include:

- program of the future: agriculture;
- program of the future: energy;
- program of the future: digitization;
- program of the future: healthcare;
- student of the future;
- teacher of the future;
- infrastructure of the future;
- human capital of the future, and;
- values of the future.

After listening and gathering data points from the experts, we will develop and incorporate key conclusions into a final Envision 2035 plan that will guide the SBHE strategic planning process. Team leads were identified in July 2023 and team formation is underway as of August 2023. Each team will hold periodic meetings and listening sessions. An update in-person meeting is scheduled for November 1. More specifics of the timeline are available in the ENVISION 2035 materials provided to SBHE members, to include key milestones, but may vary at the discretion of SHBE/Cabinet Co-Leaders of different study groups, but SBHE guidance is for final recommendations by December 2024, and draft recommendations by May 2024. (A detailed timeline and checklist of key milestones is available upon
4. Goals Pertaining to NDUS Office Operations:

A. Enhance Stakeholder Engagement (Goals 4, 5, 6 NDUS):

As noted in the Legislative section above, I will attend eight quarterly meetings of the Budget Finance and Interim Legislative Committees, as well as bi-monthly engagements with legislators on the topics noted. In addition, I plan to hold at least three editorial board meetings with local newspapers; three radio show engagements; and at least two business conferences (most likely the Fargo-Moorhead Chamber and GNDC). While beyond the scope of this document here, each engagement will generally include discussion of the SBHE Strategic ENVISION 2035 process, as well as the above listed legislative priorities previously approved by the SBHE. In addition, two years ago, I implemented an Executive Engagement program to better connect with NDUS institutions and local community. Executive Engagement program consists of a one-day visit with local corporate executives, government officials, civic groups, and media. I am planning to continue with two visits between Fall 2023 and Spring 2024 and may coincide with ENVISION 2035 working group sessions. In addition, I routinely meet with members of the SBHE; I engage with legislators/community leaders across the state; and volunteer to deliver NDUS themes to the media, conferences, and programs across ND. Outreach began in July 2023 with two radio talk shows; visits to Dickinson, Bismarck, Fargo, to include Roosevelt Center conference, Governor’s Innovate Summit, Fargo-Morehead Chamber conference, and several meetings with legislators and SBHE members. To be completed: June 2024. (A detailed engagement plan is available upon request.)

B. System Office Staffing and Ability for Smooth Succession Processes (Goals 4, 6, NDSO):

The smooth operation of system office in support of the SBHE, the individual campuses, and the legislative and executive branch information requests remains one of the top duties and goals going forward. To that end, I will continue to mentor and identify opportunities to position the staff for smooth succession as staff experiences demands for expanded services (e.g., restoration of the Director of Innovation), normal turnover, and retirements. Our system staff will witness the retirement of perhaps the longest serving staff member, ever. The Chief of Staff and Executive Assistant will retire by early October, and thus I will be conducting searches to hire these two positions. In addition, the legislature provided funding for the position of Director of Innovation. Given the unexpected loss of close to $400,000 transferred to a campus, and given inflationary pressures on office operations, I will combine the two positions of Chief of Staff and Director of Innovation, and as budgets are replenished, will consider splitting these out in the future. However, there has been a long tradition of ‘dual hatting’ the Chief of Staff position with other billets, and this may well prove to be an enduring integrated position (the hiring process is underway as of August 2023). In addition, we have had trouble filling the auditor position and will continue to support this effort and a member of the public relations/strategy staff has moved on. Expected hires to be filled by October/November 2023.

C. NDUS Staff Management and Processes (Goals 4, 6, NDSO):

The system office engaged with a consultant on process improvements related to the information flow of Board and Council agendas and minutes. I will continue to provide leadership to our staff on improving workflow efficiencies and process improvement related to information flow of Board and Council agendas and minutes using SharePoint Online. In addition, I will continue to lead the system staff to provide ‘day-to-day’ reliability in the workflow for all SBHE committees, subcommittees, and Chancellor’s Cabinet, to include budget approval and review processes incorporating the outcomes of the 2023 legislative session.
The Covid-19 pandemic taught us that hybrid and remote models of work can be supported and tends to contribute to positive employee morale. We have adjusted workplace requirements, and I will continue to closely monitor this new environment as we move forward. Modified hybrid work arrangements shifted to on-premise September 2023.

I will hold periodic staff “listening” sessions, individually and small group, throughout the year. Office offsite social held August 2023 to continue to build a sense of teamwork and belonging, attended by almost fifty staff members and family. To be completed: June 2024.

D. NDUS Office Audit and Compliance (Goals 4, 1, NDUS, NDSO):

The new compliance procedures were completed, and a permanent compliance officer successfully hired. However, Internal Audit continues to require attention. To that end, I will support the Audit Committee as it considers updates to the charter, to include restoring oversight of the Audit Committee to all eleven campuses, whereas currently, the two major campuses are excluded, which causes me some concern. Second, we have had trouble in filling out the Internal Audit staff and will continue to support the Audit Committee and Chief Audit Executive in this understaffed condition. The Internal Audit and Compliance staff have effectively fielded issues from multiple campuses to the satisfaction of the Audit Committee and improved satisfaction from campuses. My goal will be to continue supporting the strategic direction of the Audit committee in 2023-2024.

5. Goals to Support Campus and Cabinet Operations:

A. Mentoring, Leadership Development, and Presidential Evaluations (Goals 4, 6, NDUS):

Four campus presidents are still early in their respective tenures and will continue to make this a major goal to provide support and mentorship for these presidents. Concurrently, the evaluation of the presidents is a major function in my role as chancellor. Based on feedback from the Cabinet, I will replace the current software system, SPOL, with a new Qualtrics-based solution, being implemented in August 2023. This installation will be ready in time for the presidents’ 2023-24 annual goals. Meanwhile, the comprehensive evaluations of the presidents of UND and BSC and the annual review of the two-year presidents will occur in the fall of 2023.

B. Assist Campuses to Expand Online and Collaborative Programs (Goals 4, 1, 2, 6, NDUS)

Continue to assist campuses as they use online technology to reach more students, wherever they may be geographically but also, in the various ‘time in life and career’ they may be, which may not afford their presence ‘on campus.’ NDSU is embarking on a major initiative to diversify their previous ‘on premise’ model of baccalaureate degrees to include multiple, in-demand online programs, and I will support this change both publicly and in providing staff support, if needed. I am mindful the ENVISION 2035 Student of the Future and Faculty of the Future may result in modified priorities regarding the balance of on-premise versus remote student body. At least two board members have shared a strong preference for a modification of the funding formula to favor on premise over online. However, I anticipate this will be a contentious topic among the presidents and the SBHE itself, and thus, pending changes of direction from the SBHE, I will continue to support the goal of wide access for students, especially adult learners. Envision studies pertaining to funding formula/delivery, if adopted, to be completed June 2024.

The massive and potentially transformative bipartisan “CHIPS and SCIENCE Act” of Congress has been signed into law. Now that the bill is law, I will continue to work with Senator Hoeven and his staff to ensure North Dakota will become a partner in one of the designated Rural Innovation Hubs. Given the complexity of the relations with the likely headquarters of the Rural Hub, I have
already been devoting substantial time to this task, with weekly meetings with the Federal delegation beginning in June and continuing into the foreseeable future as Phase 1 of the Rural Hub application is completed, and Phase 2 is opened. In addition, I will support initiatives from both NDSU and UND related to major new NSF funding that requires statewide participation of universities to be eligible. Award of Type 2, Spring 2024. (NSF schedule and milestones available on request).

C. Work Force Initiatives – Facilitating Key Collaborative and Integrated System-Campus Programs (Goals 4, 3, 6, NDUS):

I will be working with the presidents on several collaborative and integrated programs aimed at adapting and even transforming the workforce output of the collective eleven campuses, with a continued focus to assist Minot-DCB and upcoming USAF expansion of workforce needs; BSC Polytechnic evolution; and DSU Dual Mission. These initiatives are well underway but may need my personal assistance periodically.

A new, potentially transformative initiative for the Grand Forks area is now underway, at my direction and supported by both presidents, to explore how LRSC and UND may better partner to prevent almost 1,000 ND residents from leaving the state for the education in East Grand Forks. This study is to be completed in Spring 2024.

D. Educational Pathways (Goals 4, 2, 3, NDUS):

Campuses have engaged in creating a significant number of certificate programs – through both new programs and the reconfiguration of two-year and four-year program offerings. Next steps include the development of resources to assist students in navigating a wide array of educational pathways, documentation of individual competencies, and the ability to convey these skills to employers. We have sought the use of emerging technology and participate in initiatives to aid students in curating verifiable digital badges, micro credentials, and completed degrees. Our goal is to provide secure transmission of credentials that enable students to have agency over their educational record to share with potential employers. This is an on-going deployment of tools and technology to support campuses, which will vary in their transition to new offerings. Our roll-out will vary by campus. Can provide campus specific updates upon request. June 2024.

6. Goals to SBHE Research Committee, Legislative Research Funding (Goals 4, 5, NDUS):

The SBHE and NDUS Office, in concert with the research universities, established a policy that created the SBHE Research Committee. The ongoing goal is to monitor the progress of this committee while helping staff and assisting the SBHE members as needed. The legislature restored funding for the long vacant staffer who supported this effort and will hire and onboard this person to provide support to the committee. I will also work with the Cabinet to put in place the oversight process to administer and report to the legislature the first application of the $5.5 million in Legacy Research funds (initial structures in place, as of August 2023). As mentioned in previous sections, I have already begun to engage legislators to increase funding in the Legacy stream to support research and continue to work with our Federal delegation to secure ND/NDUS membership in a Rural Innovation Hub. Oversight mechanism in place: Fall 2023.

7. Getting to Scale at Hi Tech Innovation, Adaptation and Transformation in Research and Defense Work Force, State-Wide and Regional (Goals 4, 5, 6, NDUS)

a. CHIPS ACT/NDUS-NDSU-UND Collaboration. I am co-chairing weekly meetings with Senator Hoeven’s staff as we work to include North Dakota and the NDUS into the CHIPS and Science Act Hub Program, which will result in major gains in research and work force resources from the
NSF. This has been a major focus of my effort the past couple goal cycles, resulting in the historic Mountains and Plains Innovation Alliance with ND, SD, WY, MT, and ID. Key miles and dates include Phase 1 proposal submitted in August, and Phase 2 due in late Fall. Metrics and milestones are available with NSF proposal guidelines which can be provided upon request. I also anticipate the ENVISION 2035 Study of Digitization will overlap in some of this effort and will assign the new Director of Innovation to support that study group.

b. AI Research Center for Five State Region, led by NDUS/UND: NSF has recently released a top priority program to establish Artificial Intelligence Research Centers in approximately six locations. The AI focus areas of Space/Geo Spatial and Materials fit strengths of the NDUS system and UND, as well as several colleges in our Five State Innovation Alliance. I am working closely with UND, the Federal Delegation, and several states that have responded positively to this possible historic partnership, to include in person meetings with a leading cyber research university in our region. The key metrics and milestones are delineated in the NSF proposal guidelines and can be provided upon request.

c. National Security Corridor (or TRIAD) UND/MiSU/NDSU: The Legislature and Governor have identified the national defense industry a significant piece to a diversified state economy. The legislature appropriated substantial support to UND to build a “National Security Corridor.” I believe this effort, led by UND, can better reach scale by collaborating with the three campuses in Minot, Grand Forks, and potentially Bismark. To that end, I am personally engaging defense officials in my own network to promote NDUS as a research and work force asset; I have accepted an invitation to be the North Dakota representative on the National Defense Association Northern Tier board; and I am personally working to host the first NDIA conference in Minot in 2024. Key metrics and milestones are still in work, depending on NDIA approval and Minot Chamber priorities. Stretch goal would be to gain legislative support to include Minot and NDSU in any further state support of national security. Metrics would include preparation of budget submission, briefs to the Governor, and perhaps even ENVISION 2035 endorsement.

d. Director of Innovation and Economic Development on the NDUS Staff: Integral to this effort is refilling the position on my staff related to Innovation and Economic development. The shaping and evolving of this staff position to promote system-wide collaboration and innovation will be key to the aforementioned goals. A separate ‘on-boarding’ plan for this new position can be provided on request.

8. Goals Pertaining to IT Systems (Campus and System) (Goals 4, NDUS, NDSO):

Concurrently, the NDUS could not operate without computers and computer systems. Controlling costs and reducing complexities is essential.

A. IT Consolidation of additional campus digital programs (Goals 4, NDUS, NDSO):

IT Consolidation and Governance was a major topic of the Red Tape/Opportunities Committee. While the major issues have been passed to the Envision 2035 IT-Physical Infrastructure Group, I will continue to follow existing SBHE priorities to provide access and system efficiencies in a unified system. As is well known, software costs increase by 3-5% annually, so providing cost effective, highly reliable systemwide solutions will help control cost escalation. I will continue to encourage CTS to work with the institutions to leverage systemwide and statewide contracts with vendors to increase capabilities, reduce duplication, and maximize investments. As mentioned under cyber security, CTS received funding to continue to grow our capabilities and capacity to support campuses with a consolidated security operations center.
Regarding *Enterprise Resource Management Market Analysis*, we will execute the market analysis to better understand the future options for NDUS Human Capital Management, Financial Management, and Student Information Systems (completed June-July 2024). These systems are critical to the operations of all NDUS institutions and significant stakeholder involvement will be required. The intent is to begin the process of replacing these systems over the course of the next few years and this effort will require appropriation during the 2025 legislative session. Planning to be completed by May 2024, and legislative support anticipated in early 2025.

Regarding improved service, which was raised in the Red Tape/Opportunities Committee, I remain committed to improving services. To that end, we will continue to implement ITIL v4 principles in our ServiceOne program, including adoption of additional practices and documented continual improvement of existing practices using the Capability Maturity Model Integration process (implementation in progress as of August 2023). Key sustainment activities include operational reporting and regular practice audits. In addition, I will report as requested to the Governance Committee, pending any changes to governance determined by the Envision 2035 process. Progress updates mid cycle Jan 2024, and year end, June 2024.

**B. North Dakota Statewide Longitudinal Data System (NDSLDS) (Goals 4, 1, 3, NDUS):**

The Information and Data Executive Governance Steering Committee (IDEG) continues to work toward a vision of data governance, protection, security, accessibility, and usability for NDUS and its institutions. Resources are being added to this area, including the promotion of existing staff to Assistant Director of Reporting and Analytics, job description revisions for three other staff to include data-specific responsibilities, and additional budget dollars allocated to this project. Over the past year, IDEG has rolled out institutional and system office financial dashboards, completed a proof of concept for an NDUS data lake house, and developed an AI Acceptable Use Policy for NDUS (Completed, August 2023).

I will support the IDEG goals for the upcoming year to include further development of usable, standardized, and validated datasets across the domains of student enrollment, human resources, and financials; implementation of a functional NDUS data lake; and implementation of NDUS-specific artificial intelligence models and tools, beginning with a large language model that can be integrated into the ndus.edu website. To be completed in prototype form, by May 2024.

In closing, I want to thank all the SBHE members, Cabinet members, and the NDUS staff for your support and encouragement in the year past and express my excitement working together in the coming year, both in the day-to-day tasks of educating North Dakotans, but also the longer-term envisioning exercise now underway. I want to especially thank my staff for their remarkable efforts in continuing to provide a quality education for the people of North Dakota. It is an honor to serve on the team. The NDUS system of campuses has shown itself to be resilient in the day to day, as well as adaptive and transformative.
Addendum 1: Short List of Prioritized Goals

1. Dynamic Enrollment Environment, Retention, Attainment at the 11 Campuses (Goals 4, 3, NDUS):

   I approach this urgent goal with four time-framed methods:

   a. **Immediate term**, meaning now and ongoing, will be to continue support of campus presidents as they shift to stackable certificates and programs to appeal to adult learners who may be place bound. I approach this goal mindful that enrollment challenges vary from campus to campus, campuses are creating a significant number of certificate programs, but where possible, I will encourage campuses to collaborate and share certificates (e.g., as the DDA is building a digital GEN-ED). To assist this collaboration, the NDSO is developing resources to assist students in navigating a wide array of educational pathways, documentation of individual competencies and the ability to convey these skills to employers. I will continue to support these efforts and where possible, identify and share with the campuses new procedures or technology to promote participation in these initiatives to aid students in curating verifiable digital badges, micro credentials, and completed degrees. The goal is to provide secure transmission of credentials, so students have the ability to send their entire academic record or a pertinent certificate to potential employers. This is an ongoing effort, review of outcomes or issues, June 2024.

   b. **Short term**, meaning over the summer and available by October-November, is the rapid development of enhanced digital tools to help campus leaders better understand their enrollment environment (led by Dr. Weber). This tool was developed in July-August, and is an AI tool, named “Power BI”, to give more actionable data to individual campuses as they individually adapt their enrollment strategies. This program is in prototype now and was demonstrated to the Academic Affairs committee and anticipated to be available to campuses by October/November 2023.

   c. **Medium term** (to prepare potential 2025 legislation or other recommendations). At the SBHE meeting in June, the SBHE working group focused on best practices of student recruitment and enrollment was refocused to study the MN North Star Promise. As was discussed at the May SBHE meeting, even before the MN Plan emerged, the SBHE understood elevated inflation has been shown to put pressure on families to defer post-secondary education investments, which the tuition freeze is just now taking effect, and will monitor the results. Legislators with whom I have spoken are hopeful their funding of the tuition freeze may help mitigate the MN Plan, but it will require an extended period to evaluate the effects. Anticipate findings to the SBHE by December 2023, and budget or policy recommendations by June 2024 in time for the legislative budget proposals to the Governor.

   d. **Longer term** the ENVISION 2035 “Student of the Future” study to better understand the context and challenges expected to emerge in a longer time horizon. I and the system office will provide support to this study. For timeline, see ENVISION 2035 checklist and timeline.

   I will personally include the enrollment challenge in my Stakeholder Engagement and Legislative Engagement. To that end, detailed briefings have already been provided to the Legislative Interim committee and to the Governor’s staff (completed August 2023; briefings to Governor’s Workforce Development Council expected Sept 2023). I have held over a half dozen meetings over the Summer with legislators and members of several chamber members to highlight the urgency of the MN Plan to potential work force shortages. In parallel, I will continue to seek legislative support to reinstitute a systemwide recruitment
and marketing campaign to be included in SBHE budget in June 2024.

2. **SBHE Strategy Review: Envision 2035 (Goals 4, 1-6, NDUS)**

   In 2016, the State Board of Higher Education, the System Office and institutions, and numerous external stakeholders embarked on a two-year process to ‘envision’ the future possibilities of the NDUS. The resulting Envision 2030 report provided the strategic vision for the SBHE going forward. It has been five-plus years since that work was completed and we are embarking on an update to that work, ENVISION 2035. To that end, the SBHE has initiated an ENVISION 2035 process led by nine co-chairs of one SBHE member and one president or dean. The SBHE will seek insight and consensus from business and industry leaders, government, and civic leaders, and NDUS faculty and staff on nine study topics to include:

   - program of the future: agriculture;
   - program of the future: energy;
   - program of the future: digitization;
   - program of the future: healthcare;
   - student of the future;
   - teacher of the future;
   - infrastructure of the future;
   - human capital of the future, and;
   - values of the future.

   After listening and gathering data points from the experts, we will develop and incorporate key conclusions into a final Envision 2035 plan that will guide the SBHE strategic planning process. Team leads were identified in July 2023 and team formation is underway as of August 2023. Each team will hold periodic meetings and listening sessions. An update in-person meeting is scheduled for November 1. More specifics of the timeline are available in the ENVISION 2035 materials provided to SBHE members, to include key milestones, but may vary at the discretion of SHBE/Cabinet Co-Leaders of different study groups, but SHBE guidance is for final recommendations by December 2024, and draft recommendations by May 2024.

3. **Implementation of 68th Legislative Session law; Preparations for 69th Legislation Session in 2025 with emphasis on Legislative Interim Committees and Listening Sessions (Goals 4, 1-6, NDUS):**

   The main funding bill returned North Dakota higher education to previous 2017 levels, to include a substantial increase in construction and maintenance funding, as well as support for a tuition freeze and minimum amount payable. In addition, several bills passed that require follow up by the SBHE, system office, and campuses and will work to ensure we comply with the new state laws or intent of the legislature, key bills of which include:

   - HB 1446 (post-tenure review): This bill was defeated but the SBHE assured the House majority leader that the SBHE/NDUS office would conduct a zero-based study of Post Tenure Review. I will support the study effort and first meetings and data call created in July 2023. Expected completion by June 2024.
   - SB 2247 (specified topics): This started as “the divisive topics” bill and then morphed into “specified topics.” A similar bill passed in Tennessee recently, but shortly after its passage, it hit challenges and required amendments. We worked with the committee early on to
include the amended language from Tennessee to avoid the stumbling blocks they experienced. I will monitor NDUS compliance and will be prepared to update the legislative committee, if requested, Summer 2024.

• SB 2343: Requires the SBHE to establish a policy ensuring transparent communications between board members. The policy has been updated to reflect this change in law and I will work to ensure the expanded access as required, completed July 2023.

The legislature expects the NDUS office to support their Interim Higher Education Committee, as well as Interim Committee studies. It is a priority goal to meet this expectation, as fluid as it might be. To further prepare for the next session, I will conduct periodic “Legislative Listening Sessions” as I travel the state, and in conjunction, where possible, with the ENVISION 2035 workflow. In addition, in partnership with the Board Chair and Vice Chair, I will request additional Executive Branch Listening/Discussion meetings, to help align NDUS with emerging Governor’s priorities with those of the legislative feedback. Legislative studies which I will need to ensure our participation and engagement include:

• 1288/4 Public Private Partnerships and Infrastructure;
• 1003/4 Dual Credit;
• 1003/44: Impacts of Emerging Artificial Intelligence;
• 1341/1 Firearms to include Campus implications;
• 2122 Work Force Centers Funding Models;
• 3026 Formerly Incarcerated Individuals entry into the NDUS, among others. All studies to be completed by Summer-Fall 2024.

As will be discussed below, the ENVISION 2035 Strategy process will also support the effort to create potential new legislative requests. I will continue to engage with legislators, Governor, and Interim Committees to support existing legislative priorities of the SBHE, until amended by the Envision 2035 process or other SBHE direction. I will use multiple methods to engage the legislature, to include at least two quarterly meetings with legislators of Budget Section and the Interim Higher Education Committees (anticipated 8 total). In addition, I will hold at least one “Chat with the Chancellor” or “Lunch with Legislators” monthly over the year (anticipated 12 total). The topics to be discussed will be their feedback on their local college or university, briefings on our Envision 2035 process, and the below several priorities, previously approved by the SHBE, include:

• Secure future funding for the Workforce Innovation Fund.
• Work to expand “Career Builders” to include incentives for out-of-state workers for the energy industry (Senator Krebsbach bill), perhaps expanding this ‘ask’ to a more general out-of-state workforce/student recruitment.
• Expand funding levels for the Research Legacy Fund, which passed at a modest $5.5 million.
• Stabilization Fund for the NDUS, which was supported by the Governor in 2021. Have had preliminary discussions with Interim Committee members.
• IT and Physical Infrastructure: This topic has been moved to one of the Envision 2035 study groups, but I will continue to impress upon legislators that IT especially is on an escalating trajectory, to include the implications of Artificial Intelligence (AI).
• Systemwide Marketing: This request was not funded by the legislature, but as the Minnesota North Star Promise has shown, there is a need for some level of statewide
marketing.

4. **NDUS Office Development, Mentoring, and Morale (Goal 4, NDSO) (detailed action plan available upon request):**

The NDUS office, which is also known as the “Board Office,” is sometimes perceived as an orphan office, without a constituency of a loyal alumni network, but is nonetheless an absolutely essential team for the success of the SBHE and the unified system of North Dakota campuses. Maintenance of morale and career development is a priority use of my time. To that end, my goals are to:

a. Rebuild key positions in the office, to include the newly arriving Chief of Staff, new Executive Assistant, and the combined position of Director of Innovation and Economic Development. The filling of this Director of Innovation comes after a six-year lapse and will be a major focus of working with the new hire, Vice Chancellor of Academic Affairs, and Board members on how to assist campuses in their efforts toward innovation, adaptation, and transformation. (Fall 2023 fill position)

b. Evaluate and mentor six direct reports. (Spring 2024)

c. One-on-one meetings with various work divisions, to include soliciting feedback on improvement or other morale issues. (Spring 2024)

d. Team building through recognition, social events, annual retreat, and summer and Christmas events annually at my town home and farm (Winter 2023. Note: the detailed NDUS Office plan for evaluations, mentoring, onboarding is available upon request).

5. **Cabinet Cooperation, Cohesion, and Coordination (Goal 4, 5 NDUS) (detailed action plan available on request):**

a. Presidential Support, Mentoring, and Communication: My goal is to conduct bi-weekly calls with all presidents, either in person or over distance. This is approximately 20 half hour regularly scheduled calls or meetings. This does not include the frequent meetings in Bismarck or campus events or business, to include the Executive Engagement of two campuses annually.

b. UND/NDSU Collaboration in Research: Beginning during a very difficult time in UND-NDSU relations, I began a monthly three-way meeting to discuss issues of concern and areas of better collaboration. My goal is to continue this collaboration-promoting effort. This is approximately 12 calls per year, and more depending on emerging issues.

c. Cabinet Deliberations and Program Approval: The functioning of the cabinet in a cooperative and coordinated manner is an important factor in the success of the North Dakota Education System. These are monthly meetings, and require agenda creation, and substantial discussion and preparations. This also includes a Summer Retreat to follow the final SBHE meeting to begin developing goals. Also, a periodic Winter Retreat in off-legislative years. Approximately 11 monthly Cabinet meetings of several hours, and two full day retreats. Ongoing.

d. Presidential Goal Development and Evaluation: This effort of presidential goal alignment and annual evaluations is especially important as we have several new presidents in the cabinet, conducting significant campus reforms, and thus this effort requires a substantial part of my time, and includes detailed administration, record keeping, and in-person meetings and debriefings. For the first time in ten years, we have adopted a new less burdensome method and software for the Cabinet to map their detailed campus-specific goals to the SBHE six goals. The leadership and coordination of the campuses to SBHE goals is a major part of my personal attention, to include campus president mapping and then annual presidential evaluations, and collaboration among campuses where it makes sense and is supported by the presidents. Key
metrics in this effort include my annual Goal Letter following the SBHE Retreat/Final Meeting, to emphasize emergent issues that are not captured in the Six SBHE goals, for example, the Cabinet and my NDSO expended enormous time and effort on Covid and crafting responses to inflation, neither of which were made part of broader SBHE goals. Other metrics is timely presidential evaluations, both annual and 3-year comprehensive. (Goals September 2023, Evaluations Fall 2023/Spring 2024)

6. Promoting Hi Tech Innovation, Adaptation and Transformation in Research and Defense Work Force at Scale, State-Wide and Regional (Goals 4, 5, 6, NDUS)

a. CHIPS ACT/NDUS-NDSU-UND Collaboration. I am co-chairing weekly meetings with Senator Hoeven’s staff as we work to include North Dakota and the NDUS into the CHIPS and Science Act Hub Program, which will result in major gains in research and work force resources from the NSF. This has been a major focus of my effort the past couple goal cycles, resulting in the historic Mountains and Plains Innovation Alliance with ND, SD, WY, MT, and ID. Key miles and dates include Phase 1 proposal submitted in August, and Phase 2 due in late Fall. Metrics and milestones are available with NSF proposal guidelines which can be provided upon request. I also anticipate the ENVISION 2035 Study of Digitization will overlap in some of this effort and will assign the new Director of Innovation to support that study group.

b. AI Research Center for Five State Region, led by NDUS/UND: NSF has recently released a top priority program to establish Artificial Intelligence Research Centers in approximately six locations. The AI focus areas of Space/Geo Spatial and Materials fit strengths of the NDUS system and UND, as well as several colleges in our Five State Innovation Alliance. I am working closely with UND, the Federal Delegation, and several states that have responded positively to this possible historic partnership, to include in person meetings with a leading cyber research university in our region. The key metrics and milestones are delineated in the NSF proposal guidelines and can be provided upon request.

c. National Security Corridor (or TRIAD) UND-MiSU-NDSU: The Legislature and Governor have identified the national defense industry as a significant piece to a diversified state economy. The legislature appropriated substantial support to UND to build a “National Security Corridor.” I believe this effort, led by UND, can better reach scale by collaborating with the three campuses in Minot, Grand Forks, and potentially Bismark. To that end, I am personally engaging defense officials in my own network to promote NDUS as a research and work force asset; I have accepted an invitation to be the North Dakota representative on the National Defense Association Northern Tier board; and I am personally working to host the first NDIA conference in Minot in 2024. Key metrics and milestones are still in work, depending on NDIA approval and Minot Chamber priorities. Stretch goal would be to gain legislative support to include Minot and NDSU in any further state support of national security. Metrics would include preparation of budget submission, briefs to the Governor, and perhaps even ENVISION 2035 endorsement.

d. Director of Innovation and Economic Development on the NDUS Staff: Integral to this effort is refilling the position on my staff related to Innovation and Economic development. The shaping and evolving of this staff position to promote system-wide collaboration and innovation will be key to the aforementioned goals. A separate ‘on-boarding’ plan for this new position can be provided on request.
Addendum 2: Short List of Personal Areas of Focused Time:

1. SBHE Policy and Strategy Development: The ten members of the SBHE and eleven campuses are a repository of great knowledge and experience. I personally play a role in integrating the divergent views into a ‘unified’ and collaborative system. The integration of these views are ultimately manifest in policies and procedures. This is not an easy task, nor one that lends itself to specific metrics, but an essential one. I personally am engaged, as discussed earlier in the larger document, in three crucial efforts:
   a. the study of enrollment and a ‘way ahead’ (see above for detailed metrics)
   b. the SBHE Envision 2035 effort (please see ENVISION 2035 timeline for action milestones)
   c. Implementing Legislative direction of 68th session and preparing for the 69th (see above for detailed information). While my main role is integrating, coordinating the findings of the nine groups, I have also volunteered to serve on the “Values” group in the effort to propose a collaborative humanities network for the NDUS to be completed by June 2024.

2. State Board of Higher Education Member Support (Goals 1-6):
   I am the top-echelon support to the SBHE. Though per SBHE policy, I acknowledge that all the presidents work directly for the SBHE as well, they are not tasked with providing direct support except in the role of committee assignments or other collateral duties. I devote considerable attention and time to supporting the SBHE members in their committee assignments, and most recently in their ENVISION 2035 assignments. My goal is at least weekly communication with each board member and ensuring support of SBHE approved tasks and studies. Ongoing goal.

3. Cabinet Cooperation, Cohesion, and Coordination (Goal 4, 5, NDUS) (detailed action plan available on request):
   a. Presidential Support, Mentoring, and Communication: My goal is to conduct bi-weekly calls with all presidents, either in person or over distance. This is approximately 20 half hour regularly scheduled calls or meetings. This does not include the frequent meetings in Bismarck or campus events or business, to include the Executive Engagement of two campuses annually.
   b. UND/NDSU Collaboration in Research: Beginning during a very difficult time in UND-NDSU relations, I began a monthly three-way meeting to discuss issues of concern and areas of better collaboration. My goal is to continue this collaboration-promoting effort. This is approximately 12 calls per year, and more depending on emerging issues.
   c. Cabinet Deliberations and Program Approval: The functioning of the Chancellor’s Cabinet in a cooperative and coordinated manner is an important factor in the success of the North Dakota University System. These are monthly meetings, and require agenda creation, and substantial discussion, and preparations. This also includes a Summer Retreat to follow the June SBHE meeting to begin developing goals. Also, a periodic Winter Retreat in off-legislative years. Approximately 11 monthly Cabinet meetings of several hours, and two full day retreats. Ongoing.
   d. Presidential Goal Development and Evaluation: This effort of presidential goal alignment and annual evaluations is especially important as we have several new presidents in the Cabinet, conducting significant campus reforms, and thus this effort requires a substantial part of my time, and includes detailed administration, record keeping, and in-person meetings and debriefings. For the first time in ten years, we have adopted a new less burdensome method and software for the Cabinet to map their detailed campus-specific goals to the SBHE six goals.
The leadership and coordination of the campuses to SBHE goals is a major part of my personal attention, to include campus president mapping and then annual presidential evaluations, and collaboration among campuses where it makes sense and is supported by the presidents. Key metrics in this effort include my annual goal letter following the SBHE Retreat/June meeting, to emphasize emergent issues that are not captured in the six SBHE goals, for example, the Cabinet and my staff expended enormous time and effort on Covid and crafting responses to inflation, neither of which were made part of broader SBHE goals. Other metrics include timely presidential evaluations, both annual and 3-year comprehensive. (Goals September 2023, Evaluations Fall 2023/Spring 2024)

4. NDUS Office Development, Mentoring, and Morale (Goal 4, NDSO) (detailed action plan available upon request):
   The NDUS office, which is also known as the “Board Office”, is often perceived as a thankless job, but absolutely essential. Maintenance of morale and career development is a priority use of my time. To that end, my goals are to:
   a. Rebuild key positions in the office, to include the newly arriving Chief of Staff, new Executive Assistant, and the combined position of Director of Innovation and Economic Development. The filling of this Director of Innovation comes after a six-year lapse and will be a major focus of working with the new hire, Vice Chancellor of Academic Affairs, and Board members on how to assist campuses in their efforts toward innovation, adaptation, and transformation. (Fall 2023 fill position)
   b. Evaluate and mentor six direct reports. (Spring 2024)
   c. One-on-one meetings with various work divisions, to include soliciting feedback on improvement or other morale issues. (Spring 2024)
   d. Team building through recognition, social events, annual retreat, and summer and Christmas events annually at my town home and farm. (Winter 2023) (Note: the detailed NDUS Office plan for evaluations, mentoring, onboarding is available upon request).

5. Campus Financial and Academic Reviews and Approvals:
   It may not be well known, but I am a signatory of all NDUS biennial budgets, twenty entities in all. In addition, I personally approve the budget guidelines, campus requests (tuition changes, course fee requests, capital projects, room, and board). Similarly, I review and approve all academic requests. I know many of these requests are urgently needing approval and my goal is ensure rapid turnaround, within the month they are received or by first scheduled committee meetings. Ongoing goal.

6. Stakeholder Engagement to Enhance Communication and Build Support for the NDUS (detailed action plan available upon request):
   As noted previously in my goals, I devote personal time and effort to legislative relations as well as weekly meetings with senior members of the Governor’s staff. This is ‘off year’ so the engagements are focused on building support for SBHE and NDUS needs in the 2025 Legislative Session. In addition, I have set a goal to publish in up to two North Dakota campus publications and help teach at least one class. A separate engagement strategy document can be provided upon request that provides information on upcoming committees and meetings. In addition, I see my role as a spokesman for the NDUS to engage industry and media outlets, as well as publications and public speaking. Again, details can be provided in my separate engagement plan.
7. Promoting SBHE/NDUS Priorities in North Dakota State Government and In the Region and Nationally:

a. I devote substantial personal effort representing NDUS/SBHE in the Joint Boards, the CTE Board, the Governor's Cybersecurity education and training “K-20W” Initiative, the Governor's AI Task Force. My goal is to engage personally with each, and to that end have already attended the first meetings, retreats, and offsites, and will personally present at the Joint Boards in September on NDUS response to digitization and AI. The time demands of the Governor’s K-20W Initiative is unknown at this point, but the CTE Board requires monthly meetings, and Joint Boards is annual. The recent CTE Board offsite in September featured NDUS and the Minnesota free tuition program, which is believed to have potential work force implications.

b. Related, I am on several regional compacts and national education associations and will speak at the AGB meeting in DC on the needs of rural education and have been invited to the APLU annual meeting on the implications of AI on education, lessons of both of which I hope will enhance our NDUS planning.

c. CHIPS ACT/UND-NDSU Collaboration. I am co-chairing weekly meetings with Senator Hoeven’s staff as we work to include North Dakota and the NDUS into the CHIPS and Science Act Hub Program, which will result in major gains in research and work force resources from the NSF. This has been a major focus of my effort the past couple years, resulting in the historic Mountains and Plains Innovation Alliance with ND, SD, WY, MT, and ID.

d. National Security Corridor (or TRIAD) UND/MiSU/NDSU: The Legislature and Governor have identified the national defense industry as a significant piece to a diversified state economy. The legislature appropriated substantial support to UND to being to build a “National Security Corridor.” I believe this effort, led by UND, can better reach scale by collaborating with the three campuses in Minot, Grand Forks, and potentially Bismarck. To that end, I am personally engaging defense officials in my own network to promote NDUS as a research and work force asset; I have accepted an invitation to be the North Dakota representative on the National Defense Association Northern Tier board; and am personally working to host the first NDIA conference in Minot in 2024.
The officers of the SBHE shall be a chair and a vice chair.

1. The chair shall be elected by the SBHE from its members and shall serve for a term of one year or until a successor is elected and qualified. No SBHE member shall be eligible to serve more than two consecutive terms as chair. The chair has no authority to make decisions or to establish policy on behalf of the SBHE except as specifically delegated the authority to do so by the SBHE. The SBHE has delegated the following authority to the chair:

   a. The chair or the Chancellor, pursuant to the authority provided to the Chancellor in SBHE Policy 304.1, shall be the spokesperson of and represent the SBHE by explaining, defending, advocating, and/or announcing SBHE-stated and –approved positions.

   b. As elected leader of the SBHE, the chair has the ultimate responsibility for assuring the beliefs and core values adopted by the SBHE are known to all SBHE members and that the SBHE strives to uphold these values at all times.

   c. The chair shall be responsible for the efficient operation of the SBHE including a SBHE-established planning and action cycle.

   d. The chair shall ensure that new SBHE members are informed of their responsibilities and oriented to the operations of the SBHE. The chair, with the Chancellor’s assistance, shall arrange for an orientation program after a new member is appointed. The new member orientation program shall include opportunities for new members to become familiar with NDUS institutions and programs, such as campus tours or other events scheduled with SBHE meetings, new member visits to campuses, an on-line tour or other suitable means.

   e. The chair shall lead SBHE meetings by exercising all commonly accepted responsibilities of that position.

   f. The chair may call special meetings of the SBHE pursuant to the provisions of the SBHE Policies.

   g. The chair shall communicate directly and consult with other SBHE members and the Chancellor as frequently as necessary and consistent with applicable open meetings and open records laws, to assure the SBHE members and the Chancellor are kept informed on issues relevant to the SBHE duties and responsibilities.
h. The chair may appoint ad hoc committees to advise the SBHE.

2. The vice chair shall be elected by the SBHE from its membership and shall serve for a term of one year or until a successor is elected and qualified. The vice chair shall act as the chair in the absence of the chair and shall have such other duties, powers, and responsibilities as may be assigned by the SBHE or the chair. If the office of the chair becomes vacant during the elected term, the vice chair shall perform the duties of the chair as acting chair until a new chair is elected to fill the vacant chair position and serve the balance of the unexpired term.

3. The SBHE shall appoint an executive secretary to serve at the pleasure of the SBHE. The executive secretary shall be responsible to the Chancellor and shall be charged with the responsibility of recording, maintaining, and distributing a record of all the SBHE meetings and performing such other duties as the SBHE or the Chancellor may direct.

4. The election of officers of the SBHE shall be held not later than May each year. Nominations may be made and voting conducted at the same meeting. The terms of office shall begin July first. If an office is vacated, an election to fill the unexpired term shall be held at the next regular meeting of the SBHE.
Dickinson State University

Decision Regarding Retrenchment and Reorganization

by DSU President Stephen D. Easton

September 27, 2023

This document will outline background information, my decisions regarding retrenchment and reorganization, and my directives for Dickinson State University (DSU). In consideration of possible discontinuation of tenured faculty lines, DSU has followed the procedures outlined by DSU Faculty Handbook §§ II.F.5.a, II.I.1, and II.I.2, which were adopted prior to my service as DSU President, as directed by State Board of Higher Education (SBHE) Policy 605.3(6).

Background

Pursuant to SBHE Policy 605.3 and DSU Faculty Handbook §§ II.F.5.a and II.I.1, on August 8 and 9, I sent emails to DSU Faculty Senate President Pete Leno and the Faculty Senate, respectively, noting the possibility of termination of tenured appointments due to conditions described in SBHE Policy Section 605.3(6). As a courtesy—to advise faculty and staff of this development—the August 9 email was sent to the faculty listserv, which presumably includes all Faculty Senators, and to the staff listserv.

The August 9 email asked the Faculty Senate to: “(a) formulate a proposal to recommend priorities within the general academic program that could guide change or reduction with minimum impact on the University mission; (b) hold hearings and seek opinions from the faculty in the development of the proposal; and (c) forward the Senate’s recommended proposal directly to me.” It set out a timeline for the processes called for by the DSU Faculty Handbook. It also asked the Faculty Senate, in making its recommendations, to “please be mindful that SBHE Policy 605.6 [sic] states, ‘In such cases as described in this subsection, significant consideration shall be given to length of service and tenure status in the retention of faculty members within the affected academic unit or program area, curriculum requirements, professional achievements, breadth of competence, and equal employment opportunity.’”

The “Reasons for Proposed Program Elimination and Reorganization” section of the email to the Faculty Senate stated:

There are several factors that have led me to conclude that DSU needs to eliminate academic programs and reorganize Academic Affairs. I will outline several of them here.

Our mission statement proclaims that DSU’s “primary role is to contribute to intellectual, social, economic, and cultural development, especially to Southwestern North Dakota.” The unfortunate reality is that programs with low enrollment, even in subject matter areas that could be beneficial, do not make substantial contributions to these important goals, because they are not reaching sufficient numbers of learners to make substantial contributions. Furthermore, these programs require the expenditure of limited resources that could be better used to support programs that do reach substantial numbers of students and, therefore, make substantial contributions to our mission, as outlined in the fourth objective of Strategic Goal 2 of DSU’s 2021-2026 strategic plan, “5 Years In Focus: A Blueprint for DSU’s Future” (“Provide resources to programs with increasing student demand.”).
DSU Strategic Goal 1 is to “provide relevant programs students want—when and where they want them.” This is consistent with Goal # 2 of the State Board of Higher Education’s strategic plan: “Provide access to programs people want, where and when they need them.” If we have not attracted significant numbers of students to a program that has existed for long enough to establish a track record, it is, regardless of our view of its potential and our hopes and best wishes for the program, not a relevant program that students want.

Our accreditor, the Higher Learning Commission, has repeatedly raised concerns about the stress that low enrollment programs place on DSU’s ability to properly serve our students. In its March 2-4, 2015 “Report of a Comprehensive Evaluation Visit,” at p. 31, the Higher Learning Evaluation Team that visited DSU stated that “it appears that more can be done to assist students to select and complete their programs. One dimension of this may be the excessive number of programs offered, raising questions about the ability to support these, and the excessive number of independent studies required to enable students to complete degrees. The team notes many programs, such as those in fine and performing arts, that enroll only 1-5 students each year.”

Later in the same report, at p. 35, the HLC site visit team stated: “For the size of its current student body, DSU has an inordinate number of academic programs. While faculty and administrators argue for broad programming to serve the needs of residents of western North Dakota, the key notion of resource allocation simply must be addressed. Systematic and integrated planning may well lead to the conclusion that small programs with few graduates are a luxury that cannot be afforded given the current environment faced by DSU. Related to this financial concern is a question about academic integrity when in order to enable students to complete programs, many independent studies are required.”

In its 2019 report, the HLC Mid-Cycle Review team noted ongoing concern over the large number of programs at DSU relative to its size. At p. 38, the Mid-Cycle review team stated: “The HLC team in 2015 identified program integrity as an area requiring interim monitoring. Specifically, they noted that the institution offered too many degree programs and that some of the programs had low enrollment which presented a challenge in offering a sufficient number of courses to ensure students’ timely graduation. A related issue is that students at DSU had to take a significant number of directed studies to complete some degree programs, raising the question of whether such behavior compromised the integrity of those degrees. Since the 2015 visit, DSU has decreased the number of degree programs from 51 to 40, which addresses part of the concern identified by the 2015 team. While a sign of progress, it is still the case that directed studies appears to be used as an alternative modality for courses needed for degree completion without specifying the reasons or ensuring the equivalency of student learning outcomes.”

Thus, the presence of low-enrollment courses is a potential accreditation concern. We need to address this issue before our accreditation site visit in the fall of 2024.

There are also direct financial concerns. SBHE Goal 2 is: “Optimize student affordability while maintaining campus financial health.” Similarly, DSU’s Strategic Goal 2 is to “develop a financial plan that will support our mission and vision.” Low enrollment programs require the expenditure of resources, including those provided by students through tuition and course fees, without a substantial return. Ultimately, it is the students and the taxpayers who provide the
funds for all of our programs. Maintaining low enrollment programs is not a wise use of those resources.

Although the proposed program elimination and reorganization outlined here looks to the future, not just the present, current budget considerations drive home the importance of financial viability in selecting which programs DSU should maintain. Though the NDUS budget passed by the Legislature and signed by the Governor was generous to NDUS and, therefore, DSU, in adjusting the funding formula to reflect the 6%/4% raises for our employees, that budget did not provide any increase in funding formula payments to pay for the impact of inflation in the non-compensation portion of DSU’s spending over the last biennium, or the high likelihood of continuing inflation in the just-started biennium. Also, the Legislature and the Governor adopted a system-wide tuition freeze, so we cannot raise tuition to pay for these increased expenses (even if we wished to do so, though we do not). We now face a budget crunch.

Thus, I believe it is necessary for us to provide for the future success of DSU by reducing our compensation expenses, especially for faculty lines, including tenured faculty lines. In my judgment, there is very little room for savings in the rest of our budget, due to the expense reductions DSU adopted in January of 2020. The January 2020 expense reductions affected essentially every portion of DSU’s budget, with one major exception: tenured faculty lines. Unlike untenured faculty lines and staff positions, no tenured faculty member experienced discontinuation of employment in January 2020. In my judgment, while any cuts resulting in loss of employment will be painful, we must now put the possibility of discontinuing faculty lines, including tenured faculty lines, on the table for consideration.

This section of the August 9 email also noted “the possibility of elimination of a small number of staff positions, particularly Administrative Assistants (as suggested below in the reorganization proposal). But staff positions were cut substantially in January of 2020, so we do not expect a large number of staff positions to be involved in this round of reductions in force.” This section of the email also reiterated that “I have determined that tenured faculty members may be ‘terminated pursuant to loss of institutional or program enrollment, consolidation of academic units or program areas, or elimination of courses.’ See SBHE Policy 605.3(6).”

The August 9 email had attachments outlining the Academic Affairs upper administration’s analysis of many of the factors outlined in DSU Faculty Handbook § II.I.2. Some corrections have now been noted and some data presented in these attachments is now overridden by later data, but there has been no major change in the overall effect of the data.

On Monday, August 14, starting at 3:00 p.m., we held a General Faculty Meeting where I presented pertinent facts on which the decision to eliminate programs was based, as directed by DSU Faculty Handbook Sections II.F.5.a(1) and II.I.1(1). All faculty were invited to attend and participate. Several faculty members and others did provide feedback.

On September 15, 2023, following a series of meetings and discussions and within the deadline I had set, the Faculty Senate delivered a document with the file name “Faculty Senate Responses to Retrenchment and Reorganization” to me and to the Administrative Review Committee.
By copy of my August 9 email to him, I asked Provost Huijian Dong to form an Administrative Review Committee in accordance with DSU Faculty Handbook Sections II.F.5.a(3) and II.I.1(3). He did so, with Dr. Joan Aus, Dr. Huijian Dong, Dr. Marcus Fries, Dr. Holly Gruhlke, Dr. Lori Hauf, and Dr. Jeff Wells as members of the committee, and with Director of Human Resources Krissy Kilwein and Registrar and Director of Academic Records Kathy Meyer as ex officio members.

As called for by DSU Faculty Handbook §§ II.F.5.a(3) and II.I.1(3), at the direction of the Provost, the Administrative Review Committee (ARC): reviewed the Faculty Senate proposal; held hearings on Monday, September 18 and Tuesday, September 19, 2023 which I attended, where potentially affected faculty members and chairs were allowed to present information for up to forty uninterrupted minutes plus up to fifteen minutes of answering questions proposed by ARC members and curated by the Provost (and, in one brief instance, the Vice President acting on behalf of the Provost); held further meetings (which I did not attend); and gathered further information. On September 25, the ARC made preliminary recommendations to me on reduction in force, retraining, and transfer of faculty, considering remedies to maintain both the integrity of the faculty body and the University curriculum as it reflects the University mission. The ARC confirmed that my understanding regarding a portion of its recommendations was correct via a September 26 email.

The procedure established by the DSU Faculty Senate states, “It will be the responsibility of the President to make final decisions based upon the Senate recommendations and the Administrative Review Committee.” DSU Faculty Handbook §§ II.F.5.a(3) & II.I.1(3). I have made these decisions. This document outlines them. Pursuant to DSU Faculty Handbook Sections II.F.5.a(3) and II.I.1(3), I have worked to notify affected individuals of my decision through established administrative channels.

**Items Considered**

Before and during the Faculty Senate's process, as outlined above, many items have been reviewed. Significant consideration has been given to the most significant of these items, including:

1. DSU Mission, Vision, and Core Values
2. DSU Strategic Plan: 5 Years in Focus: A Blueprint for DSU's Future (2021-2026)
3. NDUS Strategic Plan, including Objectives and Outcomes reports
4. SBHE Policy 605.3
5. DSU Faculty Handbook §§ II.F.5.a, II.I.1, and II.I.2 (adopted by DSU Faculty Senate)
6. DSU Institutional Review Board policies and forms, available at or through https://dickinsonstate.edu/academics/academic-resources/research-and-scholarly-work/institutional-review-board-irb/index.html
7. DSU enrollment data
8. DSU budget and financial data
9. Market potential data

10. Attachments to August 9 email

11. HLC accreditation reports regarding DSU

12. DSU Academic Unit Vital Signs Reports for spring of 2023 (some of which were provided after, sometimes well after, the deadlines set for these reports)

13. Faculty Senate Responses to Retrenchment and Reorganization (September 15, 2023) (Faculty Senate Recommendation)

As is the case with some of the other items listed here, there are allegations, opinions, conclusions, and other statements in the Faculty Senate Recommendation that I disagree with or believe to be unrealistic. Although it is tempting to dispute some or all of these statements in this document, I will generally resist that temptation. This is a decision designed to resolve important matters so DSU can move forward toward additional success, not an argument that will lead only to further argument, which would not be productive. The absence of this type of response here should not be interpreted as agreement with statements in the Faculty Senate Recommendation.

There are also statements in the Faculty Senate Recommendation that, in my view, are quite persuasive:

- The “Overview” statement “Faculty Senate strongly urges the Academic Retrenchment [sic] Committee (ARC) not to cut any Teacher Education programs. . . . Faculty Senate recommends that all Teacher Ed programs streamline the number of credits required for students to graduate with a secondary education degree, and that this process be Faculty driven.” Although I believe this process requires both administrative and faculty input, I agree that several programs need to be streamlined so that students have a reasonable path to graduation in four academic years. In the same vein, please also see the “Opportunities for Growth” section of the Faculty Senate Recommendation entitled, “Teacher Education opportunities.”

- The “Opportunities for Growth” statement “Course scheduling Course scheduling should be completed in a strategic manner. Currently, the course schedule includes too many courses at the peak times (such as 10 a.m. and 11 a.m. MWF). This limits student choice and reduces the number of relevant courses available. Students seeking to take a heavier course load may be prevented from doing so because of a lack of relevant courses.” I, too, am concerned that course schedules need to be driven by a desire to ease paths to success and graduation for students, not by other considerations like faculty convenience or preference. I look forward to and encourage schedule changes made in the best interest of students. Via this document, I direct the Provost to direct a review of schedules and scheduling and, where possible, adopt this recommendation from the Faculty Senate in future scheduling.
• The “Opportunities for Growth” statement “**Four-year guarantee** If a student declares a major (and minor if required) at enrollment, does not change programs, and satisfactorily completes at least 16 hours each fall and spring semester then the university guarantees the student will be eligible for graduation after four years, with BS, BA and/or BBA degrees, and ready for a (paid if possible) preservice teaching assignment in BSED degrees. Faculty would need to lead a process that ensures all degrees have a plan of study and effective advising to ensure timely graduation.” While I agree with the sentiment of revamping majors, where needed, to provide reasonable paths to graduation in four years by emphasizing students, not others, in scheduling, I am not certain a university as small as ours with as many majors being offered, even after this process, can offer guarantees, though this idea is worthy of consideration. Further, I believe the administration, not just the faculty, must participate in revamping of programs and schedules, to help ensure that faculty interests are not allowed to overcome the need, which the Faculty Senate Recommendation recognizes, for student concerns to be predominant in these processes. Finally, I recommend revamping, if necessary, secondary B.S.Ed. degrees to allow diligent students to graduate in four years, not four years plus the needed time for a preservice teaching assignment, where possible within accreditation standards.

• The “Opportunities for Growth” statement “**Encourage students to stack credentials** Increase program completion—and unlock funding formula incentives for DSU—by advising students to complete associate’s degrees, minors and/or certificates in addition to their bachelor’s degree programs.” Via Dual Mission, career and technical education, and other efforts, the administration has championed credential stacking. The administration is heartened by the Faculty Senate’s adoption of this important initiative.

• The “Opportunities for Growth” statement “**Collaboration** Also, we should be working on additional collaborative opportunities on campus and within the NDUS. For instance, in mathematics education, if there are 9 math courses that are in common to the three universities in the 200 and above that are primarily taught to mathematics majors (BS or BSED), each of the three campuses [could] teach 3 of those courses, to their own students and those on the other two campuses. This way each campus could maintain a full-time professor to advise and answer questions, and students in extracurricular activities can participate at their home campus, but money could be saved.” Although the details of the Faculty Senate’s example are affected by the decisions here, I agree with the view that DSU needs to cooperate with other NDUS institutions to continue to provide multiple curriculum and perhaps program options for DSU students (and those at other NDUS institutions) without necessarily having to incur the full costs of DSU faculty to teach all courses. Like the Faculty Senate, I support collaboration and consortia that offer resources that enhance student degree and program options.

These statements have guided the decisions outlined here, but not completely controlled them. For example, these decisions maintain almost all Education majors that were under review, with one exception, Math Education. As noted below, these decision reflect an expectation that we will provide a pathway for our Secondary Education students to continue to quality to teach Mathematics despite the discontinuation of our Mathematics Education major.

15. Administrative Review Committee Preliminary Recommendations (September 25, 2023) and email confirming correct interpretation (September 26, 2023)

16. Emails, letters, and other comments to DSU President or ARC, including comments from faculty and others at the August 14 General Faculty Meeting referenced above, from students and others at an August 31 Open Forum for students, and from alumni and other DSU supporters at a September 11 discussion.

17. Posters, news stories, and other communications regarding fine arts provided by University Relations.

18. Faculty Information Report Cards submitted by some faculty in response to the ARC request for SBHE Policy 605.3(6) faculty information about “length of service and tenure status in the retention of faculty members within the affected academic unit or program area, curriculum requirements, professional achievements, breadth of competence, and equal employment opportunity.”

19. B.S.Ed. in Biology Education and B.S.Ed. in Chemistry Education proposals sent via email to the ARC on September 28.

20. Possible Mathematics Education program revision (submitted via email by a Mathematics faculty member to ARC on September 24, 2023)

**Majors (and Tenured Faculty Positions) Discontinued**

Subject to submission of the appropriate forms and other information to the North Dakota University System, the SBHE, and appropriate SBHE committees, the following majors will be discontinued:

- Communication
- Information Analytics
- Mathematics
- Mathematics Education
- Music (i.e., non-education Music major)
- Political Science
- Theatre

For these majors, we will also eliminate most or all upper division courses. Teach out plans are under development for any students in these majors. We will do our best to create plans for the students enrolled in programs being phased-out or help them find equivalent programs at other North Dakota
University System (or other) institutions. Furthermore, DSU will make substantial efforts to offer coursework and related activities as follows:

- A concentration and perhaps a minor in Digital Media under the English, English Education, or Business programs.
- Sufficient courses, including those taught by faculty from other NDUS institutions, to qualify Secondary Education graduates to teach Mathematics
- Political Science courses and possibly a minor under the Composite Social Science program.
- Theatre courses and possibly a concentration or minor under the English or English Education program, plus continuing participation opportunities in theatre.

In working on these possibilities, it will be expected that the number of courses offered in these disciplines will reduce substantially, with consolidation of several courses into one course when feasible. Collaborations with other NDUS institutions that can help us give students opportunities beyond those provided by DSU faculty should be vigorously pursued.

The following currently tenured faculty members and positions will be discontinued, as of September 30, 2024:

- Faculty member who has customarily taught primarily in Mathematics
- Faculty member who has customarily taught primarily in Mathematics and Mathematics Education
- Faculty member who has customarily taught primarily in Music
- Faculty member who has customarily taught primarily in Political Science
- Faculty member who has customarily taught primarily in Theatre

In addition, where current faculty members in discontinued majors have announced, or in the future will announce, their intention to vacate their positions, these faculty lines will be considered discontinued and closed, absent written approval by the President re-opening them.

As noted in the August 9 email, I will accept written requests for review by any of the faculty members referred to above, until the end of the working day on October 17, 2023, per SBHE Policy 605.3.6.c. which states, "The provisions of section 605.4 do not apply when a tenured faculty member is terminated under this subsection. The faculty member may, however, within twenty calendar days of receipt of notice of termination, file a request for review under processes established at the institution for that purpose." Requests for review will be in writing only. Any faculty member referred to above is allowed to submit a request for review in writing to me, along with materials that the affected faculty member would like me to review. I will review submitted materials of reasonable length or will review a reasonable portion of materials of unreasonable length. On or before Friday, November 3, 2023, I will provide a response to faculty members who requested review and submitted written materials for me to review, as outlined above.

The following majors are retained, subject to the understandings noted below:
• Chemistry and Chemistry Education (with the understanding that the Chemistry and Chemistry Education majors will be revamped during the current catalog review cycle to be concluded and adopted during the 2023-24 academic year as indicated in the B.S.Ed. in Chemistry Education proposal sent via email to the ARC on September 22, to provide majors that require 122 credits or less, and with the understanding that success must be achieved in meeting student major enrollment goals of 14 in 2024-25, 16 in 2025-26, 18 in 2026-27, and 20 in 2027-28 and toward graduation goals of 4 in 2024-25, 5 in 2025-26, 6 in 2026-27, and 7 in 2027-28, for the Chemistry and Chemistry Education majors, combined, or one or both majors and related faculty lines may be discontinued as an extension of the decisions made here, without further procedures under SBHE Policy 605.3 or DSU Faculty Handbook §§ II.F.5.a, II.I.1, or II.I.2, or similar or replacement policies and procedures). Failure to complete the curricular changes noted here on or before May 1, 2024, will result in termination of these majors and related faculty lines, as identified by the administration.

• Computer Technology Management (with the understanding that the Computer Science and Computer Technology Management majors will be revamped during the current catalog review cycle to be concluded and adopted during the 2023-24 academic year, including as discussed in the 2023 departmental Academic Vital Signs Report, if necessary, to majors that are offered face-to-face, via DSUiLive®, and asynchronously and require 128 credits or less and with the understanding that success must be achieved in meeting combined student major enrollment goals and graduation goals, to be set later by the administration, or one or both majors and related faculty lines may be discontinued as an extension of the decisions made here, without further procedures under SBHE Policy 605.3 or DSU Faculty Handbook §§ II.F.5.a, II.I.1, or II.I.2, or similar or replacement policies and procedures). Failure to complete the curricular changes noted here on or before May 1, 2024, will result in termination of these majors and related faculty lines, as identified by the administration.

• English and English Education (with the understanding that the faculty position to be vacated on December 31, 2023 will not be filled, with no additional compensation or release for the WIC/WAC and committee work, and with the understanding that the recently revamped English and English Education majors will continue to require 128 credits or less, and with the understanding that success must be achieved in meeting student major enrollment goals and graduation goals for each major, to be set later by the administration, or the major and related faculty lines may be discontinued as an extension of the decisions made here, without further procedures under SBHE Policy 605.3 or DSU Faculty Handbook §§ II.F.5.a, II.I.1, or II.I.2, or similar or replacement policies and procedures). Failure to complete the curricular changes noted here on or before May 1, 2024, will result in termination of these majors and related faculty lines, as identified by the administration.

• Environmental Science (with the understanding that the vacated Natural Sciences chair/Biology faculty line will not be replaced and with the understanding that the
Environmental Science major will be revamped during the current catalog review cycle to be concluded and adopted during the 2023-24 academic year, to provide that only two or less courses taught in alternate years are needed for this major that are not needed for other Science majors, and with the understanding that success must be achieved in meeting student major enrollment goals of 6 in 2024-25, 8 in 2025-26, 10 in 2026-27, and 12 in 2027-28 and toward graduation goals of 4 in 2024-25, 5 in 2025-26, 6 in 2026-27, and 7 in 2027-28 or the major and related faculty lines may be discontinued as an extension of the decisions made here, without further procedures under SBHE Policy 605.3 or DSU Faculty Handbook §§ II.F.5.a, II.I.1, or II.I.2, or similar or replacement policies and procedures). Failure to complete the curricular changes noted here on or before May 1, 2024, will result in termination of this major and related faculty lines, as identified by the administration.

- Music Education (with the understanding that the Music Education major will be revamped during the current catalog review cycle to be concluded and adopted during the 2023-24 academic year, to a major that will require 128 credits or less and with the understanding that success must be achieved in meeting student major enrollment goals and graduation goals, to be set later by the administration, or it and related faculty lines may be discontinued as an extension of the decisions made here, without further procedures under SBHE Policy 605.3 or DSU Faculty Handbook §§ II.F.5.a, II.I.1, or II.I.2, or similar or replacement policies and procedures). Failure to complete the curricular changes noted here on or before May 1, 2024, will result in termination of this major and related faculty lines, as identified by the administration.

The Biology and Biology Education programs, though not directly under review in this process, will be revamped during the current catalog review cycle to be concluded and adopted during the 2023-24 academic year, to majors that will require 122 credits or less, as outlined in the B.S.Ed. in Biology Education proposal sent via email to the ARC on September 22, and with the understanding that success must be achieved in meeting student major enrollment goals of 14 in 2024-25, 16 in 2025-26, 18 in 2026-27, and 20 in 2027-28 and toward graduation goals of 4 in 2024-25, 5 in 2025-26, 6 in 2026-27, and 7 in 2027-28, for the Biology and Biology Education majors, combined.

The requirements for 128-credit maximum majors, as outlined above, as well as other matters outlined in this document, are subject to accreditation guidelines. The administration will be responsible for granting any waivers to reflect accreditation requirements, following presentation by the faculty in the affected majors of information allegedly establishing a need for such waivers. No dean, faculty member, or other individual is allowed to grant or assume such waivers in the absence of a written waiver approved by the Provost (or the President acting on behalf of the Provost in an emergency).

Reorganization

To reflect the changes outlined above and to reduce the number of FTE devoted to administration, including (under the current/former structure) chairs, Academic Affairs will be reorganized, effective January 1, 2023, into four Schools:
School of Applied Sciences

Nursing
Biology
Chemistry
Environmental Science
Computer Science and Computer Technology Management
Master’s – Biology (proposed, in early stages of consideration)

School of Education

Elementary Education
English and English Education
Music Education
Biology Education
Chemistry Education
Composite Social Science (teaching and non-teaching) (including Political Science courses)
History and History Education
Responsibility for Secondary Education path to Mathematics teaching certification
Master’s- Master of Arts in Teaching, Master of Education- Elementary Education, Master of Education- Educational Leadership, Master of History (proposed)

School of Professional Studies

Agriculture
Technical Studies
Exercise Science, Health Education, and Physical Education
Psychology
Criminal Justice
Master’s- Sport Administration

School of Business and Entrepreneurship

Accounting
Administration
Economics
Esports
Finance
Human Resources
Business Education
Bachelor of Applied Science
Bachelor of University Studies
Master's- Master of Business Administration, Master of Entrepreneurship

**Theodore Roosevelt Honors Leadership Program**

Instructors and personnel in non-majors (including those discontinued here) will be assigned by the Provost to a school, for teach outs of discontinued programs, minors, and other courses.

The two-college system is eliminated. All academic deans and the part-time director of the TRHLP program, along with the Directors of Stoxen Library, Academic Records, and Institutional Research, will report directly to the Provost. Most Academic Affairs departments responsible for matters other than course delivery, i.e., Student Affairs (the Dean of Students), University Relations, Admissions, DSU-Bismarck, DSU-Williston, and Special Projects, will report to the Vice President. The President will serve as the University's chief academic officer, with the assistance of the Vice President and the Provost.

This restructuring eliminates 5 administrative roles, moving from 9 chairs to 4 deans. Dean positions will be 75% administrative and 25% teaching, so that deans will teach approximately one three- or four-credit course per semester (unless scheduling concerns would make it better for our students to have the dean teach two courses in one semester and none in the other semester). Thus, this restructuring will reduce the current/former 4.5 administrative FTE at the chair level to 3.0 FTE at the dean level.

In the recent restructuring at the VP/Provost level, we reduced administrative positions from 2.5 FTE (one full-time VP/Provost, one full-time dean who had .25 responsibility for Admissions and .25 FTE responsibility for University Relations, plus another half-time dean) to 2.0 FTE (one full-time Vice President and one full-time Provost). Thus, we have moved from 7.0 FTE devoted to Academic Affairs administration a year ago to 5.0 FTE.

To provide our students with more efficient and effective teaching, we will now engage in the following endeavors:

1. Revising or creating, to the extent necessary, policies, procedures, directives, and position descriptions to reflect the changes outlined above.

2. Revamping, as necessary, academic majors to provide a reasonable four-year path to graduation for our students at 128 credits or less (unless a lower total is specified above, directed, or agreed to), for the programs listed above and any others that require this restructuring.

3. Requiring, as a contract clause and as a condition of continued employment and part of the definition of full load without additional compensation, each full-time instructor to have
sufficient students registered in their classes on the first Friday of each Fall and Spring Semester to produce at least 180 credits, if all students registered on this date successfully completed the course, with enrollment multipliers in very limited instances for courses designated in writing by the Provost (at the suggestion of the faculty member and Dean) as those that must be limited in number, such as clinicals, teaching supervision courses, and graduate courses. [The expected load and credit hour production will be adjusted for those receiving release from course work for administrative or other non-teaching roles, in proportion to the release.]

4. Adopting policies, procedures, and directives to establish that, absent advance written waivers by the Provost in unusual circumstances (such as those required by accreditation or similar concerns or adopted for faculty members well above the required 180, or modified, credit hour production per semester), classes with less than eight students will be considered under enrolled and will not count toward an instructor’s full load and classes with between eight and twelve students will be considered low enrollment, with related adjustment of Academic Vital Signs reporting and other measures.

5. Revising, to the extent needed, course scheduling to reduce the number of courses taught at peak times (such as 10 a.m. and 11 a.m.) and to spread classes over the hours before 3:00 p.m. and after 6:00 p.m., to assist students in their four-year paths to graduation and to reduce the number of independent and directed studies.

6. Establishing major enrollment and graduation goals for all majors (or, in some instances, joint goals for related majors).

7. Adopting policies, procedures, and directives to encourage students to stack credentials by advising students to complete certificates of completion, certificates, associate degrees, minors, and graduate degrees, in addition to bachelor’s degrees.

8. Adopting policies, procedures, and directives and engaging in other meaningful efforts to enhance collaborative opportunities on campus and within the NDUS, so DSU can continue to provide multiple curriculum and major options for DSU students (and those at other NDUS institutions) without necessarily having to incur the full costs of faculty to teach all courses.

9. Adopting policies, procedures, and directives to provide faculty accountability and encourage efficient credit production and mentoring of students by instructors, student evaluations of instructors and other assessment, expanding access to DSU courses via multiple teaching modalities and other innovation, recruiting and retention of students, mentoring of students, monitoring and reporting of student attendance and work, assistance to students who are especially challenged, encouragement of students, and other efforts that enhance the student experience at DSU.

10. Taking other steps, including modification or adoption of policies, procedures, and directives to put DSU on a path to future success.
Notifications

To the extent possible, on this date (September 27, 2023), I will attempt to contact affected faculty members through established administrative channels, to advise them that this decision eliminates their positions. This decision will also be distributed to DSU’s administrators, faculty, and staff, via email to the faculty and staff listservs.

DSU President Stephen D. Easton

Date

9/27/23
2023 NDUS Census Data

Presented to NDUS SBHE on 9/28/2023
## Census Data

↑ Headcount: 682 (1.6%)
↑ FTE: 258 (0.8%)
↑ SCH of 3071.50

<table>
<thead>
<tr>
<th>Institution</th>
<th>Headcount</th>
<th>FTE</th>
<th>SCH</th>
</tr>
</thead>
<tbody>
<tr>
<td>BSC</td>
<td>4,065</td>
<td>2,599</td>
<td>38,988</td>
</tr>
<tr>
<td>DCB</td>
<td>1,180</td>
<td>576</td>
<td>8,637</td>
</tr>
<tr>
<td>LRSC</td>
<td>1,810</td>
<td>858</td>
<td>12,877</td>
</tr>
<tr>
<td>NDSCS</td>
<td>3,140</td>
<td>2,124</td>
<td>31,858</td>
</tr>
<tr>
<td>WSC</td>
<td>912</td>
<td>658</td>
<td>9,868</td>
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<tr>
<td>DSU</td>
<td>1,453</td>
<td>1,118</td>
<td>16,674</td>
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<tr>
<td>MASU</td>
<td>1,048</td>
<td>734</td>
<td>10,892</td>
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<td>MISU</td>
<td>2,741</td>
<td>2,135</td>
<td>31,479</td>
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<tr>
<td>VCSU</td>
<td>1,754</td>
<td>1,112</td>
<td>16,552</td>
</tr>
<tr>
<td>NDSU</td>
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<td>10,552</td>
<td>155,456</td>
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<tr>
<td>UND</td>
<td>14,172</td>
<td>10,955</td>
<td>157,363</td>
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<tr>
<td>Total</td>
<td>44,227</td>
<td>33,422</td>
<td>490,643</td>
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</table>
Initial Look

Scheduled Credit Hours (SCH)

- Increased SCH among:
  - High School students
  - Transfer students
  - Grad Students
  - Part Time
  - ND Undergrads (less ERE)

- Decreased SCH among:
  - Non-Degree/Cont
  - MN Reciprocity

- Steady SCH among:
  - Full Time
2022-2023 Annual Enrollment

↑ 13% over 2021-2022
unduplicated total of 58,237*

* 2021-2022 Annual Enrollment Report reported total as duplicated total; it has been unduplicated for this comparison.

Table 1: Annual Enrollment Summary

<table>
<thead>
<tr>
<th></th>
<th>Degree Credit</th>
<th>Non Degree Credit</th>
<th>Non Credit</th>
<th>Unduplicated Total</th>
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<tbody>
<tr>
<td>Community College</td>
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<td>1,465</td>
<td>14,469</td>
<td>28,322</td>
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<td>BSC</td>
<td>5,127</td>
<td>416</td>
<td>3,068</td>
<td>8,231</td>
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<tr>
<td>DCB</td>
<td>1,395</td>
<td>185</td>
<td>1,467</td>
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</tr>
<tr>
<td>LRSC</td>
<td>2,479</td>
<td>133</td>
<td>1,754</td>
<td>4,247</td>
</tr>
<tr>
<td>NDSCS</td>
<td>3,767</td>
<td>599</td>
<td>1,122</td>
<td>4,902</td>
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<td>WSC</td>
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<td>133</td>
<td>8,528</td>
<td>9,817</td>
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<td>Regional University</td>
<td>8,261</td>
<td>405</td>
<td>8,265</td>
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<td>DSU</td>
<td>1,769</td>
<td>137</td>
<td>1,770</td>
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<td>MASU</td>
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<td>83</td>
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<td>MISU</td>
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<td>137</td>
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<td>VCSU</td>
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<td>48</td>
<td>2,025</td>
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<td>Research University</td>
<td>31,408</td>
<td>837</td>
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<td>NDSU</td>
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<td>440</td>
<td>13,271</td>
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<td>UND</td>
<td>18,249</td>
<td>397</td>
<td>18,257</td>
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<td>Unduplicated Total</td>
<td>51,432</td>
<td>2,686</td>
<td>14,469</td>
<td>65,952</td>
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</table>
SBHE Enrollment Reports (PBI)
SBHE Enrollment Reports (PBI)

- PowerBI reports that have look & feel of dashboards
- Prototype
- System internal - shared through NDUS Sharepoint
- Living
  - timely capture of future census data
  - ability to modify
- Download aggregated data
NDUS Enrollment Reporting - Historical & Research

Please note: the PBI reports are prototypes and have not yet been subjected to thorough testing to identify any report inconsistencies or security/access issues. Data for these reports are sourced from IDEG validated datasets. Please report any issues to jennifer.weber@ndus.edu.

Demographics of Headcount, Credit Hours & FTE

- SDHE - Enrollment Demographics PBI Report

Includes the following reports:
- 1A. Headcounts
- 1B. Headcounts Trending
- 1C. Headcounts across Terms
- 2A. Credit Hours
- 2B. Credit Hours Trending
- 3A. FTE
- 3B. FTE Trending

Instruction Mode delivery by Headcount, Enrollments & Credits

- SDHE - Course Enrollments PBI Report

Includes the following reports:
- 4A. Headcount by Mode
- 4B. Headcount by Mode Trending
- 4C. Headcount Breakdown by Mode
- 5A. Enrollments by Mode
- 5B. Enrollments by Mode Trending
- 5C. Enrollment Breakdown by Mode
- 6A. Credits by Mode
- 6B. Credits by Mode Trending
- 6C. Credit Breakdown by Mode

Online Only Student Headcounts & Credits

- SDHE - Online Only PBI Report

Includes the following reports:
- 7A. Online Headcounts
- 7B. Online Headcounts Trending
- 7C. Online Breakdown by Headcount
- 8A. Online Credits
- 8B. Online Credits Trending
- 8C. Online Breakdown by Credits
Table 1A: Headcount

<table>
<thead>
<tr>
<th>Institution</th>
<th>Freshman</th>
<th>Sophomore</th>
<th>Junior</th>
<th>Senior</th>
<th>Graduate</th>
<th>Professional</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td>Beulah State College</td>
<td>2,122</td>
<td>2,074</td>
<td>67</td>
<td>141</td>
<td></td>
<td></td>
<td>4,392</td>
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<td>Dakota College at Bottineau</td>
<td>303</td>
<td>219</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>512</td>
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<tr>
<td>Dickinson State University</td>
<td>946</td>
<td>383</td>
<td>340</td>
<td>700</td>
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<td>Lake Region State College</td>
<td>1,829</td>
<td>432</td>
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<td>2,261</td>
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<td>Mayville State University</td>
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<td>117</td>
<td>277</td>
<td>21</td>
<td></td>
<td>970</td>
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<td>Minot State University</td>
<td>1,125</td>
<td>630</td>
<td>567</td>
<td>1,029</td>
<td>210</td>
<td></td>
<td>3,657</td>
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<tr>
<td>N Dakota State College Science</td>
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<td>1,075</td>
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<td></td>
<td></td>
<td>3,127</td>
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<tr>
<td>North Dakota State University</td>
<td>3,169</td>
<td>2,749</td>
<td>2,380</td>
<td>3,580</td>
<td>2,146</td>
<td>342</td>
<td>14,399</td>
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<tr>
<td>University of North Dakota</td>
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<td>2,840</td>
<td>3,623</td>
<td>2,873</td>
<td>302</td>
<td>15,557</td>
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<td>Valley City State University</td>
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<td>154</td>
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<td></td>
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<td>284</td>
<td></td>
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<td></td>
<td></td>
<td>993</td>
</tr>
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</table>

Select Term: Fall 2011
## Table 6A: Course Credits by Instruction Mode

**Select Term:** 2023 Fall

<table>
<thead>
<tr>
<th>Institution</th>
<th>Combo/Hybrid/Hyflex</th>
<th>Independent Study</th>
<th>Interactive Video</th>
<th>Internet Asynchronous</th>
<th>Internet Synchronous</th>
<th>Off Campus Face to Face</th>
<th>On Campus Face to Face</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bismarck State College</td>
<td>614</td>
<td>5</td>
<td>912</td>
<td>15,695</td>
<td>241</td>
<td>5,055</td>
<td>16,721</td>
<td>39,243</td>
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<tr>
<td>Dakota College at Bottineau</td>
<td>354</td>
<td>1,361</td>
<td>4,113</td>
<td>537</td>
<td>9,440</td>
<td>16,750</td>
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<td>8,667</td>
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<td>Dickinson State University</td>
<td>158</td>
<td>60</td>
<td>5,438</td>
<td>29</td>
<td>592</td>
<td>3,296</td>
<td>12,577</td>
<td>16,750</td>
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<td>Lake Region State College</td>
<td>84</td>
<td>549</td>
<td>5,424</td>
<td>29</td>
<td>3,096</td>
<td>3,577</td>
<td></td>
<td>12,959</td>
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<td>Mayville State University</td>
<td>52</td>
<td>150</td>
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<td>117</td>
<td>801</td>
<td>6,022</td>
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<tr>
<td>Minot State University</td>
<td>507</td>
<td>102</td>
<td>9</td>
<td>1,326</td>
<td>1,280</td>
<td>19,387</td>
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<td>North Dakota State College of Science</td>
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</table>
Table 1B: Headcount Trending

Use CTRL to select multiple terms:
- Fall

![Graph showing headcount trend from Fall 2011 to Fall 2023]
### Table 4C: Headcount breakdown by Mode

Click on any blue bar to expand its contents. Use up/down arrows to view additional categories.

<table>
<thead>
<tr>
<th>Institution</th>
<th>Level</th>
<th>Admit Type</th>
<th>Instruction Mode</th>
<th>Residence State</th>
</tr>
</thead>
<tbody>
<tr>
<td>VCSU1</td>
<td>UGRD</td>
<td>Non-Degree/Cont Ed</td>
<td>Internet Asynchronous</td>
<td>ND 31</td>
</tr>
<tr>
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<td>MN 4</td>
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<tr>
<td>NDSCS</td>
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<td>WY 4</td>
</tr>
<tr>
<td>MISU1</td>
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<tr>
<td>LRSC1</td>
<td>UGRD</td>
<td>Traditional Student</td>
<td>Internet Asynchronous</td>
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**Unduplicated Headcount:** 42983