



East Carolina University | Board of Trustees

Finance and Facilities Committee Meeting | April 7, 2016

Agenda

I. Minutes

- A. Finance and Facilities Committee Meeting of February 18, 2016 Action

II. Action and Information Items

- A. Request the ECU Board of Trustees Approval to Purchase Four Residential Properties at 100, 102, 104 and 106 Fieldside Street Action
- B. Request the ECU Board of Trustees Approvals on Two Related Property Matters:
 - 1. Approval to Ground Lease Property Bordered by Fourth Street, Reade Street, Third Street, and Cotanche Street
 - 2. Approval to Sever Two Buildings at 208 East Third Street and 319 Cotanche Street Action
- C. Request the ECU Board of Trustees Approval on the Proposed Building Elevations for Jones Galley Renovation Action
- D. Request the ECU Board of Trustees Approval on the Construction Manager at Risk for Greene Residence Hall Renovation Action
- E. Human Resources Management Flexibility Report Action
- F. Human Resources Report on Related Persons Information
- G. Campus Safety Update Information
- H. Bond Rating Data Discussion Information
- I. Capital Projects Update Information
- J. Designer Selection Recommendations since last BOT meeting Information
- K. Other Information

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander
Agenda Item	I.A.
Item Description	Minutes of February 18, 2016 Meeting
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	

East Carolina University | Board of Trustees

Finance & Facilities | ECHI | February 18, 2016

Minutes

The Finance & Facilities Committee of the ECU Board of Trustees met in regular session on February 18, 2016 at 1:00 pm in ECHI on the west campus of East Carolina University. Committee members present included Bob Plybon, Leigh Fanning, Max Joyner, Danny Scott and Terry Yeargan.

I. MINUTES

Bob Plybon asked the Committee to approve the minutes from November 19, 2015. Terry Yeargan made motion and Danny Scott seconded and the minutes were approved.

II. ACTION AND INFORMATION ITEMS

- A. The Committee reviewed a request to sell by disposition property located at 201 East Fourth Street. Scott Buck, Associate Vice Chancellor for Business Services, was available for questions. The Committee approved a motion to recommend that the full Board approve the sale.
- B. The Committee reviewed a request to purchase property at 209 East Fifth Street. Scott Buck, Associate Vice Chancellor for Business Services, was available for questions. The Committee approved a motion to recommend that the full Board approve the purchase
- C. The Committee reviewed a request to approve the designer for the Green Residence Hall Renovation. Bill Bagnell, Vice Chancellor for Campus Operations, was available for questions. The Committee approved a motion to recommend that the full board approve the designer selection.

INFORMATION

- D. Bill Bagnell, Associate Vice Chancellor for Campus Operations, discussed the repair & renovation project list.
- E. Bill Bagnell, Associate Vice Chancellor for Campus Operations, provided a Capital Projects Update including a discussion of the Millennial Campus and the possible Southside Stadium Expansion project.
- F. Rick Niswander and Amy Vitner, Principal at First Tryon Advisors, our Bond Advisors, led a discussion of a Debt Capacity Analysis that was prepared by First Tryon.
- G. Bill Koch, Associate Vice Chancellor, led a discussion of the upcoming LiveSafe smart phone app for students, staff, and faculty. A demonstration of the app was provided.

Meeting adjourned at 2:36pm.

Respectfully Submitted,

Rhonda Jordan, VC Administration & Finance Office

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Business Services Scott Buck
Agenda Item	II.A.
Item Description	Request the ECU Board of Trustees Approval to Purchase Four Residential Properties at 100, 102, 104 and 106 Fieldside Street
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	



MEMORANDUM

TO: Rick Niswander
 FROM: Scott Buck *Scott*
 DATE: March 11, 2016
 SUBJECT: Request the ECU Board of Trustees Approval to Purchase Four Residential Properties at 100, 102, 104 and 106 Fieldside Street

Request ECU Board of Trustees approval to purchase four residential properties from the ECU Real Estate Foundation at a purchase price (inclusive of relocation and related expenses) of \$1,101,292 plus closing and carrying costs detailed below.

Address	Acres	Heated SF	Yr. Built	Purchase, Relocation and Related Costs
100 Fieldside Street	0.48 acres	2,079 SF House	1963	\$258,588
102 Fieldside Street	0.39 acres	2,500 SF House	1961	\$381,683
104 Fieldside Street	0.35 acres	1,906 SF House	1964	\$267,247
106 Fieldside Street	0.42 acres	1,705 SF House	1963	\$193,774

The four houses are contiguous to Dowdy Ficklen Stadium per attached map and plans are to sever structures when deemed appropriate.

Purchase shall be from auxiliary overhead receipt funds. Purchase is contingent on approvals from UNC Board of Governors, Joint Commission on Governmental Operations and Council of State.

Attachment (1)

cc: B. Bagnell
 C. Dyba
 W. Johnson
 T. Walton



Google earth



East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Business Services Scott Buck
Agenda Item	II.B.
Item Description	Request the ECU Board of Trustees Approvals on Two Related Property Matters: 1) Approval to Ground Lease Property Bordered by Fourth Street, Reade Street, Third Street, and Cotanche Street 2) Approval to Sever Two Buildings at 208 East Third Street and 319 Cotanche Street
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	



MEMORANDUM

TO: Rick Niswander

FROM: Scott Buck *Scott*

DATE: March 21, 2016

SUBJECT: Request the ECU Board of Trustees Approvals on Two Related Property Matters:
1) Approval to Ground Lease Property Bordered by Fourth Street, Reade Street, Third Street, and Cotanche Street
2) Approval to Sever Two Buildings at 208 East Third Street and 319 Cotanche Street

Request ECU Board of Trustees approvals on two related property matters:

- 1) Request approval to grant a ninety-nine year ground lease to the ECU Foundation of university owned property bordered by Fourth Street, Reade Street, Third Street, and Cotanche Street (map attached).

The property is within ECU's Millennial Campus and the ground lease is contingent on UNC Board of Governors' approval in accordance with G.S. 116-98.34 granting UNC Board of Governors expanded leasing authority on Millennial Campuses.

- 2) Request approval to sever two buildings located on the above referenced site.

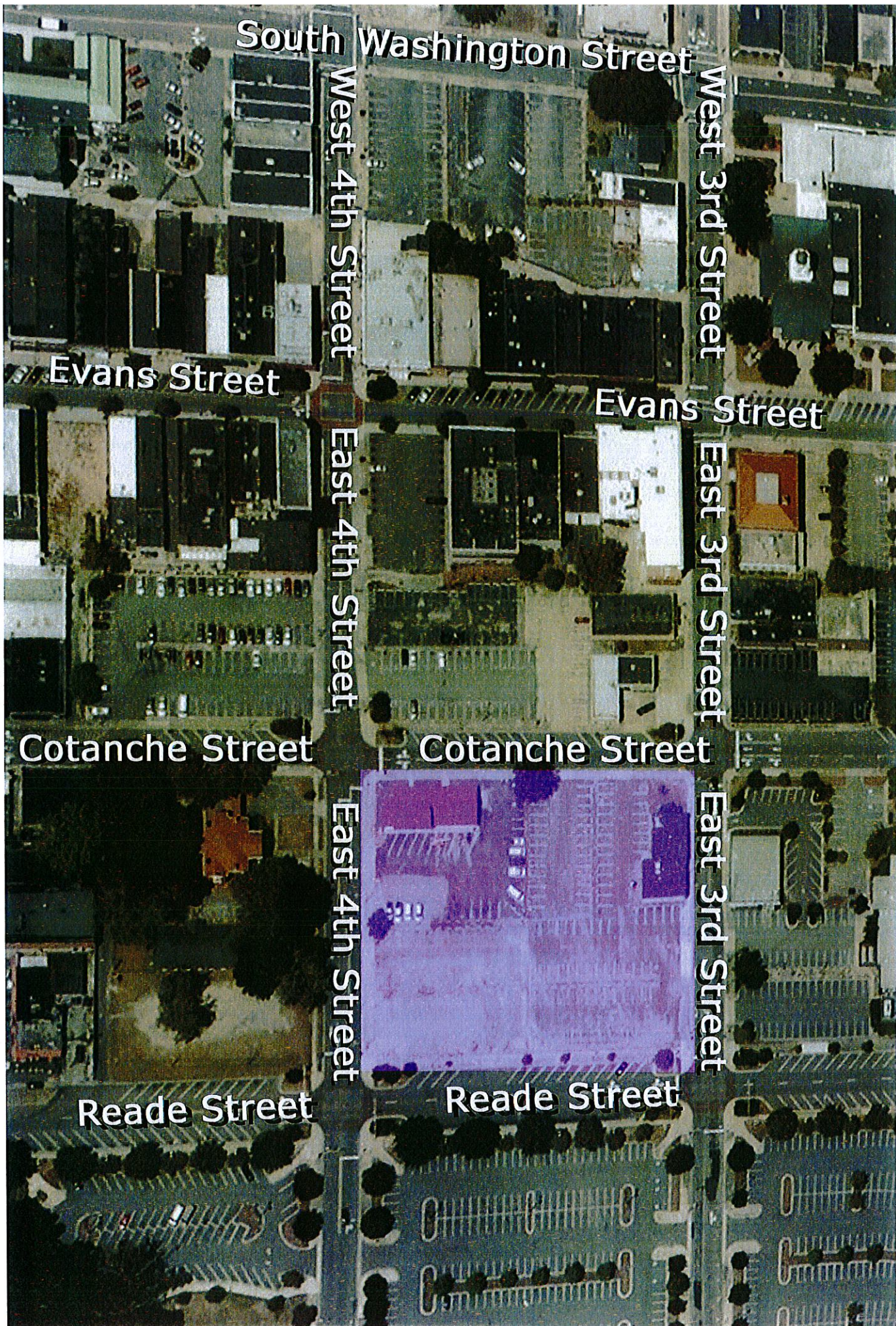
One building located at 208 East Third Street is a ± 3,427 SF masonry office building built in 1952 in good condition.

The second building located at 319 Cotanche Street is a ± 3,490 SF two-story stucco office building built in 1973 in good condition.

We request approval to sever both buildings when deemed appropriate. The request to sever is contingent on Council of State approval.

Attachment (1) Map

cc: B. Bagnell
W. Johnson
T. Walton



South Washington Street

West 3rd Street

West 4th Street

Evans Street

Evans Street

East 4th Street

East 3rd Street

Cotanche Street

Cotanche Street

East 4th Street

East 3rd Street

Reade Street

Reade Street

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Campus Operations Bill Bagnell
Agenda Item	II.C.
Item Description	Request the ECU Board of Trustees Approval on the Proposed Building Elevations for Jones Galley Renovation
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	

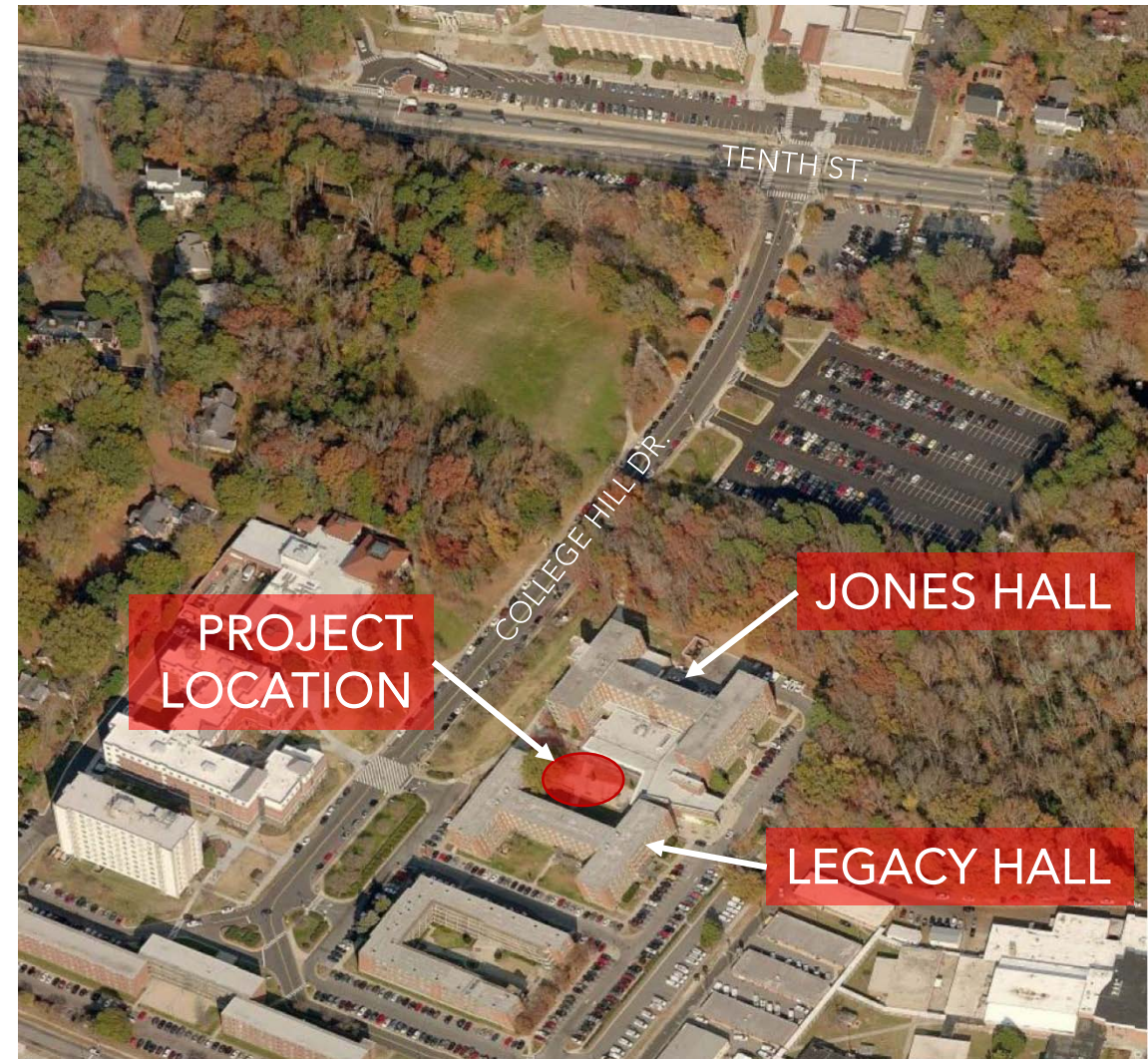
**JONES GALLEY RENOVATION
BOARD OF TRUSTEES REVIEW
APRIL 7TH, 2016**



HH ARCHITECTURE

PROJECT GOALS & LOCATION

- Maximize capacity in student lounge/dining area
- Increase outdoor seating opportunities
- Improve ADA accessibility compliance
- Complement the context of the College Hill section of East Carolina's campus



PROJECT LOCATION – EXISTING CONDITIONS



PROJECT CONTEXT – JONES HALL



PROJECT CONTEXT – COLLEGE HILL



LEGACY HALL



COLLEGE HILL SUITES



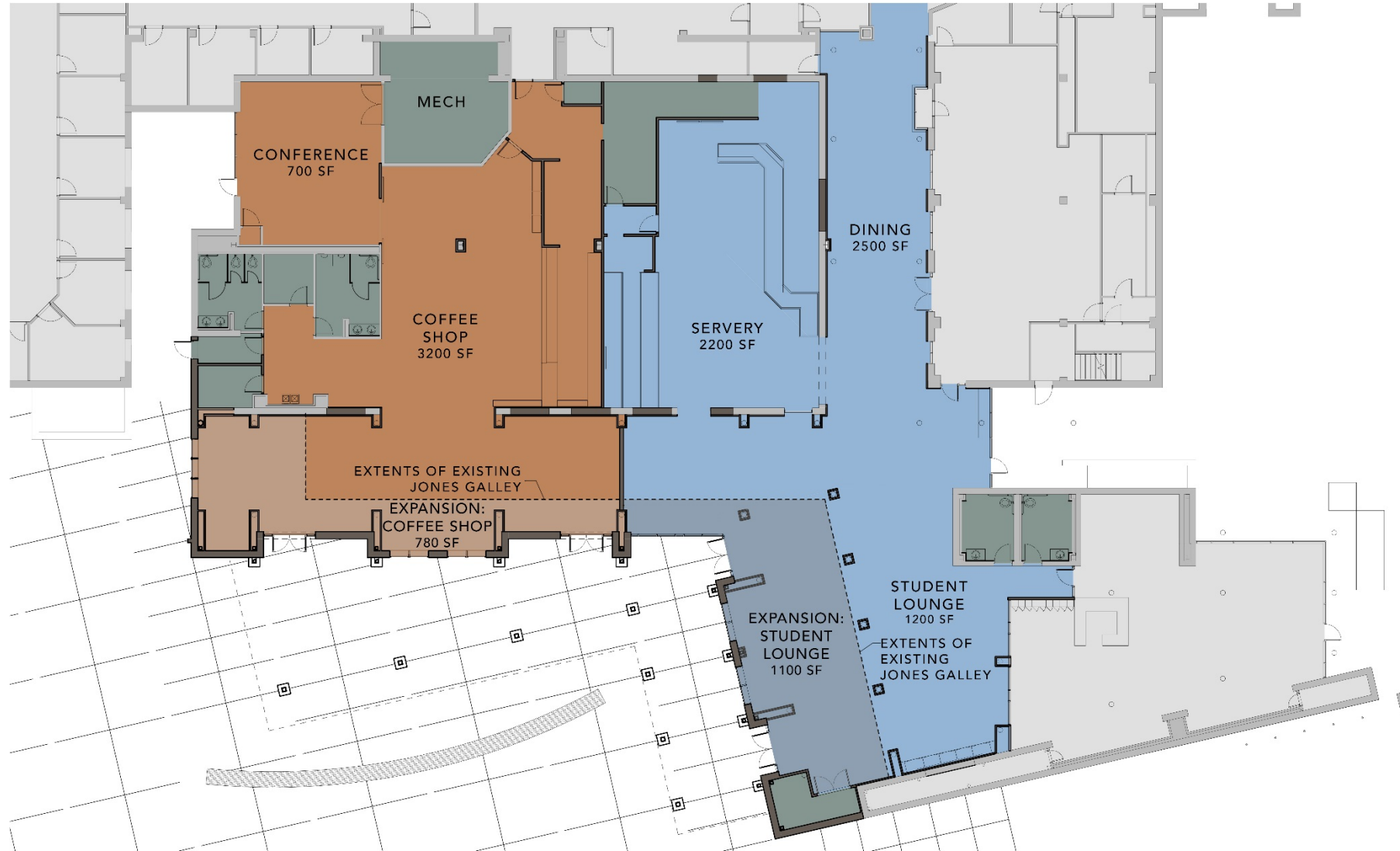


JONES
RESIDENCE
HALL

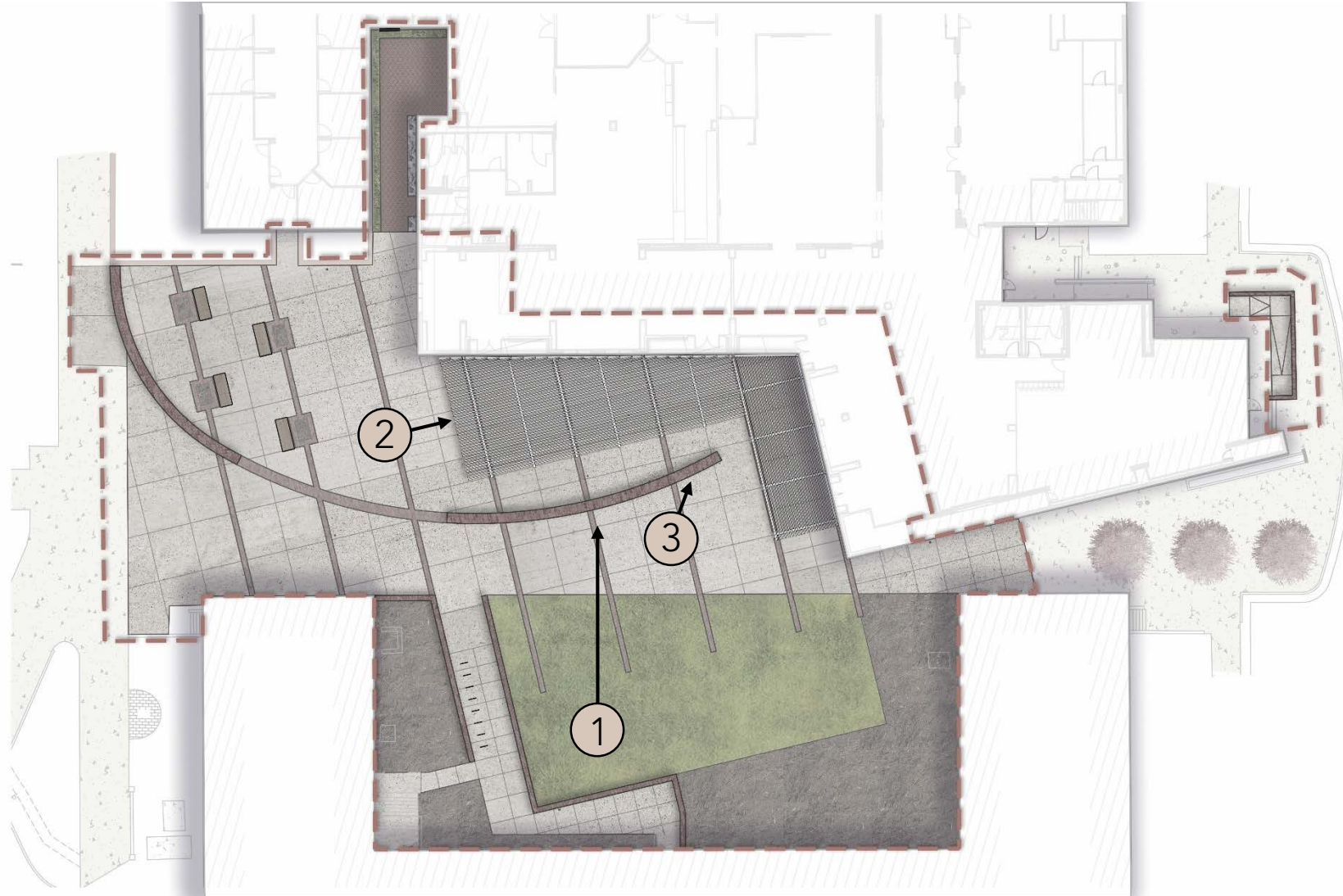
JONES GALLEY

LEGACY HALL

FLOOR PLAN



EXTERIOR VIEW LOCATIONS



EXTERIOR VIEWS



① OVERALL VIEW FROM PROPOSED LAWN AREA

EXTERIOR VIEWS



② UNDER COFFEE SHOP TRELLIS, LOOKING TOWARDS STUDENT LOUNGE



③ BUILDING APPROACH, LOOKING TOWARDS CORNER ENTRY

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Campus Operations Bill Bagnell
Agenda Item	II.D.
Item Description	Request the ECU Board of Trustees Approval on the Construction Manager at Risk for Greene Residence Hall Renovation
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Human Resources Melissa Bard
Agenda Item	II.E.
Item Description	Human Resources Management Flexibility Report
Comments	N/A
Action Requested	Committee approval
Disposition	
Notes	



**East Carolina University
Board of Trustees**

Annual Summary regarding the UNC Management Flexibility Agreement
(pursuant to UNC Policy Manual, Section 600.3.4 C.3.b.)

**Submitted to UNC General Administration
for Fiscal Year 2014-2015**

Reviewed and approved by:

Chief Human Resources Officer Date

Provost Date

Chancellor Date

Board of Trustees Date

INTRODUCTION

Pursuant to Section 600.3.4 C.3.b. of the UNC Policy Manual, the Board of Trustees of East Carolina University hereby provides to the UNC Board of Governors an annual summary of the personnel actions covered by its management flexibility agreement for fiscal year 2014-2015.

PART 1: SAAO Tier I Appointments, Salary and Non-Salary Compensation

SAAO Tier I Appointments	
<input checked="" type="checkbox"/>	Our compensation spreadsheet is attached to this summary.

SAAO Tier II salary ranges <i>(check one)</i>	
<input checked="" type="checkbox"/>	Our institution used the UNC GA published SAAO Tier II salary ranges for SAAO Tier II employees in FY 14-15.
<input type="checkbox"/>	Our SAAO Tier II salary ranges and methodology for FY 14-15 are attached.

EHRA IRPS salary ranges <i>(check one)</i>	
<input type="checkbox"/>	Our EHRA IRPS salary ranges listing and methodology for FY 14-15 are attached (or in lieu of the salary range listing, a disclosure on how individual ranges are derived is provided).
<input checked="" type="checkbox"/>	We did not have an established EHRA IRPS salary ranges listing and methodology during the FY 2014-15, but are now using the UNC GA published IRPS salary ranges.

PART 2: Conferral of Tenure

46	Number of faculty reviewed for tenure
44	Number of faculty granted tenure
6	Number of new faculty hired with tenure

PART 3: Equity Analysis

Describe what efforts your institution has taken to monitor pay equity relevant to the employment of faculty and senior academic and administrative officers. *(You may attach additional supporting documents.)*

December 2, 2015	Date of most recent analysis of equity issues for faculty
March 12, 2015	Date of most recent analysis of equity issues for SAAO Tier I

Recent Analysis of Equity Issues for Faculty

East Carolina University (“ECU”) always strives to maintain a diverse and inclusive community free from harassment and discrimination. The goal of ECU’s Faculty Salary Equity Study (“Study”) is to complete a comprehensive and robust analysis of faculty salaries, university-wide. Faculty and staff members were selected from different areas of campus to serve as members of the Faculty Salary Equity Task Force (“Task Force”), and have been assisting in the process of the Study by providing advice and feedback. Specifically, the Task Force has been collaborating with the consultant retained by ECU in 2014, Dean Sparlin of Sparlin Law Office, PLLC, in the stated purpose of “search[ing], on a comprehensive, institution-wide basis, for any evidence of systematic gender or race/ethnicity disparities in the compensation paid to university faculty”.

With the exception of the unit of Academic Library Services, the Study was completed for the faculty in the Division of Academic Affairs in December 2015.¹ The Executive Summary of the Faculty Salary Equity Study for ECU’s Division of Academic Affairs (Analysis of Compensation Equity by Gender and Race Final Report), dated December 2, 2015, can be found at the following address: http://www.ecu.edu/cs-acad/oed/salaryequitystudy/upload/AA-Salary-Analysis-Report-Exec-Sum-12_2_15.pdf. The Final Report of the Faculty Salary Equity Study for ECU’s Division of Academic Affairs (Analysis of Compensation Equity by Gender and Race Final Report), also dated December 2, 2015, can be found at the following address: <http://www.ecu.edu/cs-acad/oed/salaryequitystudy/upload/RegressionReport-12-1-2015.pdf>. As noted in the Executive Summary, the Study “did not reveal any systematic differences between the pay of males and females, or between minority and nonminority, of faculty members in the Division of Academic Affairs. Additional regression models were prepared for Asian, Black/African American, and Hispanic faculty. These analyses did not raise significant pay equity concerns unique to Asian or Hispanic faculty members. Pay levels of

Black/African American faculty members in Academic Affairs were, on average, higher than pay levels for faculty members of other race/ethnicities after controlling for only the factors included in the model.”

The Study is on-going for the faculty in the Division of Health Sciences, and is expected to be finalized in Spring 2016.

¹Academic Library Services is being re-reviewed, and may join Laupus Library (the Health Sciences Division Library) in the Study for the Division of Health Sciences.

Recent Analysis of Equity Issues for SAAO Tier I

There has not be a recent formal analysis of equity issues for SAAO Tier I positions to the extent of the Study for faculty. However, annually in the Spring, ECU’s Institutional Planning, Assessment & Research unit (“IPAR”) provides spreadsheets and bar graphs to the Chancellor and other select ECU administrators which depict salary information to be used for informational purposes, as well as a reference for any possible salary increase recommendations made for senior administrators. Salary information for selected administrative positions (specifically, the Chancellor’s Direct Reports, SAAO Tier I positions, and Academic Deans) is provided using CUPA salary data from ECU’s official peer institutions for which data are available. Using the 80th percentile of these salaries as the salary target, a salary range is determined. The low end of the range is set to 70.31% of the 80th percentile and the high end is set to 112.5% of the 80th percentile. When salary data are not available for ECU’s official peer institutions, the 80th percentile calculations are performed using public doctoral and research universities. In addition to this information, the spreadsheets also provide, for each of these positions, the average and median salaries for UNC institutions, all public doctoral and research universities, and universities within ECU’s Carnegie Classification.

PART 4: Audit Findings

Did your institution’s Office of Internal Audit report any significant audit findings to General Administration’s Office of Compliance and Audit Services related to weaknesses in the internal control structure, deficiencies in the accounting records, non-compliance with rules and regulations, or any other instances where significant findings are identified?

<input checked="" type="checkbox"/>	NO	Our office of internal audit reported to General Administration’s Office of Compliance and Audit Services no audit findings related to weaknesses in the internal control structure, deficiencies in the accounting records, non-compliance with rules and regulations, or any other instances.
<input type="checkbox"/>	YES	Our office of internal audit reported to General Administration’s Office of Compliance and Audit Services significant audit findings. Below is a brief summary of the audit findings and actions that have been taken, or are to be taken, to address the noted deficiencies. <i>(You may attach additional supporting documents.)</i>

Name	CUPA Classification Code	Senior Academic and Administrative Title	Date Hired into this SAAO Position	Salary as of			2014-2015 Salary Range		Non-Salary Compensation (in dollars)							
				06-30-2014	06-30-2015	Percent Change in	Minimum	Maximum	Athletic Tickets	Club Membership	Clinical Fac Benefits	Moving Expenses	Temporary Housing	Personal Vehicle	Clinical Fac Benefits Specification/note	
Ballard, Steven C.	101000: Chief Executive Officer, Single Inst	Chancellor	5/26/2004	\$ 322,560	\$ 322,560	0.0%	\$ 299,379	\$ 467,779	See note						\$ 12,413	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Mitchelson, Ronald	105000: Chief Acad Affairs Officer & Provost	Provost and Senior Vice Chancellor	3/1/2015	n/a	\$ 297,000	n/a	\$ 230,526	\$ 360,196	See note						\$ 6,936	Served as interim and then permanent in this role during this FY. Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Sheerer, Marilyn	105000: Chief Acad Affairs Officer & Provost	Provost and Senior Vice Chancellor	10/16/2008	\$ 280,612	n/a	n/a	\$ 230,526	\$ 360,196								Retreated to faculty position during this FY.
Niswander, Frederick D.	107000: Chief Business Officer	Vice Chancellor, Administration and Finance	4/8/2011	\$ 270,000	\$ 270,000	0.0%	\$ 189,076	\$ 295,431	See note						\$ 7,928	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Dyba, Christopher M.	113000: Chief Development Officer	Vice Chancellor, Advancement	3/24/2014	\$ 265,000	\$ 265,000	0.0%	\$ 199,568	\$ 311,824	See note						\$ 9,071	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* Also offered 9 men's basketball tickets (\$132.41). They may or may not have attended.
Horns, Phyllis N.	125000: Chief Health Affairs Officer	Vice Chancellor, Division of Health Sciences	4/20/2009	\$ 375,646	\$ 375,646	0.0%	\$ 329,174	\$ 514,334	See note			\$ 5,486			\$ 7,928	SOM Dental and Medical Reimbursement; Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Payne, Donna G.	137000: Chief Legal Affairs Officer	University Counsel and Vice Chancellor, Legal Affairs	7/1/2008	\$ 193,160	\$ 193,160	0.0%	\$ 146,764	\$ 229,319	See note						\$ 7,928	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Lewis, Janice S.	139000: Chief Library Officer	Dean, Academic Library Services	5/1/2015	n/a	\$ 165,000	n/a	\$ 127,056	\$ 198,525								
Mitchelson, Ronald	143000: Chief Research Officer	Interim Vice Chancellor, Research and Graduate Studies	6/1/2012	\$ 201,833	n/a	n/a	\$ 182,059	\$ 284,468								Base salary of \$154,614 and a stipend in the amount of \$47,219 for serving as the Interim Vice Chancellor for Research and Graduate Studies
Hardy, Virginia D.	145000: Chief Student Affairs Officer	Vice Chancellor, Student Affairs	1/1/2010	\$ 203,400	\$ 203,400	0.0%	\$ 140,592	\$ 219,674	See note						\$ 7,928	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.
Downs, William M.	153040: Dean Arts and Sciences	Dean, Harriot College of Arts and Sciences	7/1/2014	n/a	\$ 205,000	n/a	\$ 177,260	\$ 276,968				\$ 9,674				
Eakins, Stan G.	153060: Dean Business	Dean, College of Business	1/3/2012	\$ 224,664	\$ 224,664	0.0%	\$ 221,503	\$ 346,099							\$ 6,207	
White, David M.	153070: Dean Computer and Information Sciences	Dean, College of Technology and Computer Science	1/1/2010	\$ 197,340	\$ 197,340	0.0%	no data	no data								No data for this CUPA code in GA 2014-2015 salary ranges
Chadwick, Gregory	153100: Dean Dentistry	Dean, School of Dental Medicine	9/24/2012	\$ 320,000	\$ 320,000	0.0%	\$ 237,456	\$ 371,024								
Patriarca, Linda A.	153120: Dean Education	Dean, College of Education	8/16/2008	\$ 177,100	\$ 177,100	0.0%	\$ 146,794	\$ 229,366								
Buddo, Joseph C.	153160: Dean Fine Arts	Dean, College of Fine Arts and Communication	7/1/2013	\$ 180,000	\$ 180,000	0.0%	\$ 162,300	\$ 253,594								
Gemperline, Paul J.	153190: Dean Graduate School	Dean, Graduate School	9/16/2010	\$ 172,040	\$ 172,040	0.0%	\$ 148,203	\$ 231,567								
Gilbert, Glen G.	153200: Dean Health-Related Professions	Dean, College of Health and Human Performance	1/1/2004	\$ 214,569	\$ 214,569	0.0%	\$ 148,094	\$ 231,397								
Walker, Marianna M.	153210: Dean Honors Program	Dean, Honors College	7/1/2013	\$ 150,000	\$ 150,000	0.0%	\$ 106,113	\$ 165,802								
Cunningham, Paul R. G.	153280: Dean Medicine	Dean, Brody School of Medicine, Senior Associate Vice Chancellor, Medical Affairs	9/11/2008	\$ 506,001	\$ 506,001	0.0%	\$ 326,252	\$ 509,769				\$ 2,444				SOM Dental and Medical Reimbursement
Brown, Sylvia T.	153300: Dean Nursing	Dean, College of Nursing	10/1/2009	\$ 211,150	\$ 211,150	0.0%	\$ 154,787	\$ 241,855								
Roeder, Lynn M.	155010: Dean of Students	Dean of Students	7/1/2007	\$ 136,621	\$ 136,621	0.0%	\$ 91,151	\$ 142,423								still in position
Thomas, Stephen W.	999999: Dean Allied Health	Dean, College of Allied Health	7/1/2003	\$ 202,371	n/a	n/a	no data	no data								No data for this CUPA code in GA 2014-2015 salary ranges
Siguaw, Judy	999999: Dean Human Ecology	Dean, College of Human Ecology	1/1/2009	\$ 189,244	\$ 189,244	0.0%	no data	no data								No data for this CUPA code in GA 2014-2015 salary ranges
Hassler, Gregory	153200: Health Related Professions	Interim Dean, College of Allied Health Sciences	4/16/2014	n/a	\$ 223,880	n/a	\$ 148,094	\$ 231,397								Serving in interim role April 16, 2014 to present
Hassler, Gregory	139000: Chief Library Officer	Interim Dean, Health Sciences Library	11/1/2014	\$ 127,880	n/a	n/a	\$ 127,056	\$ 198,525								Served in interim role Nov 1, 2014 to June 30, 2015
Locklear, Christopher	187020: Chief of Staff to System or Institution CEO	Chief of Staff	6/30/2013	\$ 185,000	\$ 185,000	0.0%	\$ 116,826	\$ 182,541	See note						\$ 7,928	Athletic Tickets: received a letter offering tickets for employee and a guest for the games listed below.* They may or may not have attended.

*2014 Pirate Football Season (home games) Cost per Ticket
30-Aug North Carolina Central University \$53.5
20-Sep University of NC at Chapel Hill \$53.5
4-Oct Southern Methodist University \$53.5
23-Oct University of Connecticut \$53.5
22-Nov Tulane University \$53.5
4-Dec University of Central Florida \$53.5

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Human Resources Melissa Bard
Agenda Item	II.F.
Item Description	Human Resources Report on Related Persons
Comments	N/A
Action Requested	Information
Disposition	
Notes	

Office of the Chancellor
105 Spilman Building
East Carolina University
Greenville, NC 27858-4353

252-328-6212 office
252-328-4155 fax
www.ecu.edu

MEMORANDUM

TO: ECU Board of Trustees
FROM: Steve Ballard, Chancellor
DATE: March 24, 2016
RE: Employment of Related Persons



Annually, I am required to report to you, in accordance with applicable University of North Carolina and East Carolina University Anti-Nepotism Policies and Guidelines, concerning specific cases during the preceding year in which the terms of the Policies were applied.¹ Specifically, the Guidelines require that my written report to you set forth the circumstances for those cases in which the nepotism question arose during the preceding year:

- 1) All cases in which an individual making written application for employment was denied employment because of the requirements of the Policies and Guidelines (e.g., the employment would have resulted in one relative supervising another, or an unrelated candidate had demonstrably superior qualifications); and
- 2) All cases in which concurrent employment of related persons was allowed (e.g., the supervisory relationship was not “direct,” or there were no other candidates for the available position whose professional qualifications were demonstrably superior to those of the relative). In instances in which the concurrent employment of related persons was permitted, ECU ensured there was no direct supervisory relationship between the related persons (e.g., through the development of management plans).

We have sought and received information from each division for this report, and this memorandum is to report to you that East Carolina University is in compliance with the Policies and Guidelines. In addition, more specific information as noted, above, can be found on the attached spreadsheet.² Please note that the attached spreadsheet contains confidential personnel information in accordance with N.C. GEN. STAT. §126-24.

Attachment

cc: Melissa L. Bard
Associate Vice Chancellor for Human Resources

¹ See the UNC Policy Manual 300.4.2, *Employment of Related Persons (Anti-Nepotism Policy)* and the East Carolina University *Employment of Related Persons (Anti-Nepotism) Policy* (the “Policies”); and, The UNC Policy Manual 300.4.2.1[G], *Guidelines on Implementing Anti-Nepotism Policy* (the “Guidelines”).

² This year’s report includes (and future years’ reports will include) specific information regarding all cases of concurrent employment, not only those identified since the April 2015 (and any prior years’) report.

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor Environmental Health and Campus Safety Bill Koch
Agenda Item	II.G.
Item Description	Campus Safety Update
Comments	N/A
Action Requested	Information
Disposition	
Notes	

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities
Responsible Person	Rick Niswander, Vice Chancellor for Administration and Finance Virginia Hardy, Vice Chancellor for Student Affairs Bill Koch, Associate Vice Chancellor for Environmental Health and Campus Safety
Agenda Item	
Item Description	Annual Campus Safety Update
Comments	Materials include an overview of crime statistics and other campus safety accomplishments and goals, a report on safety initiatives from 2005-15 and a progress report on the recommendations of the 2013/14 UNC Campus Security Initiative Report.
Action Requested	Information
Disposition	
Notes	

CAMPUS SAFETY OVERVIEW

Crime in Greenville and On Campus

In 2009, a study by the John William Pope Center for Higher Education Policy determined that ECU had one of the lowest violent crime rates (per capita) in the UNC system. The study can be found at <http://www.popecenter.org/commentaries/article.html?id=2445>. Based on North Carolina Department of Justice (NCDOJ) and FBI crime data, ECU had the lowest violent crime rate in the UNC system in 2013 and one of the lowest for more than five years. In general, NC Central, NC A&T and NC State generally have higher index, violent and property crime rates than ECU, while Appalachian State and UNC-Asheville tend to have lower crime rates. The crime rates at ECU are generally comparable to UNC-Chapel Hill, UNC-Charlotte and UNC-Greensboro.

The index and violent crime rates for the City of Greenville have been trending downward over the last 10 years. Greenville's crime rate is generally comparable to similar North Carolina cities with significant university populations, such as Asheville, Charlotte, Greensboro and Wilmington. Each city and university has its own unique set of circumstances which makes direct comparisons complicated and difficult. (See FBI disclaimer and crime definitions below.)

The crime statistics for ECU and Greenville can be found at <http://crimereporting.ncdoj.gov/Reports.aspx>, which is North Carolina's Uniform Crime Report (UCR). It serves as the source for the FBI's UCR.

For additional information on our security and safety programs, refer to ECU's 2015 Annual Security and Fire Safety (Clery) report at <http://www.ecu.edu/cs-admin/police/upload/2015-Annual-Security-and-Fire-Safety-Report.pdf>. The Clery report must be distributed annually by October 1 and includes the prior three years of crime data. It is important to note that there are differences between UCR, Clery and Title IX sexual violence reporting criteria so this data may appear inconsistent when compared.

The 2013-14 UNC Campus Security Initiative Report to the President is available at http://www.northcarolina.edu/sites/default/files/unc_campus_security_initiative_report_to_the_president.pdf. (Note: In this report, the term "University" means UNC System or UNC General Administration.)

Crime data for 2015 is not yet available for comparison with other cities and universities. Index crime includes serious violent crimes and property crimes. The **index rate** is the number of murders, rapes, robberies, aggravated assaults, burglaries, larcenies, motor vehicle thefts and arsons per 100,000 person population. The **violent crime rate** is the number of murders and non-negligent manslaughter, forcible rapes, robberies and aggravated assaults per 100,000 person population. Property crime involves taking money or property without force or threat and includes the offenses of burglary, larceny-theft, motor vehicle theft and arson.

FBI Statement Regarding Crime Comparisons Between Cities/Universities: Individuals using these tabulations are cautioned against drawing conclusions by making direct comparisons between cities. Comparisons lead to simplistic and/or incomplete analyses that often create misleading perceptions adversely affecting communities and their residents. Valid assessments are possible only with careful study and analysis of the range of unique conditions affecting each local law enforcement jurisdiction.

Below is a brief summary of Greenville and ECU crime statistics based on UCR data reported to NCDOJ.

Greenville Crime:

- Over the past 10 years (2005-14), Greenville's index crime rate has decreased by 34% and violent crime rate decreased 29%. Index crime includes serious violent crimes and property crimes.
- The Greenville Police Department provided the following 2014 crime data:
 - The violent crime rate dropped about 16% from 2013 to 2014, but reportedly increased by 9% in 2015.
 - The homicide rate in 2014 was the lowest it has been in 20 years.
 - Larcenies increased nearly 8% while overall property crime is down nearly 5%.
 - Burglaries decreased 31%.
 - There were no vehicular or pedestrian fatalities in Greenville in 2014 and significant accidents decreased by 10%. However, there were several pedestrian fatalities in 2015.
 - Greenville Police and ECU Police have been conducting coordinated patrols on weekends and holidays and working with the community in the College View neighborhood ("The Grid") north of main campus to decrease crime in the area. Statistics below are provided by James Robbins who is a neighborhood watch representative with statistics expertise.
 - Total index crime is down 48.9%.
 - Burglary and theft (larceny) have decreased 58.4% and 5.5%, respectively.
 - Violent crime decreased 39% in Uptown Greenville area from 2011 to 2015

ECU Crime:

- Over the past 10 years (2005-14), ECU's index crime rate has decreased by 28% and the violent crime rate declined 25%. From 2005 to 2010, ECU's crime rate was trending upward. Over the past 5 years (2010-14), ECU's index crime rate decreased 42% and the violent crime rate declined 47%.
- Larcenies are the most prevalent crime on campus and generally involve unsecured property. The larceny rate has decreased 42% over the past 5 years.

ECU Crime Statistics from 2014 to 2015:

	<u>2014</u>	<u>2015</u>	<u>Change</u>
Larcenies	152	172	+13%
Burglaries	11	5	-55%
Robberies	2	3	+50%
Rapes	3	5	+67%
Assaults	1	3	+200%
Drug Arrests	181	177	-2%
Liquor Law Violations	130	66	-49%
Simple Assaults	73	57	-22%

***Overall Crime is Down 15% from 2014 to 2015

2015 SAFETY ACCOMPLISHMENTS AND GOALS

Strategic Commitment: ***We will be a national model for campus safety and the safest campus in the UNC system.*** (2014-2019 Strategic Plan: Beyond Tomorrow – Our Commitment to the Future)

Accomplishments

- Student Affairs, Equity & Diversity and ECU Police collaborated to review and update Title IX and Clery policies and provided education and awareness training programs through online and in-person training, marketing campaigns, media outreach and special event functions. Communications, Marketing and Public Affairs assisted in the campaign and media outreach.
 - Enhanced sexual assault response capacity, increased student respondent investigation capacity, hired a new Title IX Compliance Officer and a new Victim Advocate.
 - Revised sexual harassment and sexual assault policies and investigation procedures, including a new regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence and standard operating procedure for student respondent investigations,
 - Created data sharing and tracking systems, increased sexual assault awareness and training programs, and continued marketing and communication efforts to include a Title IX annual report, booklet and campus communications program – “ECU Cares about Sexual Assault”
- The Center for Counseling and Student Development added the Victim Advocate to the staff which allows for confidential services to be provided to victims of sexual assault and intimate partner violence and added a screener/case manager which allows students to be seen for same day appointments regardless of crisis status and then triaged/referred into appropriate services.
- With input from faculty, staff and students, ECU reviewed various safety apps and decided to purchase the LiveSafe safety app which provides a panic button, safewalk feature, tip reporting, connections to resources based on the ECU Cares model, and a safety map showing crime, safe areas and safety resources. This safety app will complement the ECU Cares website and phone system and will eventually include “safe corridors” on the safety map. ECU is now reviewing content, developing a marketing plan and finalizing plans to test the final product with soft implementation scheduled for spring and full implementation during summer orientation and fall 2016.
- EH&S, Dean of Students’ Office and Campus Living conducted emergency management awareness training and a tabletop drill for off-campus student apartment complex management.
- ECU students, staff and ECU Police participated in the first of three safety summits organized by McLean Godley, City Councilman for the College View neighborhood north of Main Campus. Business leaders, rental property owners and citizens also participated. The Greenville Police Chief and ECU Police Chief provided a summary of crime and prevention efforts on and around campus. There was good discussion of issues and potential solutions, resulting in several priorities to pursue.
- One initial outcome of the Safety Summit is a project initiated by the City and GUC to upgrade the lighting to LED along 5th Street from Reade Street to Maple Street. This should enhance this “safe corridor” ECU has created with bluelight emergency phones and cameras.
- Developed a safety plan for Student Center project to include additional cameras, emergency phones, lighting, SafeRide and police patrols and crosswalk monitoring.
- Student Affairs, ECU Police and Greenville Police developed Halloween plan, resulting in successful event despite it falling on a Saturday night with a daylight savings time change.

- Purchased and implemented social media monitoring tool (Social Sentinel) to help identify threats and students in need.
- Increased police officer and telecommunicator salaries. Funded and currently recruiting a full-time Clery Coordinator to meet increased regulatory demand and improve crime analysis.
- ECU Police completed their on-site CALEA re-accreditation assessment and have been recommended for the CALEA (Gold Standard) Award to be presented in March at the Annual CALEA Conference in St. Louis. ECU Police have also been recommended for a CALEA Award for Agency Excellence by the CALEA assessors. This indicates that ECU Police are an outstanding agency and on the cutting edge of best practices and procedures in law enforcement.
- With a grant through Pitt County Health Department, ECU Police officers were trained and equipped to use Narcan (nasal spray) to counteract opiate overdose.
- ECU Police hosted a “Chat with the Chiefs” event in collaboration with the Greenville Community Police Relations Committee and Greenville Police. The Greenville Police and ECU Police Chiefs presented safety information to campus and Greenville community participants and took questions.
- Through annual injury trend analysis and focused injury prevention efforts, ECU realized a 12% decrease in total workers’ compensation expenditures from 2013 to 2014 for a savings of about \$150,000. From 2014 to 2015, there was a 8% decrease for a savings of nearly \$87,000. From 2013 to 2014, there was a 51% decrease in lost work cases, while there was a 47% decrease from 2014 to 2015. Unfortunately, these decreases came after a significant increase in workers’ comp costs in 2013 due to some serious injuries and settlement agreements to close old cases.
- Completed update of emergency bluelight phones (151) and 65 security cameras on the Main and Health Sciences campuses. Completed the transition to digital cameras in residence halls.
- Facilities Services completed a performance energy contract to upgrade interior lighting and replace exterior lighting with LED fixtures and upgraded classroom door locks in 15 buildings with 9 buildings remaining to complete. The lighting project will improve lighting consistency and energy efficiency.
- The North Carolina Department of Environment and Natural Resources (NCDENR) inspection of both campuses resulted in no site deficiencies and no recommendations
- Added safety briefing slides to academic classes and safety section in parent’s newsletter
- Hardened security for Air Force and Army ROTC – reviewed plans, provided camera access to staff and currently reviewing and planning other facility improvements.
- Updated StormReady University designation through National Weather Service for 2015-18.
- ECU Alert system averages based on 39 messages sent in 2015: registered users 34,191 for text and 44,949 for email; first pass delivery = 85% in 2-3 minutes.
- Completed, reviewed and approved 36 mission critical department continuity of operations plans and uploaded into web-based business continuity plan management system (Kuali).

Goals

- Implement smartphone safety app for summer orientation and fall 2016.
- Continue to collaborate with team members to coordinate the continued marketing and education of sexual misconduct and crime prevention.
- The Center for Counseling and Student Development will expand Victim Advocacy services by adding staff who can provide additional outreach, counseling, advocacy and tracking services
 - Implement Protocall after hours contract to reduce after hours impact on CCSD staff
 - Implement Kognito education module for students, staff and faculty to provide information about student distress, campus resources and suicide prevention

- Work with City, DOT and ECU officials to decrease vehicular-pedestrian conflicts along 10th Street just south of the core campus. A study by NCDOT is underway and recommendations are being reviewed for funding.
- Collaborate with Greenville Police Department, Departments of Geography and Criminal Justice, and student groups to designate and promote “safe corridors” of travel for students and others.
- Implement Crime Mapping to assist with predictive analysis and resource deployment.
- Achieve Gold Standard Reaccreditation through the Commission on Accreditation for Law Enforcement Agencies (CALEA).
- Utilize National Safety Council's Safe Community accreditation as a framework and a measure for achieving the university goal of becoming a national model for campus safety and the safest campus in the UNC system.
- Expand ECU Police strategic planning process to include all campus safety units in creating a 5-year strategic plan for campus safety. The working group will involve campus safety experts and community members in forums and discussions to review current safety infrastructure, assess implementation of prior recommendations and identify safe campus metrics, objectives and costs.
- Conduct personnel deployment study and review camera placement, use and staffing.
- Initiate design of new facility to house ECU Police, Emergency Operations Center, Environmental Health & Campus Safety and Parking & Transportation Services.
- Collaborate with Student Affairs on alcohol/drug programs and off-campus safety.
- Continue to participate in Safety Summits organized by City Council and work with the City to implement student safety improvements, such as “safe corridors”.
- Continue to decrease workers' compensation costs and recordable injuries by 10% through targeted job analysis, training, supervisor engagement, accident investigations and follow-up.
- Evaluate cameras for upgrade and develop multi-year plan with budget.
- Assess exterior lighting following completion of the LED upgrade project.
- Complete 20 continuity of operations plans and test 75% of departments during annual test.
- Implement, assess and improve, as needed, the safety plan for Student Center project

East Carolina University

Safety Initiatives 2005 -2015

On April 16, 2007 our sense of safety and security on college campuses changed drastically as the result of the massacre at Virginia Tech. Thirty-two people died and multiple others were injured. It was the deadliest peacetime shooting incident by a single gunman.

For years, K-12 institutions have experienced similar types of violence; the deadliest occurred in 1999 at Littleton Colorado, 12 students and 1 faculty member were killed and 23 other students and staff were injured and then Eric Harrison and Dylan Klebold killed themselves.

Although these types of incidents are rare, the impact on a campus community is profound. In the last two decades, a scrutinizing eye has been turned to the important issue of safety on college campuses. From tragic events such as the Virginia Tech shooting to reports that up to 25% of female college students report being raped at some point during their time at an institute of higher education, campus safety has become a major focus for institutions of higher learning.

More than ever before, students and parents are soberly aware of campus safety issues at colleges and universities. High profile incidents have put safety at the forefront for many students and parents when choosing a college. The United States Department of Education records incidents of crime on college campuses in nine main categories to provide families with a total picture of campus safety issues across the nation.

Based on recent surveys and media interviews, students report feeling safer due in large part to the campus safety enhancements completed over the last decade at ECU. Below is a brief summary of the key safety initiatives completed with more being planned.

Year	Name of Initiative	Brief Description
2005	Sexual Assault Victim Advocate	The Center for Counseling and Student Development added this new position to the university with the vision of focusing full-time attention on the problem of sexual assault on college campuses. Over time, the position moved to focus more generally on victim issues but has recently focused again on sexual assault with the national attention on VAWA, Title IX and Clery Act.
2005- Present	CCSD Operations	The Center for Counseling and Student Development has significantly expanded its counseling, crisis, outreach and alcohol and other drug services by addition of numerous staff to provide therapy, crisis support, educational and harm reduction services to students. This increase in staffing meets a significant surge in demand for services and severity of students' presenting issues.

2006	Increase in CCSD Staff positions	Addition of counseling center staff to address counseling needs of ECU students.
2006-07	Policy Implemented for Applicant Background Checks	The UNC Policy Manual was updated to add the policy for performing background checks on applicants. East Carolina University added the six campus safety questions to the Undergraduate and Graduate applications and began checking backgrounds in July of 2007 of those students who answer in the affirmative or are found to have falsified an answer.
2007	ECU PD Accreditation	ECU Police receive accreditation from the Commission on the Accreditation of Law Enforcement Agencies (CALEA). ECU Police received training in rapid deployment (active shooter response), upgraded to tactical rifles in 2008 and all officers were trained and qualified (annually). Developed, installed, tested and implemented a comprehensive, integrated emergency notification system consisting of email, text message, text/voice on VOIP phones and pop-up screen on computers. Outdoor speakers were added across campus in 2008 and the backbone system was upgraded in 2013 to improve integration, speed of messaging and ease of use. Invested over \$1 million in cameras, electronic access in all residence halls, emergency notification enhancements, training and equipment in 2007 and 2008.
2007	Involuntary Protective Withdrawal Policy	The Dean of Students drafted an Involuntary Protective Withdrawal Policy for East Carolina University. This policy was approved by the Chancellor's Executive Council and was implemented in the fall of 2007. The policy addresses a need for the University to be able to remove a student who is deemed as a significant threat to self, or the campus community, and who is unwilling to be withdrawn through the normal channels; i.e., Counseling Center, Office of Student Rights and Responsibilities. A Threat Assessment Team was established to review all such cases.
2008	Threat Assessment Training	Formalized the existing threat assessment process by developing a multidisciplinary team trained by national experts.

2008 - Present	CollegeAlc/Alcohol Edu Module	Addition of Alcohol Education Module to provide basic education for all incoming first year students under the age of 21 as a means of harm reduction for this more at-risk population.
2009	Environmental Health & Campus Safety (EHCS) unit	Chancellor created the Environmental Health & Campus Safety (EHCS) unit in an effort to consolidate campus safety, police and emergency management functions into a more efficient and effective structure. Recurring funds (\$500,000) were allocated to enhance and maintain safety and emergency preparedness systems. In 2009, a study by the John William Pope Center for Higher Education Policy determined that ECU had one of the lowest violent crime rates (per capita) in the UNC system. The study can be found at http://www.popecenter.org/commentaries/article.html?id=2445
2010	Active Shooter Drill Main Campus	Conducted a full-scale active shooter drill on the Main Campus with after-action review and follow-up to further improve future responses. Received accreditation from the National Weather Service as a StormReady University based on the university's severe weather monitoring, notification, Storm Spotter training and response systems. Completed an internal review of the ECU Police and developed a 5-year strategic plan.
2010	Freshman Orientation-True Life Session	True Life is a collaborative programming effort among Campus Wellness, Ledonia Wright Cultural Center, OSTYFP, and CCSD to provide interactive, ECU-specific information regarding health, substance and cultural issues to assist successful and safe transition into the university environment for all incoming first-year students during the summer prior to their arrival on campus.
2010 - present	ECU Cares	For reports of concerning behavior on campus, the ECU Cares reporting mechanism was established (#252-737-5555 or www.ecu.edu/ecucares) whereby any member of the campus community could report a concern about the behavior of another member of the campus community. Over time, this reporting "hub" has evolved to include other key emergency contacts on campus, such as ECU Police, Victim Advocate, Dean of Students Office, Student Health,

		Center for Counseling & Student Development, Environmental Health & Safety, and SafeRide. The website offers resources regarding numerous health and safety topics for students.
2011	Active Shooter Drill Health Sciences Campus	<p>Conducted a full-scale active shooter drill on the Health Sciences Campus with after-action review and follow-up to further improve future responses.</p> <p>Conducted a lockdown of Main Campus and Health Sciences Campus based on the report of an armed person heading toward campus. Conducted after action review and made improvements to notification and response procedures.</p> <p>Completed campus-wide camera system with over 500 networked cameras with recording system.</p>
2011-present	University Behavioral Concerns Team	The University Behavioral Concerns Team was established to assess potential threats of violence to the campus community. Membership includes experts from various key offices from around campus trained in threat assessment processes and techniques. The UBCT has evolved over time into two distinct teams, one for concerns about students and one for concerns about employees or visitors to campus.
2012-Present	Pirate Safety Module	East Carolina University added a second freshman/transfer student module, Pirate Safety, to the required alcohol education program. Pirate Safety teaches students about safety tips and resources specific to East Carolina University and Greenville. All incoming freshman and transfer students are required to complete this module.

2012	Diversifying ECU PD	Increased diversity in ECU Police command staff through offering additional training to all officers and conducting graded promotion assessments through a multidisciplinary interview team with assistance from a consultant, resulting in a process viewed as fair by all candidates and 7 of 9 promotions being earned by African-Americans.
2012-2013	Probationary Guidelines	<p>The Office of Student Rights and Responsibilities (“OSRR”) sought to amend the ECU Code of Conduct with regard to the disciplinary standing of probation. In prior years, probation did not carry much weight. Probation was issued in increments of 6 months. Students placed on probation were informed “A period of time during which the student’s behavior is under University review. Probation is intended to communicate to the student that the University considers the student’s behavior inappropriate and that further violations will result in more severe consequences.” Thus, there was not a true incentive for students to reevaluate actions deemed inappropriate. For this reason, OSRR amended the definition of probation.</p> <p>When a student is placed on probation they are prohibited from representing the university in an official leadership capacity during the time of probation. Given the weight that probation carries it is anticipated that students will reflect on their actions and consider alternative methods to avoid violating the student code of conduct. Additionally, the timeframe of probation has been amended so that it is more applicable to the nature and severity of an incident.</p>
2013	Crime Statistics	Based on NC Department of Justice (NCDOJ) crime data, ECU had the lowest violent crime rate in the UNC system in 2013. Over the past 5 years (2010-14), ECU’s index crime rate decreased by 42% and the violent crime rate declined 47%.
2013	General Statute 116.40.11	<p>Disciplinary Proceedings; Right to Counsel for Students and Organizations</p> <p>Legislation within the state of NC now permits any student or student organization with right to be represented, at the student’s or organization’s expense, by a licensed attorney or non-attorney advocate.</p>

2013 - present	Care Team	The Care Team is a behavioral intervention team made up of Student Affairs Educators from select offices from campus. The purpose of this team is to assesses and intervene with students who are determined <u>not</u> to be a threat to the campus community, but who are still facing significant barriers (family, financial, social, emotional, physical, psychological, academic) to their success at ECU, including suicidal ideation.
2014	BASICS	Implementation of research-based motivational-interviewing counseling program for all alcohol and other drug policy violators.
2014	Collegiate Recovery Community	ECU Collegiate Recovery Community (ECU CRC) provides an affirming, supportive environment within our campus culture to help students lead sober, healthy lives. We provide social and educational opportunities where recovering students can thrive academically and socially while actively pursuing their recovery. ECU CRC offers students an opportunity to bond together in an alcohol and drug-free environment that encourages healthy, sustainable habits for mind, body, and spirit.
2014 - Present	Haven Module	East Carolina University added a third freshman/transfer student module, Haven, to the required alcohol education and Pirate Safety programs. Haven teaches students about healthy relationships and preventing sexual misconduct. All incoming freshman and transfer students are required to complete this module. In the Fall 2015 semester, Graduate Admissions began requiring that all incoming students complete the Haven module as well.
2014 - Present	Campus Safety Review Committee	<p>Prior to September 1, 2014, there were two committees that reviewed applications that were identified as posing a potential safety threat to the campus, or that showed inconsistencies in the answers to campus safety questions (CSQ's). A third committee was charged with reviewing re-admittance petitions submitted by suspended or expelled students to the Director of the Office of Student Rights and Responsibilities. These committees were: the Admissions Safety Committee; the Admissions Falsification Committee; and the Suspended Student Review Committee.</p> <p>To improve efficiency, save time and effort for staff members, and streamline the decision making process in</p>

		cases requiring a committee decision, beginning September 1, 2014, these three committees were combined into one: the Campus Safety Review Committee.
2014 - 2019	ECU PD Strategic Plan: Beyond Tomorrow-Our Commitment to the Future	<p>Adopted Strategic Commitment: <i>We will be a national model for campus safety and the safest campus in the UNC system.</i> (2014-2019 Strategic Plan: Beyond Tomorrow – Our Commitment to the Future)</p> <p>News Services helped create a safety media blitz for fall semester start that included safety-related articles in East Magazine and ECU home page, media interviews and an op-ed in the Daily Reflector.</p> <p>Greenville Police and ECU Police have been conducting coordinated patrols on weekends and holidays for several years and worked with the community in the university neighborhood (“The Grid”) to decrease violent crime in the area by 37% from 2008-2011. Crime statistics for 2014 below are provided by James Robbins who is a neighborhood watch representative with expertise in statistics.</p> <ul style="list-style-type: none"> • Total index crime was down 48.9%. • Burglary and theft (larceny) decreased 58.4% and 5.5%, respectively. <p>Collaborated with Facilities Services to design, construct and implement the new pedestrian and bike path on core campus (from Croatan to Joyner) to alleviate the most significant vehicular-pedestrian conflicts on campus. Developed bicycle master plan to increase use of bikes and improve safety. Increased bike usage can help decrease traffic congestion and parking demand. Designated Bicycle Friendly University – Silver Level by the League of American Bicyclists.</p>

2014 - present	Good Samaritan Regulation	The Good Samaritan regulation is a vehicle used to educate students about the dangers of alcohol poisoning in harm-reduction educational programming delivered by CCSD staff to our student population. The purpose of the Good Samaritan Regulation (“Regulation” or “GSR”) is to remove a potential barrier and facilitate access to emergency medical care in cases of alcohol related medical
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		<p>emergencies. The goal is to increase the likelihood that a person needing medical assistance will receive this assistance by reducing the reluctance of students to seek out appropriate help due to fear of potential University consequences assigned by the Office of Student Rights and Responsibilities (“OSRR”) to themselves or another person in need of assistance.</p>
<p>2014 - present</p>	<p>RESTART</p>	<p>The RESTART program was implemented through the efforts of the Office of Student Rights and Responsibilities, whose mission is, <i>”to foster student growth by promoting students’ awareness and understanding of their rights and responsibilities, addressing student conduct and creating developmental learning opportunities, and engaging students in ethical decision-making.”</i></p> <p>The mission of the RESTART (Reframing and Engaging Student Thoughts and Actions through Resources and Techniques) program at East Carolina University is to promote student development, citizenship and responsibility by creating and supporting integrated intervention initiatives for students on deferred suspension. Adapted from the Back on TRAC program which started at Colorado State University, RESTART serves as a deferred suspension for a student found responsible for a major (or several minor) violations which warrants suspension as a sanction. Suspension is defined per our Student Code of Conduct as, <i>“the immediate separation of the student from enrollment at the University.”</i> RESTART permits a student to maintain enrollment at ECU, to take classes and use services available through the university, while participating in a structured curriculum involving activities to foster individual strengths and decision-making skills, random urinary analyses, consistent sessions with our counseling center, and frequent meetings with a RESTART coordinator. However, any further violations of the ECU Code of Conduct will result in immediate suspension.</p>
<p>2015 - present</p>	<p>Sexual Misconduct Response Team (SMRT)</p>	<p>The Sexual Misconduct Response Team (SMRT) reviews and follows ups on all submitted reports to ensure that the proper resources have been provided to students. **Resources include but are not limited to: the Victim Advocate, CareTeam, Student Health Services, CCSD, Off Campus assistance (Real Crisis, Family Violence Prevention Center), and advisement of the University’s retaliation policy.</p>

<p>2015</p>	<p>Increase in ECU PD Safety Initiatives</p>	<p>Funded full-time Clery Coordinator and increased police officer and telecommunicator salaries.</p> <p>With input from faculty, staff and students, reviewed and purchased LiveSafe safety app which provides panic button, resource connections based on ECU Cares model, safewalk feature and safety map. Implementation scheduled for 2016. This safety app will complement the ECU Cares website and phone system.</p> <p>With a grant through Pitt County Health Department, ECU Police officers were trained and equipped to use Narcan (nasal spray) to counteract opiate overdose.</p> <p>Upgraded camera recording management system and servers and consolidated telecommunications (dispatch) center into one location with the other location remaining as a backup.</p> <p>Completed emergency bluelight phone upgrade on Main Campus and Health Sciences Campus.</p> <p>Developed safety plan for Student Center project to include additional cameras, emergency phones, lighting, SafeRide and police patrols and pedestrian crossing monitoring.</p>
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UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
Recommendation 1: Adopt a University system policy requiring periodic reports to the boards of trustees and the Board of Governors with data and information concerning campus security and student safety.	Requires GA system-wide coordination. <i>ECU provides annual safety report to BOT and will update structure to UNC-GA standards.</i>
Recommendation 2: Adopt a University system policy on sexual harassment and sexual violence.	Requires GA system-wide coordination. <i>ECU has sexual harassment and sexual violence policies and will update as needed.</i>
Recommendation 3: Establish a UNC system-wide Campus Security Committee.	COMPLETED. UNC GA has established this committee. ECU has two representatives. The first meeting is being scheduled.
Recommendation 4: Develop a data collection protocol and process for campuses to collect security information in a way that is most useful to campus units, boards of trustees, the Board of Governors, and the president.	Requires GA system-wide coordination. <i>ECU Police collect crime data through their report management software system, including stalking, domestic violence and dating violence. The data are analyzed and compiled into monthly crime analysis reports and an annual crime analysis report. A captain and sergeant have responsibility for the report management system and crime analysis. In 2013, they attended crime analysis training in an effort to improve and expand our crime analysis effort. ECU Police regularly conduct campus climate surveys on campus security and student safety. Fall 2015, ECU Criminal Justice Department faculty and students conducted a campus survey and are now analyzing the results. ECU will work through the UNC Chiefs group led by UNC-GA to provide data and reporting that meets the needs of the UNC President and Board of Governors, as well as other campus constituents. This data will be used in the upcoming campus safety strategic planning process, including input from community forums. Crime mapping and additional data collection will be necessary.</i>
Recommendation 5: Students should not serve on hearing panels in cases involving sexual violence.	COMPLETED. The ECU Student Code of Conduct has been revised. The code now outlines that a panel involving cases of sexual violence will consist of three staff members and two faculty. The Code changes were effective beginning 1/1/15.
Recommendation 6: Reports involving serious offenses, including sexual violence, should be investigated by individuals with appropriate training and experience.	COMPLETED. A Title IX Investigator for students is employed within the Office of Student Rights and Responsibilities. Another position has been secured and is currently being recruited. We hope to add one more investigator. Additionally, all staff within the Office of Student Rights and Responsibilities receive training (face to face and webinars) on how to manage serious offenses, including sexual violence, through the established conduct process. Such training included training in Title IX investigating, as well as Gehring Academy training with emphasis on sexual misconduct cases. Title IX Investigator started Nov. 2014; Title IX Compliance Coordinator started March 2015. Investigator and Compliance Coordinator have received training.

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
Recommendation 7: Provide students clear notice of the right to representation by attorney or non-attorney advocates during conduct proceedings.	COMPLETED. Students are notified that they can have an attorney or non-attorney advocate in communication from OSRR. It can be found in their student rights in Section 4 of the code as well as when they are officially charged by the conduct office. Information is also on the website www.ecu.edu/osrr .
Recommendation 8: Campuses should establish responsibilities, skills, and minimum qualifications of Title IX coordinators.	COMPLETED. Compliance Coordinator started March 2015. Duties of Title IX coordinators include ensuring coordination tracking trends on any patterns or systemic problems and soliciting feedback on the efficacy of the overall response to sexual misconduct; providing information to individuals regarding their Title IX rights and the University's grievance processes; conducting a semiannual review of all formal and informal Title IX complaints, misconduct, any other grievance procedures, and/or independently investigated by the University in order to identify and address any patterns or systemic problems; periodically assessing the efficacy of the University's overall Title IX compliance efforts; regularly developing and participating in activities designed to raise awareness in the University's community about sex discrimination (including sexual harassment).
Recommendation 9: Campuses should collaborate in the development of University system regulations or guidance for adoption by the president that address the Clery and Title IX training that must be provided to various campus constituencies.	Requires GA system-wide coordination. <i>ECU continues to review and update its policies and procedures and will share all documents as part of a collaborative effort with UNC-General Administration and the other UNC institutions.</i>
Recommendation 10: The University should, if feasible, issue a system-wide request for proposals for basic online training content.	Requires GA system-wide coordination.
Recommendation 11: Individuals who hear cases involving allegations of serious offenses, including sexual violence, must have minimum levels of experience and training.	COMPLETED. Minimum requirements for Title IX Investigators and conduct officers include a Master's degree in a related field and training in investigations and case management. Faculty/Staff receive yearly training regarding the standard conduct process. Many of these topics involve content base material as well as standard role play scenarios. Panel members also attend an intense follow up training session specifically on Title IX. Additional to standard trainings, panel members may attend webinars to serve as supplemental training. A list of trainings is maintained on file through the Office of Equity and Diversity.
Recommendation 12: With appropriate staff capacity, UNC General Administration should coordinate and convene system-wide annual training and collaboration	Requires GA system-wide coordination. <i>ECU will share training resources and work collaboratively with UNC-General Administration and the other UNC institutions in developing a system-wide, annual training program on various campus safety topics.</i>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
opportunities for staff working in campus security and safety.	
<p>Recommendation 13: Provide basic campus law enforcement officer training to newly-hired officers and advanced sexual assault and interpersonal violence investigation training for police investigators.</p>	<p>COMPLETED/ONGOING. The ECU Police department is accredited by the Commission on Accreditation for Law Enforcement Agencies (CALEA) and must be recertified every four years with annual reviews to maintain this status. The Department is currently seeking accreditation through the International Association of Campus Law Enforcement Agencies that include standards relating to the Clery Act and Title IX, as well as other campus specific standards. Newly hired officers must successfully complete the Basic Law Enforcement Training Academy which includes sex offense investigation and domestic violence response training. All newly hired officers and telecommunicators must review the Pitt County Sexual Assault Response Protocol which is a county-wide procedure developed by law enforcement, crisis intervention and medical practitioners. Each new officer must complete a comprehensive, field training program, which typically lasts 14 weeks and is under the direct supervision of a trained and qualified field officer. ECU Police officers have received in excess of 3600 hours of training in crime prevention, sexual assault investigations, domestic violence/teen dating, stalking awareness and crime scene investigations. Investigators and other officers have attended 40-hour training in sexual assault investigation and sexual assault response team (SART) training. In 2015, two ECU Police investigators attended a 16-hour course on Title IX, VAWA, Clery, Victim’s Rights, interviewing, attitudes and biases of officers, and other topics, which was presented by the UNC system. The intent is for the remaining officers to attend this training in 2016. All officers and telecommunicators completed training on the Neurobiology of Sexual Assault In the Fall 2014 and completed Preventing Discrimination and Sexual Violence in 2015. ECU Police is developing an annual officer in-service training on sexual assault response and investigation through a collaborative effort with the Title IX Coordinator and Center for Counseling and Student Development. In 2013, telecommunicators received in-service training in interacting with sexual assault victims. All telecommunicators will also receive annual sexual assault response training. ECU will consult other UNC institutions on best practices. In 2015, the Title IX Coordinator conducted Title IX/Responsible Employee training with patrol officers. The same training will be conducted for telecommunicators and the remaining police officers. The Chief of Police, Investigations Commander, Patrol Commander and Clery Coordinator are scheduled to attend the 2016 Campus Sexual Assault Symposium hosted by the North Carolina Conference of District Attorneys in March. Also, the Title IX Coordinator and the Director of Student Rights and Responsibilities are scheduled to attend. Several officers have attended Sexual Assault Investigation. UNC Greensboro Police Department developed a training course “Sexual Assault</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	Response for Law Enforcement.” This program will be available to all UNC System Police Department investigators/officers in the future. The first training was attended by the Investigations Unit Lieutenant and Sergeant.
<p>Recommendation 14: Each campus should form a multi-departmental committee to develop and implement strategies to address alcohol and other substance abuse by students through a public health model approach.</p>	<p>COMPLETED. The Alcohol, Tobacco, and other Drug Committee (ATOD) is the campus taskforce whose mission is to reduce the ill effects of AOD use on our campus. It is comprised of students, administration, faculty, and staff. In total, there are 20+ individuals who are active with the ATOD Committee. This committee was established in Fall 2007 and remains active to this day with regular meetings and initiatives to support its mission. ATOD provides a collaborative approach to AOD prevention amongst a campus coalition that is well represented by key constituents. A few key accomplishments of this committee are: 1. Planning, implementing and successful continuation of the online alcohol education program, “AlcoholEdu,” for all incoming, and first semester freshmen under the age of twenty-one. 2. Provision of multi-department and student coordinated large scale alcohol education programs offered at key parts of the semester as “Premier Passport” events. This is a collaborative effort with all Health Education 1000 courses and yearly has several hundred students in attendance. 3. Collaboration with Faculty Senate in providing alcohol education information to faculty via e-mail and in encouraging faculty to promote and deliver positive and healthy messages to their student audiences pertinent to alcohol and “partying.” 4. Proposing and implementing ECU’s Good Samaritan Regulation. ECU uses the public health prevention model developed by The National Academy of Science’s Institute of Medicine, which states that programs should be tailored to meet the specific needs of the three prevention populations: universal (all students), targeted (students that are members of high-risk groups), and indicated (individuals who have exhibited high risk behavior). Educational programs target each of these three populations in many forms and we collaborate with students, staff/faculty, parents, administration and the local community <i>to deliver these educational messages.</i></p> <p>The Healthy PIRATES and other students trained as Peer Educators at ECU work closely with Campus Wellness and the Center for Counseling and Student Development to provide interactive educational outreach programs that include messaging about safety, alcohol and substance use/abuse. Programming/events includes health fairs, residence hall programs and tabling events around campus as well as utilization of the golf cart to ride around campus and talk about these issues. Each fall, there are multiple large scale programs/events reaching out to thousands of students through Collegiate Alcohol Awareness Week, Halloween Safety programs, Great American Smoke out and the annual Take Back the Night March. The Campus Wellness Education Leaders (CWELs) from Campus</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	Recreation and Wellness are trained as Peer Educators to conduct RA programs in the Residence Halls and also facilitate all of the Wellness Trivia Nights and Wellness Wednesday programs – many of which cover these topics.
Recommendation 15: Each campus should have access to at least one dedicated, trained and licensed substance abuse counselor.	COMPLETED. The Center for Counseling and Student Development (CCSD) has two full-time Licensed Clinical Addictions Specialists (N. C. licensure for substance use counseling) dedicated to providing therapy, psycho-education and outreach on campus. Additionally, CCSD includes counselors in training from the ECU Department of Addictions and Rehabilitation Studies to provide basic alcohol and other drugs assessment and psycho-education to students who have violated the code of conduct regarding alcohol and other drugs.
Recommendation 16: Each campus should implement a Good Samaritan policy to encourage students to report serious incidents to campus officials.	<p>COMPLETED. ECU passed The Good Samaritan Regulation in Spring 2014 and the policy went into effect during the Fall 2014 semester. The purpose of the Good Samaritan Regulation is to remove a potential barrier and facilitate access to emergency medical care in cases of alcohol related medical emergencies. The goal is to increase the likelihood that a student needing medical assistance will receive this assistance by reducing the reluctance of individuals to seek out appropriate help due to fear of potential University consequences assigned by the Office of Student Rights and Responsibilities (OSRR) to themselves or another individual in need of assistance.</p> <p>Bystander Intervention: This is part of the Certified Peer Educator training that happens each fall with the Healthy PIRATES student organization and each spring with the students in the Wellness Living Learning Community. We have conducted trainings with the athletic department and hope to continue that in the fall and spring. It is currently part of the job description for our open position, Assistant Director of Wellness Programming. We would like to get in front of the Greeks at some point (hopefully collaborating with multiple departments) to address bystander intervention as well. As of January 2015, 50 ECU staff, faculty, and students completed a five hour bystander intervention training conducted by Step Up Facilitators from the University of Virginia.</p>
Recommendation 17: Each campus should clearly communicate to students and employees the on- and off-campus resources available for individuals struggling with substance abuse.	COMPLETED. The Center for Counseling & Student Development (CCSD) and Student Affairs staff (from Campus Recreation and Wellness, and others) do extensive outreach regarding alcohol and other drugs. This includes outreach to such entities and groups that include: all incoming freshmen at orientation, residence halls, fraternities/sororities, SGA and other student leaders, athletics/student athletes, classroom presentations (especially to COAD 1000 and Health 1000 classes), parents of ECU students, amongst several others. During the 2014-2015 year, CCSD (alone) did 62 outreach presentations to 8448 individuals on campus regarding alcohol and other drugs. This also includes outreach to staff and faculty per education on alcohol and other drug related issues. Each

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	<p>presentation includes information about resources and services available on campus to assist with substance related issues.</p> <p>All incoming freshmen under the age of 21 years old are mandated to complete an online alcohol education module called AlcoholEdu. This has now been the case for the last five year. Each year 99%+ of the freshmen class completes this research-based and effective alcohol education program. Last year, approximately 4400 ECU freshmen completed this education module during summer and fall 2014. Included in this program is information, with links, to websites for resources available to assist with issues pertaining to alcohol and other drugs.</p> <p>Regarding information about resource available off campus, the CCSD webpage has three links pertinent to this issue. The first link is for students who wish to seek off campus alcohol and other drug related assistance. This link is to the local mental health network provider that is the resource and conduit to behavioral health assistance in the community and states as follows: Other resources are available for those wishing to seek treatment with off-campus providers, available through East Carolina Behavioral Health Network Provider Directory. http://www.ecbhlme.org/en/For-Providers/Provider-Directory. The second link from the website is to the Alcoholics Anonymous webpage in which information is available about availability of off campus AA Meetings in the community. www.aa.org (of note, ECU has a weekly AA meeting that meets on campus each Saturday in the Student Recreation Center). The third link from the CCSD webpage is pertinent to faculty and staff:</p> <p>The Collegiate Recovery Center (CRC) has been underway for the past two years based on grant from the Governor’s office. During the 2014-2015 year, infrastructure for the CRC was created, and information gathering was done among the small committee working on the project. Two offices (one for a Coordinator and one for a CRC lounge) were secured in the Center for Counseling and Student Development (space for a lounge already existed in the Campus Recreation and Wellness office). Items promoting the ECU CRC on campus were purchased along with items addressing existing substance related issues on campus e.g.: Naloxone was made available for all ECU PD officers to carry, educational/assessment program purchased for students who have violated the code of conduct, harm-reduction and safety campaign reinforcement items were all procured. During the 2015-2016 year, the CRC website for ECU was completed and went live. A CRC coordinator was hired in September to oversee and coordinate activities – advertisement,</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	<p>recruitment of students, and implementation of programming/treatment that complements existing substance prevention/treatment efforts. At this time, there are two active members in the CRC. Based on consultation with existing programs, the goal is to have 5 active members by May, 2016.</p> <p>The CCSD does not provide ongoing counseling services for University employees. However, if an employee is in crisis a professional staff member will meet with the employee one time to assess a concern or problem and make an appropriate referral to another source of help. An Employee Assistance Program is available that includes confidential assessments, and referrals for employees who work a minimum of 30 hours/week. Other resources are available for those wishing to seek treatment with off-campus providers, available through East Carolina Behavioral Health Network Provider Directory. Please follow the link here and search under the appropriate specialty category or contact the CCSD for more information.</p>
<p>Recommendation 18: University leadership should commit to eliminating institutionally-sponsored messages that encourage a culture of alcohol use.</p>	<p>COMPLETED. ECU leadership is keenly aware of the many negative impacts that the misuse of alcohol causes on a college campus. The misuse of alcohol has consequences for all of our campus community members in terms of health, safety and well-being, academic environment and University student retention, and in other myriad ways. Thus, we have dedicated University resources to address underage drinking and the misuse of alcohol in our campus community. We do this through strong programming focusing on prevention and early intervention education and counseling. ECU leadership is fully cognizant that institutionally sponsored messages that might encourage a culture of alcohol use are counter-productive to our goals and mission of the institution, and thus we monitor for such messages and discourage and /or disallow them. The ECU Faculty Senate sends out an e-mail each Fall that reads, in part: "Members of the ATOD Task Force and your faculty officers encourage you to use caution and discretion when discussing alcohol and other drug use in your interactions with students, be it in the classroom, the laboratory, faculty offices or in informal settings. We are very sensitive to academic freedom and this request in no way seeks to impinge on that principle. We also understand that humor is an instructive tool.</p> <p>Beginning in 2014, Campus Rec & Wellness will require club sports teams to perform background checks on coaches, and we will be requiring them to take the University workplace violence and harassment training.</p>
<p>Recommendation 19: Each campus should create a safety-centered mobile phone application for students.</p>	<p>IN PROGRESS. In Fall 2014, a group of faculty, staff and students were organized to review commercially available safety applications that provide panic button, crime mapping, concerns</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	<p>reporting, safe walk and other assistance options. Eight systems were evaluated against the ECU criteria and four companies were selected to provide presentations. The top two choices provided demonstrations and the group identified its unanimous #1 choice. Over the summer, EH&S coordinated a hands-on demonstration between students, staff and ECU Police Dispatch and all were impressed with the product and encourage its purchase. EH&S purchased the safety app in Fall 2015 with implementation of a soft rollout planned for Spring 2016. The ECU version of the app is currently under review and a marketing campaign is being developed for full rollout to faculty, staff and students in Summer Orientation and Fall 2016.</p>
<p>Recommendation 20: Each campus should implement a multi-faceted primary prevention and awareness campaign for students and employees.</p>	<p>COMPLETED. ECU’s alcohol and other drug (AOD) prevention efforts are geared to engage students in an educational, non-punitive fashion, and to encourage student participation and dialogue in this process. All programs are also aimed at meeting the developmental needs and issues common amongst this college population. We recognize that abstinence from mood altering chemicals is a choice that many students make, thus all of our programming includes discussion of this option with respect to substance use. For this reason, soon-to-be and current first-year students receive a sizable percentage of programming efforts, as research has consistently demonstrated that this population is most “at risk” for problems associated with AOD issues. All programs are designed to educate students about the issues and risks associated with alcohol and other drugs common on college campuses across the country, i.e. violence/sexual violence, overdose, accidents/injuries and health issues, legal ramifications, social norming messages, and harm-reduction strategies. Also, of note is that we tailor our educational programming specifically to our ECU campus based on our research data, feedback from student groups, and themes particular to our campus. We strongly believe that this tailored approach is far superior to a more generic approach that would not contain the same ECU specific educational messages that we incorporate into all of our programming. We additionally view AOD prevention and education as an essential ingredient in University retention efforts for students. Therefore, the adverse role that AOD issues have on student success, grade point average being an immediate example, is taken into account and is made part and parcel of many programs delivered.</p> <p>Bystander Intervention training is available.</p> <p>All faculty and staff are required to complete a mandatory online module, “Preventing Discrimination and Sexual Violence.” The module includes information about ECU policies and procedures related to sexual misconduct, consent, and reporting options. Face to face educational sessions related to</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	<p>mandatory reporting, Title IX rights and responsibilities, re-victimization, the role of alcohol and drugs in sexual assault, and trauma are also offered to faculty and staff through open sessions, and by request.</p> <p>A Title IX website was created last year with a specific section for faculty and staff. Sexual misconduct awareness materials are placed in The East Carolinian and digital monitors across campus. A sexual misconduct and interpersonal violence guide was published and disseminated providing information about mandatory reporting responsibilities, and a Title IX/VAWA booklet is available with key terms and resources available on campus.</p>
<p>Recommendation 21: Increase salaries for public safety officers and telecommunicators to established law enforcement market rates.</p>	<p>COMPLETED/ONGOING. Salaries of officers and telecommunicators have been increased to reflect current market rate in accordance with the student safety fee allocation provided by the UNC GA. ECU Police has provided HR with justification and documentation to utilize the metropolitan rate.</p>
<p>Recommendation 22: Establish and fund a Clery compliance officer position at each campus.</p>	<p>IN PROGRESS: ECU has a designated Clery Compliance Coordinator but the position has other duties with Clery included as only 20-25% of the responsibilities. Increased regulatory requirements over the past few years show need for a full-time, dedicated Clery Coordinator position as verified by internal analysis and Margolis-Healy assessment. The Chancellor provided ECU Police with funding this year for a full time Clery Coordinator to meet the increased need. This position is currently in the hiring process with interviews scheduled for early February.</p>
<p>Recommendation 23: Each campus should establish a Clery Act oversight committee.</p>	<p>COMPLETED/ONGOING. Our Annual Security (Clery) Report is reviewed by an ad-hoc group of university officials before it is published, including key staff from University Attorney, Internal Audit, ECU Police, Environmental Health and Safety, Student Affairs and others. This review and oversight will be included in the charge for the security and emergency subcommittee as we evaluate the university safety committee structure.</p>
<p>Recommendation 24: Each campus should establish a Title IX response team.</p>	<p>COMPLETED. There is a response team that meets monthly to discuss cases and other concerns. Team is comprised of appropriate people from Dean of Students, Student Rights and Responsibilities, ECU Police Department, Equity and Diversity, Counseling Center, etc. We also have a compliance team and a sexual misconduct advisory team.</p>
<p>Recommendation 25: The University should enhance its staff capacity to support campuses by offering compliance assistance, training, and coordination in campus security and safety matters.</p>	<p>Requires GA system-wide coordination. ECU Police and other key personnel participate in training opportunities offered by the UNC GA. The UNC Chief's group have monthly telephone meetings and/or web meetings conducted by the UNC GA Associate Vice President of Campus Safety and Emergency Operations. Annually, the UNC GA Associate Vice President of Campus Safety and Emergency Operations hosts a Chief's Conference. Chiefs and other police department personnel</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	attend the training. A portion of the conference includes emergency managers and Associate Vice Chancellors.
<p>Recommendation 26: With coordination through General Administration, campuses should work together to develop guidelines and other training materials, a compliance checklist of regulatory requirements associated with campus security and safety, content checklists, manuals, sample template communications, compliance updates, etc. to support the general efforts of campuses in security and student safety.</p>	<p>IN PROGRESS. ECU will work with UNC-GA through the UNC Chiefs' group and others to share best practices and develop guidelines, training materials, compliance checklists, manuals, templates and other materials related to campus security and student safety. ECU requires that all employees complete our newest education module, "Preventing Discrimination and Sexual Violence." Employees hired on or after October 1, 2014 are required to complete this educational module within 90 days of their hire date. Employees hired before October 1, 2014 will have until April 6, 2015 to comply with their responsibility of completing the module. Campus Security Authorities changed to an online format, which provides a better method of tracking. ECU Police Officers receive training in Clery Act Regulations, Title IX Regulations, Review of All Hazards Plans, and other security and safety trainings. ECU Police Department ALERRT (Advanced Law Enforcement Rapid Response Training) Instructors assist all university police departments within the UNC System in emergency response training. UNC GA has established web portals for UNC System Chiefs and UNC Emergency Management. These portals are used to provide and update policies across the system, and to provide best practice discussions based on internal and external influences. System universities can actively participate in discussions and are free to post information via the portals. Topics range broadly from Clery Compliance, use of force, general safety and policy issues (including posting policy manuals), and event planning.</p>
<p>Recommendation 27: The University should assemble and utilize UNC system Clery Act compliance peer review teams and/or external audits.</p>	Requires GA system-wide coordination.
<p>Recommendation 28: Create and fund victim assistant positions within each campus law enforcement agency.</p>	<p>COMPLETED. We have a Victim Advocate position within the Counseling Center; person started (Spring 2015). The Victim Advocate will provide crisis intervention and ongoing services to enrolled student victims/survivors. The Victim Advocate will provide crisis intervention (one session) and referral (for counseling and/or advocacy) for non-students.</p>
<p>Recommendation 29: Develop a campus climate survey.</p>	<p>COMPLETED/IN PROGRESS. ECU project was administered to the campus (Oct. 2015). The Project is a three phase campus climate initiative beginning with a survey that includes questions related to sexual misconduct, including harassment and assault. The survey will identify gauge the university's perception related to sexual misconduct prevention, training, and response.</p> <p>In addition to the Climate Survey, as a requirement of the Police Department's accredited status, a survey on the effectiveness and response of the Police Department is conducted once every three</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
	years. A survey was conducted in the Spring 2015. The Police Department and Title IX Coordinator are collaborating on this survey to include information each unit will need.
Recommendation 30: Each campus should acquire Clery Act compliance and reporting software.	COMPLETED. ECU Police collect crime data through their recordkeeping and report management software system, which was purchased several years ago. Compliance with Clery recordkeeping still requires a lot of effort and some manual collection. ECU plans to work with the other UNC schools to review Clery-specific software that may make the process more efficient.
Recommendation 31: Each campus must have established protocols for responding to serious offenses against persons, including sexual misconduct, and Clery-reportable crimes.	COMPLETED. The University’s “Interim Regulation on Sexual and Gender based Harassment and Other Forms of Interpersonal Violence” outlines the University’s response protocol for sexual violence and harassment.
Recommendation 32: Campuses should identify and clearly communicate reporting options, confidential resources, and additional on- and off-campus. Campuses should clearly communicate confidentiality and privacy considerations related to use of these resources.	<p>COMPLETED. University will ensure due process rights for all parties</p> <ul style="list-style-type: none"> • All parties will be treated fairly and equally • Investigation will focus on the rights of the complainant and the respondent • All parties will be given notice • All parties will have an opportunity to be heard at a meaningful time in a meaningful way <p>Resource information for students can be found at: http://www.ecu.edu/deanofstudents/title_ix-resources.cfm</p> <p>One of these resources, The Center for Counseling and Student Development (CCSD), operates under the confidentiality afforded by North Carolina state law, privacy standards offered by Family Educational Rights and Privacy Act (FERPA), and professional ethical principles. Applicable NC statues regarding privacy and confidentiality include General Statue 122C-52 and Sections 8-53.3 and 8-53.7 of the General Statues. Issues of privacy and confidentiality are also addressed in the Ethical Principles of Psychologists and Code of Conduct, the Code of Ethics of the National Association of Social Workers, and the American Counseling Association Code of Ethics. According to FERPA, educational records are identified as “records, files, and documents and other materials which contain information directly related to a student and are maintained by an educational agency or institution, or by a person acting for such agency or institution. In addition to the FERPA guidelines, some HIPAA standards have been adopted. The combination of North Carolina State Law, FERPA and HIPAA standards are the basis for the confidentiality/privacy practices offered through the CCSD.</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
<p>Recommendation 33: Campus personnel should schedule and participate in regular meetings with their local law enforcement agencies.</p>	<p>COMPLETED/ONGOING. The Center for Counseling and Student Development (CCSD) maintains regular contact with the ECU Police Department and local law enforcement agencies. CCSD co-serves on several committees with ECUPD and both departments effectively rely upon each other in our professional capacities.</p> <p>The Office of Student Rights and Responsibilities (OSRR) has worked to strengthen partnerships with Greenville Police and ECU Police. Annually, meetings occur between Greenville Police and ECU’s OSRR staff. Regularly interaction occurs daily between OSRR and the ECU Police Department staff. Additionally, OSRR staff have been participating in ride along with Greenville Police as a way to build partnership.</p> <p>ECU is very proud of the collaboration of local law enforcement and their understanding of the university community and its policing needs. Chief Lewis is the President of The Pitt County law enforcement agency executives who meet monthly to share information on cases, trends resource sharing, collaborative operations, and initiatives. The Pitt County Law Investigators Group and the Pitt County Law Enforcement Officers Association, a group of law enforcement and district attorney agency members, meets monthly to discuss information and cases that may affect other agencies. Currently, ECU Police Chief Lewis and Greenville Police Chief Holtzman meet regularly to discuss law enforcement initiatives, exchange information on any crime trends and other law enforcement matters. The ECU Police Department has an officer assigned to the Greenville Regional Drug Task Force. Other agencies represented are the State Bureau of Investigation, Pitt County Sheriff’s Office, Greenville Police Department, Winterville Police Department, and Farmville Police Department. ECU Police Officers work special duty assignment in the downtown area of campus on Thursday through Saturday nights. The supervisor assigned to this detail meets nightly with the Greenville Police Department Impact Supervisor for a briefing exchange. This is a coordinated effort that includes patrols into the neighborhood adjacent to downtown and the campus. The local FBI Office has been incorporated into the Police Department’s Football Operations Plan, as well as, the use of the Greenville Police Department Mobile Command Center on game days. A new initiative by Chief Lewis and Chief Holtzman will be to conduct combined Command Staff meetings on a quarterly or semi-annually basis. In addition, Chief Lewis is working to implement a meeting with all law enforcement agencies (federal, state and local) within Pitt County. This will allow all agencies to meet and exchange information on resources that are available.</p>

UNC CAMPUS SECURITY INITIATIVE RECOMMENDATIONS	EAST CAROLINA UNIVERSITY ACTIONS/RESPONSES/OUTCOMES
Recommendation 34: The University should develop a basic manual for conducting and documenting investigations.	COMPLETED. ECU has a clearly outlined process for conducting Title IX investigations from receipt of complaint to resolution of case.
Recommendation 35: The University should develop standards and guidelines to coordinate and further enhance training and information-sharing among the public safety departments of the constituent institutions.	Requires GA system-wide coordination. <i>Currently, UNC Campus Police Departments share information through a shared data system hosted at the GA level. In addition, the UNC GA Associate Vice President for Campus Safety & Emergency Planning conducts telephone meetings on a monthly (or more often, if necessary) basis with all UNC System police chiefs and emergency managers.</i>
Recommendation 36: The University should complete implementation of high priority recommendations of the 2007 Campus Safety Task Force.	Requires GA system-wide coordination. <i>ECU will review these recommendations as part of the upcoming assessment and strategic planning for campus safety.</i>

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Interim Associate Vice Chancellor for Financial Services Dee Bowling
Agenda Item	II.H.
Item Description	Bond Rating Data Discussion
Comments	N/A
Action Requested	Information
Disposition	
Notes	



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DEBT CAPACITY ANALYSIS

East Carolina University

February 5, 2016

Contents of Debt Capacity Study

- I. Credit Profile of University
- II. Debt Profile and Historical Financial Operations
- III. Overview of Debt Capacity and Debt Affordability
- IV. Comparative Ratio Analysis: Spendable Cash and Investments to Operating Expenses
- V. Comparative Ratio Analysis: Spendable Cash and Investments to Total Debt
- VI. Comparative Ratio Analysis: Total Debt to Cash Flow
- VII. Comparative Ratio Analysis: Debt Service Coverage
- VIII. Debt Capacity & Debt Affordability Calculations

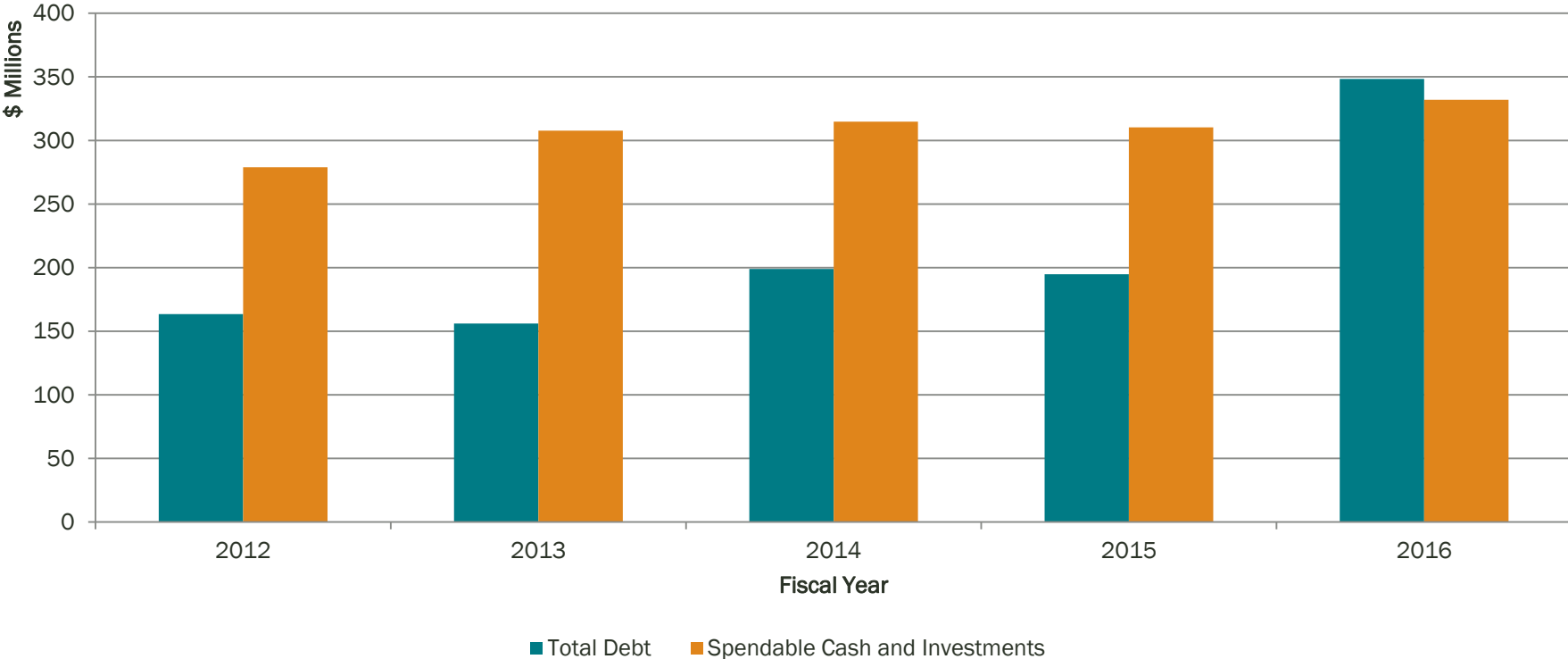
Credit Profile of the University

The background is a solid teal color. A large, light-teal stylized letter 'Z' is centered on the page. A horizontal line of the same color is positioned below the text, intersecting the middle bar of the 'Z'.

Executive Summary

- The University has requested our firm conduct a debt capacity and debt affordability study as a foundation for capital investment.
- Over the years, the University has made numerous capital infrastructure investments, some of which have required the use of debt.
- Since 2012, ECU’s total direct debt has increased from approximately \$163 million to approximately \$348 million.
 - In addition to retiring debt as scheduled and executing several refunding transactions, the University issued over \$227 million in new money debt during this time.
- While most of ECU’s leverage metrics are still quite healthy in spite of this increase in debt, some metrics may no longer be consistent with the University’s “Aa2” credit rating. The chart below shows ECU’s spendable cash and investments against its total debt. With the issuance of the Series 2016A&B Bonds, the latter now exceeds the former.

Total Direct Debt and Spendable Cash and Investments



Note: 2016 ratio is projected based on assumptions highlighted on Page 16.

University Credit Profile

Moody's – "Aa2" – Stable Outlook – December 17, 2015

- Credit Strengths
 - Healthy support from "Aaa" State of North Carolina.
 - Relatively modest leverage.
 - Strong management of university financings translates to steady operating results.
 - Revenue diversity helps insulate ECU from pressure on any one revenue source.
- Credit Challenges
 - Relatively small size and geographic reach compared to "Aa2" peers.
 - Financial reserves are narrow relative to peers.

Standard & Poor's – "AA-" – Stable Outlook – December 21, 2015

- Credit Strengths
 - Largest producer of initially licensed teachers, new nurses, and allied health professionals in North Carolina.
 - Growing enrollment, with applications up in Fall 2015 for both freshmen and graduate students.
 - Good revenue diversity.
- Credit Challenges
 - Increase in debt results in softening of unrestricted net assets to pro-forma debt.
 - Slight decline in cash due to use of bond proceeds in conjunction with completion of Gateway dormitories.
 - Weaker state operating appropriations despite State's economic strength.

ECU General Revenue Bonds

Moody's	S&P	Fitch
Aaa	AAA	AAA
Aa1	AA+	AA+
Aa2	AA	AA
Aa3	AA-	AA-
A1	A+	A+
A2	A	A
A3	A-	A-
Baa1	BBB+	BBB+
Baa2	BBB	BBB
Baa3	BBB-	BBB-

Non Investment Grade

Moody's Scorecard for ECU (Old Methodology)

- Moody's scorecard was developed in 2012 to assist institutions in understanding the weight Moody's assigns for various credit factors in the overall credit rating.
- The original methodology scores ECU as a "Aa2" credit.

	Weighting	ECU - 2014	Aaa	Aa1	Aa2	Aa3	A1	A2	Individual Value	Score
Market Position (35%)			1	2	3	4	5	6		
Operating Revenue (\$000)	10%	825,145							3.24	0.32
Primary Selectivity (%)	5%	69.0							3.29	0.16
Primary Matriculation (%)	5%	36.9							3.83	0.19
Net Tuition per Student (\$)	10%	7,409							3.10	0.31
Average Gifts per Student (\$)	5%	1,317							3.05	0.15
Operating Performance (30%)										
Operating Cashflow Margin (%)	10%	7.70							5.38	0.54
Average Debt Service Coverage (x)	10%	3.38							2.97	0.30
Revenue Diversity (%)	10%	33.1							1.02	0.10
Balance Sheet and Capital Investment (35%)										
Total Cash and Investments (\$000)	10%	397,394							3.47	0.35
Expendable Fin. Resources to Debt (x)	5%	0.70							3.65	0.18
Expendable Fin. Resources to Operations (x)	5%	0.32							3.90	0.20
Debt to Operating Revenues (x)	5%	0.43							2.17	0.11
Monthly Days Cash on Hand (Days)	5%	91.6							3.80	0.19
Monthly Liquidity to Demand Debt (%)	5%	N/A							1.00	0.05

Weighted Score	3.15
Implied Rating	Aa2

Notes: (1) Non-debt-related figures are presented as calculated by Moody's and based on the University's audited 2015 financial statements, (2) Debt-related figures are presented on a pro-forma basis and factor in the University's Series 2016 A&B borrowings, (3) No growth is factored in.

Moody's Scorecard for ECU (New Methodology)

- In November of 2015, Moody's revised its scorecard methodology. The new scorecard places greater emphasis on operating revenues and uses cash-based metrics rather than net asset-based metrics to measure wealth. Also noteworthy is its lack of explicit focus on student demand metrics.
- ECU's implied rating using the new scorecard is in the "Aa3" range. The new scorecard removes some metrics the University scored well on under the previous methodology (Monthly Liquidity to Demand Debt and Debt to Operating Revenues) and adds metrics where the University is below its current "Aa2" rating (Annual Change in Operating Revenue).
- Moody's stresses that the scorecard is meant merely as an ratings indicator and does not contain an exhaustive list of every item it considers in its assessment of a credit.

	Weighting	ECU - 2015	Aaa	Aa	A	Baa	Ba	B	Individual Value	Score
Market Profile (30%)			1	3	6	9	12	15		
Operating Revenue (\$000)	15%	825,145							3.45	0.52
Annual Change in Operating Revenue (%)	5%	1.6							11.07	0.55
Strategic Positioning	10%	Excellent							3.00	0.30
Operating Performance (25%)										
Operating Cashflow Margin (%)	10%	7.70							6.02	0.60
Revenue Diversity (%)	15%	33.1							1.00	0.15
Wealth and Liquidity (25%)										
Total Cash and Investments (\$000)	10%	397,394							4.07	0.41
Spendable C&I to Operating Expenses (x)	10%	0.40							5.36	0.54
Monthly Days Cash on Hand	5%	91.6							6.11	0.31
Leverage (20%)										
Spendable C&I to Total Debt (x)	10%	0.87							4.31	0.43
Total Debt to Cash Flow (x)	10%	5.6							1.95	0.19

Weighted Score	4.00
Implied Rating	Aa3

Notes: (1) Non-debt-related figures are presented as calculated by Moody's and based on the University's audited 2015 financial statements, (2) Debt-related figures are presented on a pro-forma basis and factor in the University's Series 2016 A&B borrowings, (3) No growth is factored in.

Comparative Institutions Rated by Moody's used in Study

- The following pages will look at several key credit metrics and compare ECU to two categories of institutions.
- The first grouping compares ECU to UNC System institutions that have been assigned a Moody's rating.
- The second grouping compares ECU to their academic peers as selected by UNC System that have a Moody's rating.

UNC System¹

- UNC-Chapel Hill (Aaa)
- North Carolina State University (Aa1)
- East Carolina University (Aa2)
- Appalachian State University (Aa3)
- UNC-Charlotte (Aa3)
- UNC-Greensboro (Aa3)
- Western Carolina University (Aa3)
- North Carolina A&T State University (A1)
- UNC-Asheville (A1)
- UNC-Wilmington (A1)
- North Carolina Central University (A3)
- Winston-Salem State University (A3)
- Elizabeth City State University (Baa1)

Academic Peers²

- Texas Tech University System (Aa1)
- University of South Carolina (Aa2)
- Virginia Commonwealth University (Aa2)
- Central Michigan University (Aa3)
- Florida International University (Aa3)
- Ohio University (Aa3)
- University of Louisville (Aa3)
- University of North Dakota (Aa3)
- Western Michigan University (A1)
- Wright State University (A2)
- Northern Illinois University (Baa1)
- Southern Illinois University (Baa1)

Notes: (1) Includes only those UNC System institutions with Moody's ratings; (2) National institutions selected by UNC System in 2011 using 74 variables (academic and financial) that possess a Moody's rating.

Debt Profile and Historical Financial Operations

The background is a solid teal color. A large, faint, light-teal number '7' is centered on the page, with a horizontal line crossing it. The text 'Debt Profile and Historical Financial Operations' is written in white, sans-serif font across the middle of the '7'.

University Debt Profile (as of February 5, 2016)

- As of February 2016, ECU has over \$364.6 million of debt outstanding

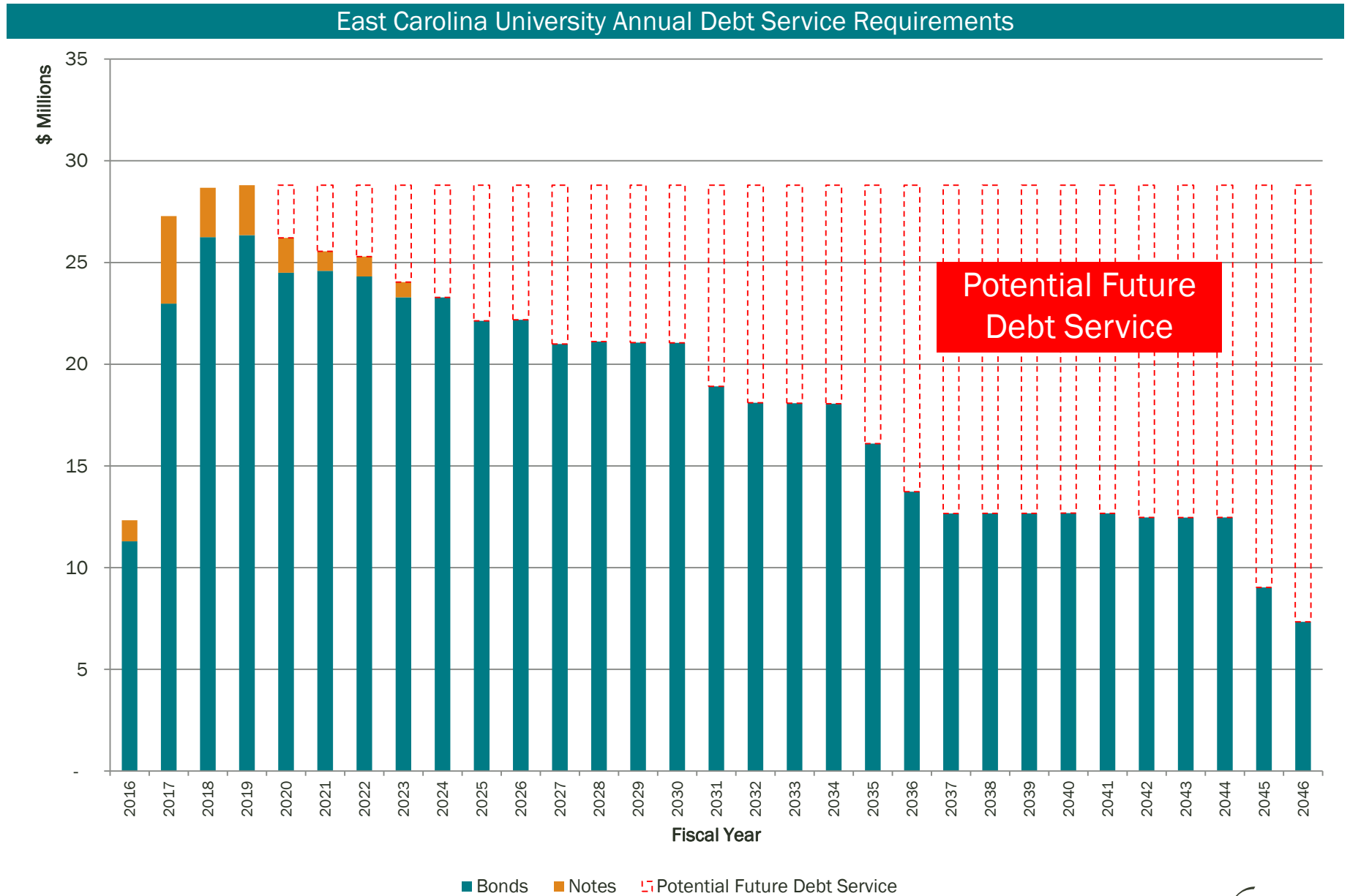
General Revenue						
Series	Description	Par Outstanding	Average Coupon	Call Provision	Final Maturity	Use of Proceeds
Series 2006A	UNC System Pool Revenue Bonds	1,170,000	5.000%	Noncallable	10/1/2016	Refund Series 1999, 2001A/Dorm Funds
Series 2009A	UNC System Pool Revenue Bonds	6,675,000	4.474%	Noncallable	10/1/2019	Refund Series 1998/ Residence Hall, Softball Field
Series 2010B	Taxable General Revenue Bonds (BAB's) ¹	25,455,000	5.220%	10/1/2020	10/1/2035	Finance Athletic, Dining, and Housing Facilities
Series 2010A	UNC System Pool Revenue Bonds	18,195,000	4.274%	4/1/2020	10/1/2029	Refund 2004C/Improve Dowdy Ficklen Stadium
Series 2011A	UNC System Pool Revenue Bonds	11,390,000	4.610%	5/1/2021	5/1/2023	Refund Series 2001C, 2003A, 2004C
Series 2012	General Revenue Refunding Bond (SunTrust Bank)	8,895,000	2.984%	4/1/2017	4/1/2027	Refunding Series 2003A and 2004C
Series 2013	General Revenue Refunding Bonds	10,905,000	2.989%	10/1/2023	10/1/2033	Refund Series 2004C
Series 2014A	General Revenue Bonds	53,685,000	4.620%	10/1/2023	10/1/2043	Residence Hall Removal/New Student Housing
Series 2015A	General Revenue Bonds	65,665,000	3.870%	10/1/2025	10/1/2044	West Union/AR Series 2006A and 2009A
Series 2015B	Taxable General Revenue Bonds	5,320,000	3.019%	Noncallable	10/1/2021	Advance Refunding Series 2006A
Series 2016A	General Revenue Bonds	139,920,000	3.820%	4/1/2026	10/1/2045	East Union, Parking, Dining, Residence Hall Renovations
Series 2016B	Taxable General Revenue Bonds	3,510,000	1.273%	Noncallable	10/1/2018	Bookstore
Total		350,785,000	4.034%			

¹Average coupon gross of federal BAB subsidy.

Notes Payable						
Series	Description	Par Outstanding	Average Coupon	Call Provision	Final Maturity	Use of Proceeds
2014	US Bank Note (Gymnasium)	\$5,821,355	1.976%	N/A	11/1/2019	Auxiliary Gym
2014	Energy Savings Imp.Financing and D/S Funding Agreement	6,143,408	3.000%	N/A	2/24/2023	Energy Savings Improvement
2015	Network Infrastructure Note	1,899,186	0.000%	N/A	12/15/2016	Network Infrastructure
Total		\$13,863,949	2.159%			

Grand Total		\$364,648,949	3.963%			
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Annual Debt Service Requirements (as of February 5, 2016)



Historical FYE Income Statement

FY 2015 Financial Results

- 10.40% increase in operating revenues since 2012.
- 9.41% increase in operating expenditures since 2012.
- 3.24% increase in net position in 2015.
- State appropriations held steady.
 - 2015: \$279.8 million
 - 2016 (budgeted): \$278.5 million

Statement of Revenues, Expenses, and Changes in Net Assets (000's)				
	2012	2013	2014	2015
Operating Revenues				
Student Tuition and Fees, Net	\$154,636	\$162,272	\$169,675	\$172,673
Patient Services	181,295	178,591	207,315	207,302
Grants and Contracts	41,161	40,676	37,173	39,036
Sales and Services, Net	82,889	80,953	85,430	89,430
Other	1,795	1,146	1,227	1,347
Total operating revenues	461,776	463,638	500,820	509,788
Operating Expenses				
Salaries and Benefits	500,811	524,631	540,913	535,964
Supplies and Materials	74,826	79,651	81,700	89,197
Services	93,742	97,177	111,891	106,296
Scholarships and Fellowships	36,397	38,568	39,880	40,394
Utilities	19,064	18,778	19,522	20,024
Depreciation	22,616	24,546	25,939	25,833
Other Operating Expenses			422	
Total Operating Expenses	747,456	783,351	820,267	817,708
Operating Loss	-285,680	-319,713	-319,447	-307,920
Nonoperating Revenues (Expenses)				
State Appropriations	271,701	285,530	275,657	273,345
Noncapital Grants	45,593	47,442	48,672	50,888
Noncapital Gifts	13,675	9,794	12,394	16,663
Investment Income (Net of Investment Expense)	756	5,692	7,846	2,282
Other Nonoperating Expenses	-8,927	-11,439	-13,568	-14,012
Net Nonoperating Revenues	322,798	337,019	331,001	329,166
Income Before Other Revenues	37,118	17,306	11,554	21,246
Capital Appropriations		1,065	6,259	
Refund of prior year's Capital Appropriations				
Capital Grants	46,483	23,551	11,546	6,461
Capital Gifts	1,086	374	2,646	1,493
Additions to Endowments	2,259	1,335	1,900	1,974
Increase in Net Assets	86,946	43,631	33,905	31,174
Net Assets				
Net assets - Beginning, as restated*	861,499	947,718	927,530	961,435
Net assets - Ending	\$948,445	\$991,349	\$961,435	\$992,609

*FY 2014 beginning net assets were restated by \$727,000 as a result of implementation of GASB 65;

FY2015 beginning net assets were restated by \$63,819,000 as a result of implementation of GASB 68.

Notes: (1) Total of operating appropriations, capital grants, and capital appropriations; (2) Operating revenue and expenditure growth figures on this page do not incorporate Moody's adjustments, so may not match growth figures cited elsewhere in this presentation.

Overview of Debt Capacity and Debt Affordability



Overview of Debt Capacity & Debt Affordability

- **Debt Capacity** refers to an institution's ability to absorb additional debt onto the balance sheet at a particular rating level. This is quantified by evaluating key metrics of the University, its peers, and the impact of the proposed debt.
- **Debt Affordability** refers to an institution's ability to pay the cost of the annual debt service on the proposed debt.
- Moody's has outlined the factors which are most important in the determination of Debt Capacity, which are detailed below:

Market Position

- Ability to compete effectively for tuition revenue, private gifts, research grants, and government support.

Operating Performance

- Ability to repay debt from fiscal operations while providing funds for strategic investment in programs and facilities.

Balance Sheet and Capital Investment

- Ability to provide continual financial support for the mission and to support long-term capital and financial planning horizons.

Governance and Management

- Ability to enable an organization to reach its full potential while avoiding financial stress.

Legal Security and Debt Structure

- Ability to maintain healthy levels of debt and to appropriately manage potential risks associated with particular financing vehicles.

External Factors

- Ability to overcome cuts in state and federal support, adverse economic conditions and other potential external risks.

Overview of Debt Capacity & Debt Affordability

- For the purposes of this analysis, we have focused on the quantitative factors, including:
 - Operating Performance
 - Balance Sheet and Capital Investment

Market Position

- Ability to compete effectively for tuition revenue, private gifts, research grants, and government support.

Operating Performance

- Ability to repay debt from fiscal operations while providing funds for strategic investment in programs and facilities.

Balance Sheet and Capital Investment

- Ability to provide continual financial support for the mission and to support long-term capital and financial planning horizons.

Governance and Management

- Ability to enable an organization to reach its full potential while avoiding financial stress.

Legal Security and Debt Structure

- Ability to maintain healthy levels of debt and to appropriately manage potential risks associated with particular financing vehicles.

External Factors

- Ability to overcome cuts in state and federal support, adverse economic conditions and other potential external risks.

Overview of Debt Capacity & Debt Affordability

For the purposes of this analysis, we have focused on the following four quantitative ratios:

Spendable Cash and Investments to Operating Expenses

- Indicates the extent to which an institution can rely on wealth that can be accessed over time or for a specific purpose to operate without earning any additional revenue.

Spendable Cash and Investments to Total Debt

- Highlights the ability of an institution to repay bondholders from wealth that can be accessed over time or for a specific purpose.

Total Debt to Cash Flow

- Measures an institution's ability to repay its debt from the profitability of its current operations, as opposed to financial reserves, and is a measure of debt affordability.

Average Debt Service Coverage

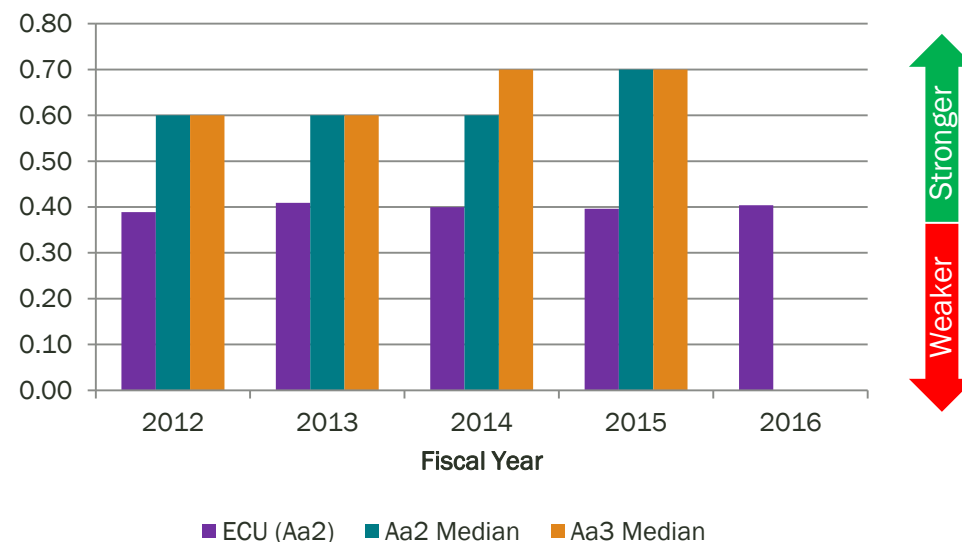
- Measures an issuer's capacity to pay annual regularly scheduled principal and interest requirements.



Comparative Ratio Analysis:
Spendable Cash and Investments to Operating Expenses

Spendable Cash and Investments to Operating Expenses: University Profile

- Ratio:
 - **Spendable Cash and Investments:** Cash and Investments + Foundation Cash and Investments – Foundation Permanently Restricted Net Assets – Total Permanently Restricted Net Assets
 - Divided by*
 - **Operating Expenses**
- This ratio has been relatively steady since 2012 as growth in spendable cash and investments has largely kept pace with growth in operating expenses.
- ECU’s ratio has historically lagged national “Aa2” and “Aa3” medians.

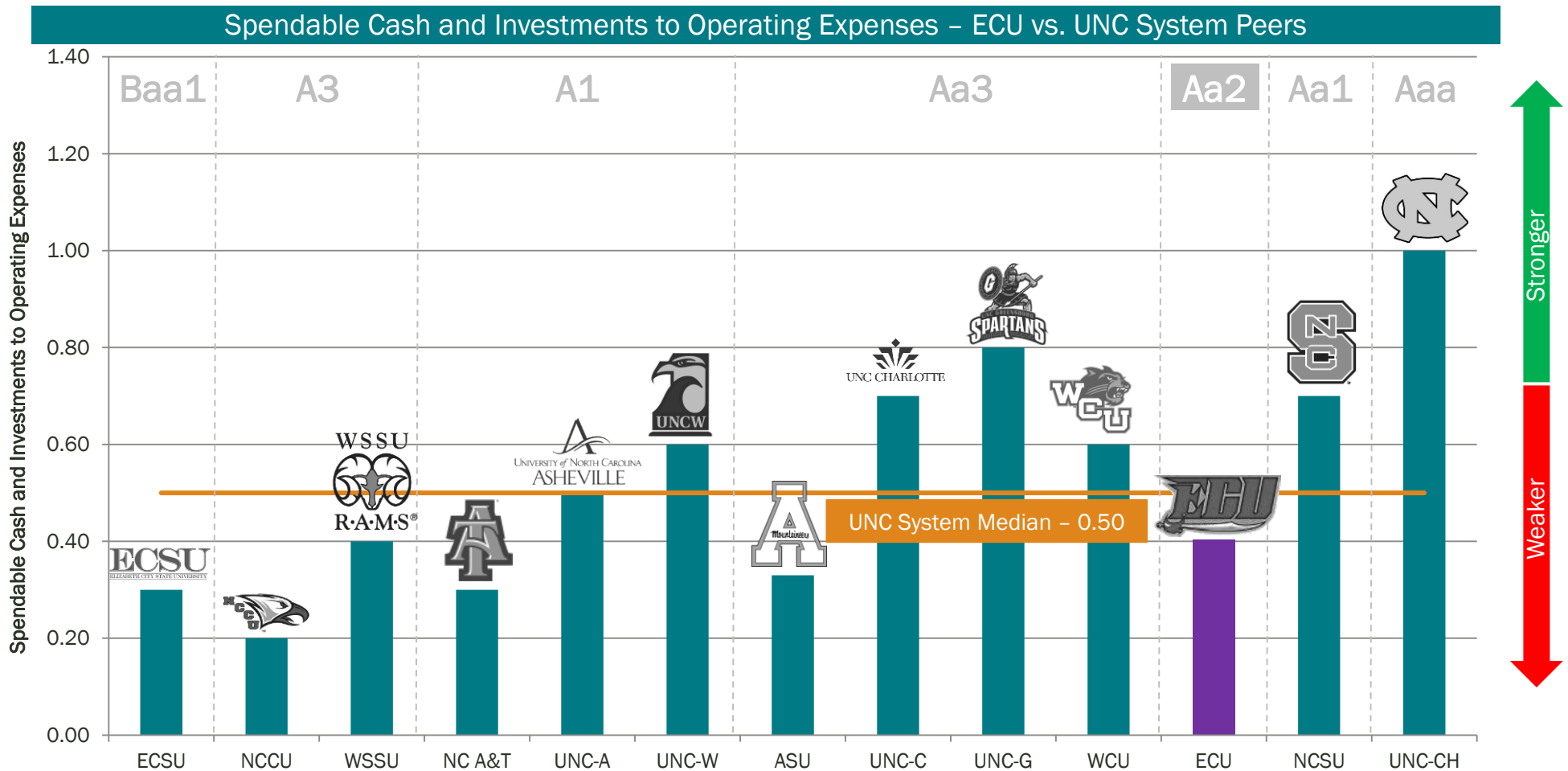


FYE 6/30	2012	2013	2014	2015	2016
Cash and Investments	\$ 276,771	\$ 297,519	\$ 292,687	\$ 289,280	\$ 309,530
Plus: Foundation Cash and Investments	78,852	90,340	105,140	108,114	115,682
Less: Foundation Permanently Restricted Net Assets	49,429	51,360	53,017	55,471	59,354
Less: Total Permanently Restricted Net Assets	27,225	28,777	30,035	31,673	33,890
Spendable Cash and Investments	\$ 278,969	\$ 307,722	\$ 314,775	\$ 310,250	\$ 331,968
Operating Expenses	\$ 717,464	\$ 752,083	\$ 787,776	\$ 783,130	\$ 822,287
Spendable Cash and Investments to Operating Expenses	0.39	0.41	0.40	0.40	0.40

Note: 2016 ratio is projected based on assumptions highlighted on Slide 33.

Spendable Cash and Investments to Operating Expenses: Peer Comparison – UNC System Institutions Rated by Moody's

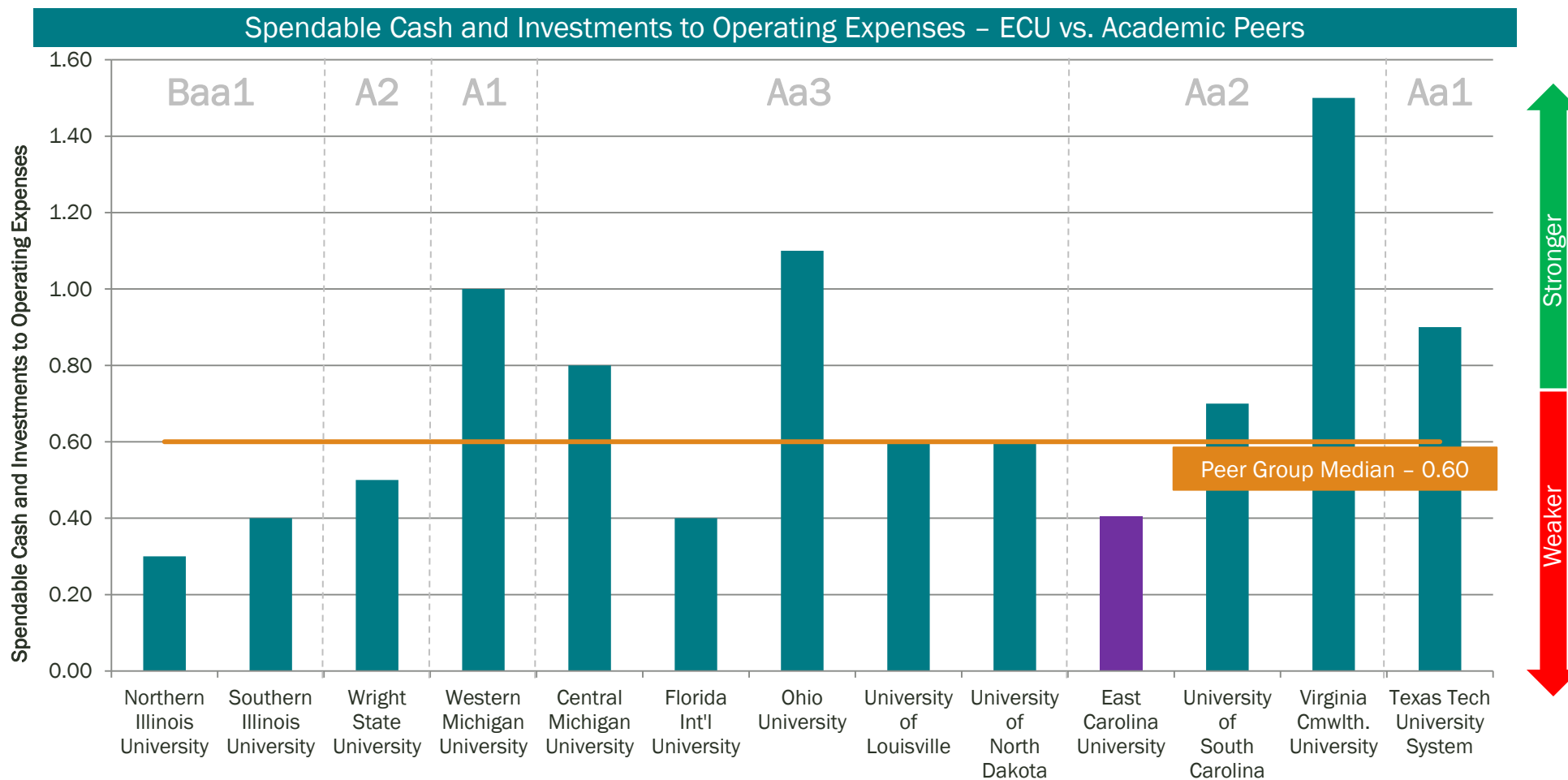
- Amongst the 13 UNC System institutions that have a Moody's rating, the median spendable cash and investments to operating expenses ratio is 0.50.
- The University's pro-forma ratio of 0.40 lags the median UNC System institution's ratio.



Notes: (1) Chart uses 2015 ratios for ASU, ECSU, WSSU, UNC-A, UNC-W, UNC-C, and WCU; (2) Chart uses 2014 ratios for NCCU, NC A&T, NCSU, UNCG, and UNC-CH; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

Spendable Cash and Investments to Operating Expenses: Peer Comparison – Academic Peers Selected by UNC System

- The median spendable cash and investments to operating expenses ratio amongst ECU's academic peer group is 0.60.
- ECU's pro-forma ratio of 0.40 lags this median.



Notes: (1) Chart uses 2015 ratios for CMU, USC, and WSU; (2) Chart uses 2014 ratios for FIU, NIU, OU, SIU, TTU, UL, UND, VCU, WMU; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

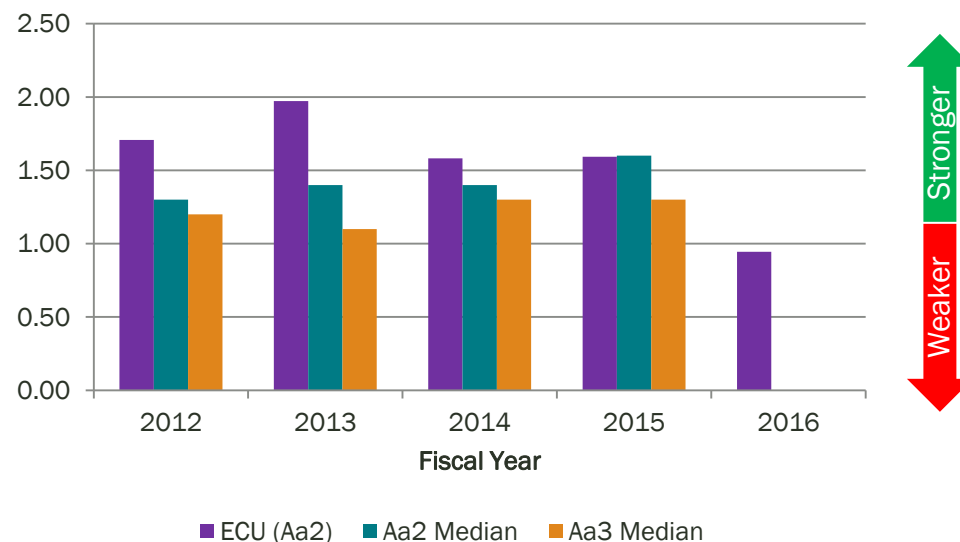
Member: FINRA & SIPC, MSRB Registrant



Comparative Ratio Analysis: Spendable Cash and Investments to Total Debt

Spendable Cash and Investments to Total Debt: University Profile

- Ratio:
 - **Spendable Cash and Investments:** Cash and Investments + Foundation Cash and Investments – Foundation Permanently Restricted Net Assets – Total Permanently Restricted Net Assets
 - Divided by*
 - **Total Direct Debt:** Outstanding Debt of the University and any related Foundation
- The University's ratio has declined in recent years as leverage has increased.
- ECU's ratio has historically been at or stronger than national "Aa2" and "Aa3" medians. With its most recent debt issuance, this ratio is projected to fall below "Aa2" and "Aa3" for FY2016.

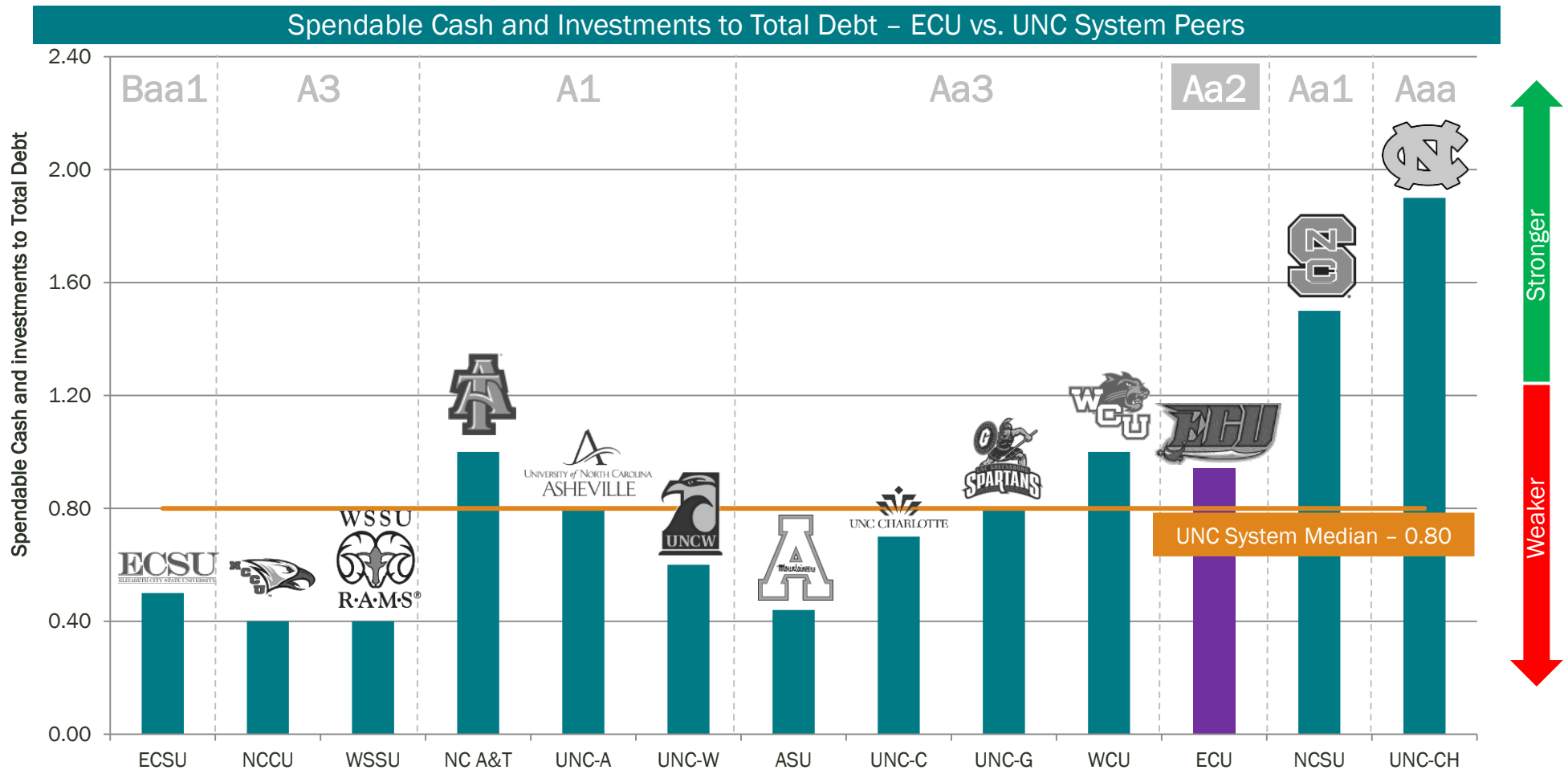


FYE 6/30	2012	2013	2014	2015	2016
Cash and Investments	\$ 276,771	\$ 297,519	\$ 292,687	\$ 289,280	\$ 306,637
Plus: Foundation Cash and Investments	78,852	90,340	105,140	108,114	114,601
Less: Foundation Permanently Restricted Net Assets	49,429	51,360	53,017	55,471	58,799
Less: Total Permanently Restricted Net Assets	27,225	28,777	30,035	31,673	33,573
Spendable Cash and Investments	\$ 278,969	\$ 307,722	\$ 314,775	\$ 310,250	\$ 328,865
Total Direct Debt	\$ 163,453	\$ 156,041	\$ 198,956	\$ 194,855	\$ 348,375
Spendable Cash and Investments to Total Debt	1.71	1.97	1.58	1.59	0.94

Note: 2016 ratio is projected based on assumptions highlighted on Slide 33.

Spendable Cash and Investments to Total Debt: Peer Comparison – UNC System Institutions Rated by Moody's

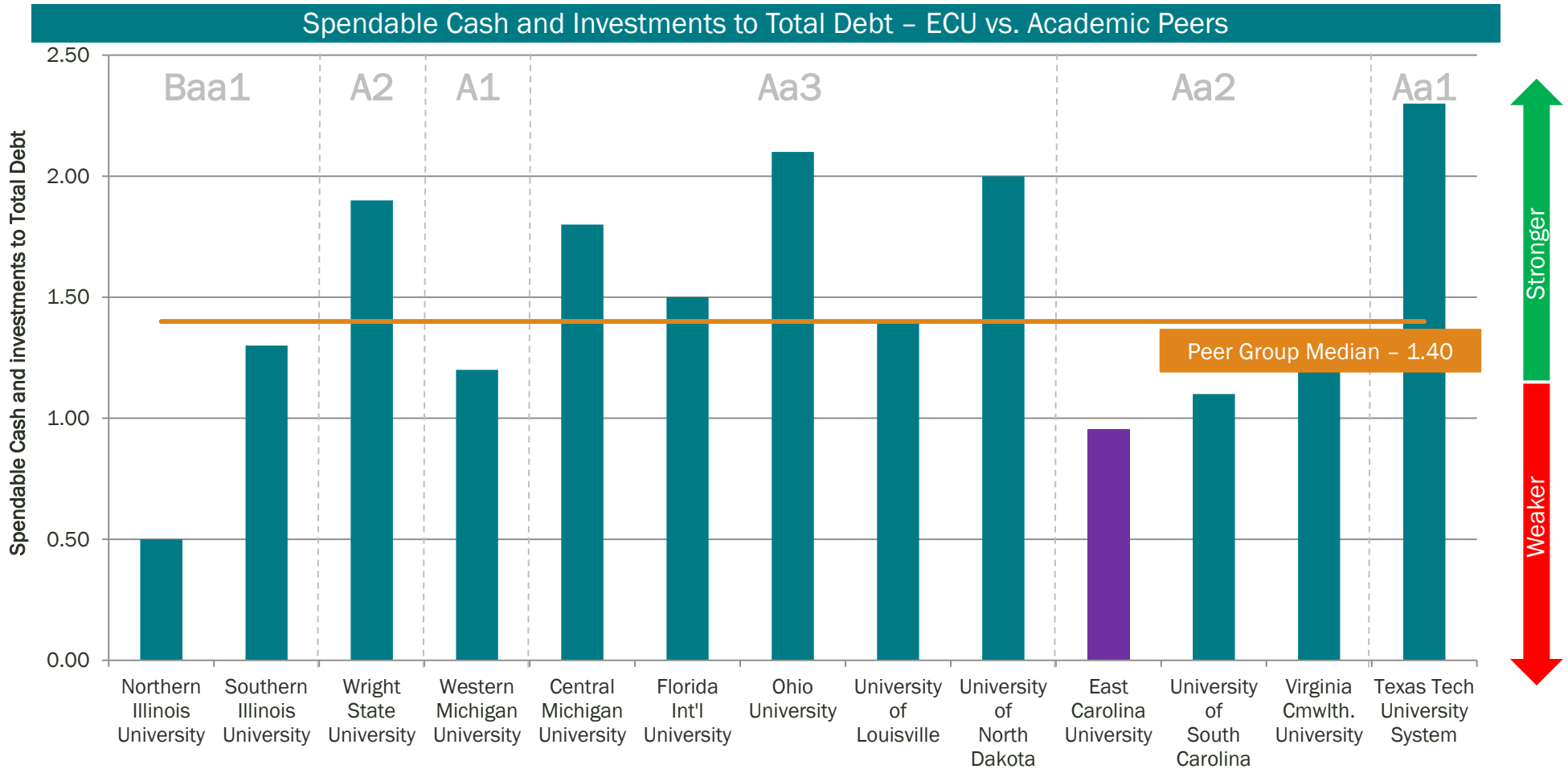
- Amongst the 13 UNC System institutions that have a Moody's rating, the median spendable cash and investments to total debt ratio is 0.80.
- The University's pro-forma ratio of 0.94 is stronger than the median UNC System institution's ratio.



Notes: (1) Chart uses 2015 ratios for ASU, ECSU, WSSU, UNC-A, UNC-W, UNC-C, and WCU; (2) Chart uses 2014 ratios for NCCU, NC A&T, NCSU, UNC-G, and UNC-CH; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

Spendable Cash and Investments to Total Debt: Peer Comparison – Academic Peers Selected by UNC System

- The median spendable cash and investments to total debt ratio amongst ECU’s academic peer group is 1.40.
- ECU’s pro-forma ratio of 0.94 lags this median.



Notes: (1) Chart uses 2015 ratios for CMU, USC, and WSU; (2) Chart uses 2014 ratios for FIU, NIU, OU, SIU, TTU, UL, UND, VCU, WMU; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

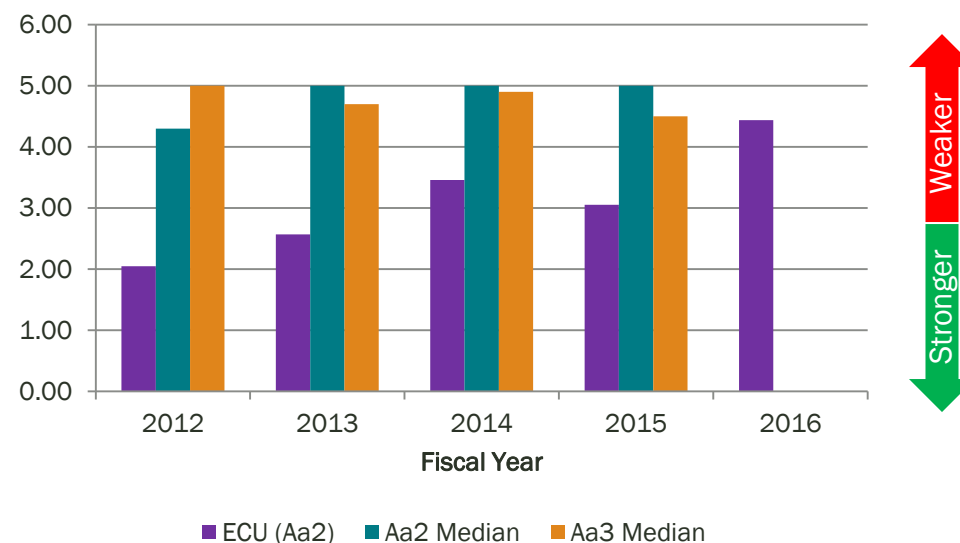
Member: FINRA & SIPC, MSRB Registrant

Comparative Ratio Analysis: Total Debt to Cash Flow



Total Debt to Cash Flow: University Profile

- Ratio:
 - **Total Direct Debt:** Outstanding Debt of the University and any related Foundation
 - Divided by*
 - **Operating Cash Flow:** Operating Income + Depreciation Expense + Interest Expense
- As ECU's leverage has increased, its total debt to cash flow ratio has weakened.
- The University's ratio has historically been stronger than national "Aa2" and "Aa3" median ratios. With its most recent debt issuance, ECU's 2016 ratio is projected to be in line with national medians.

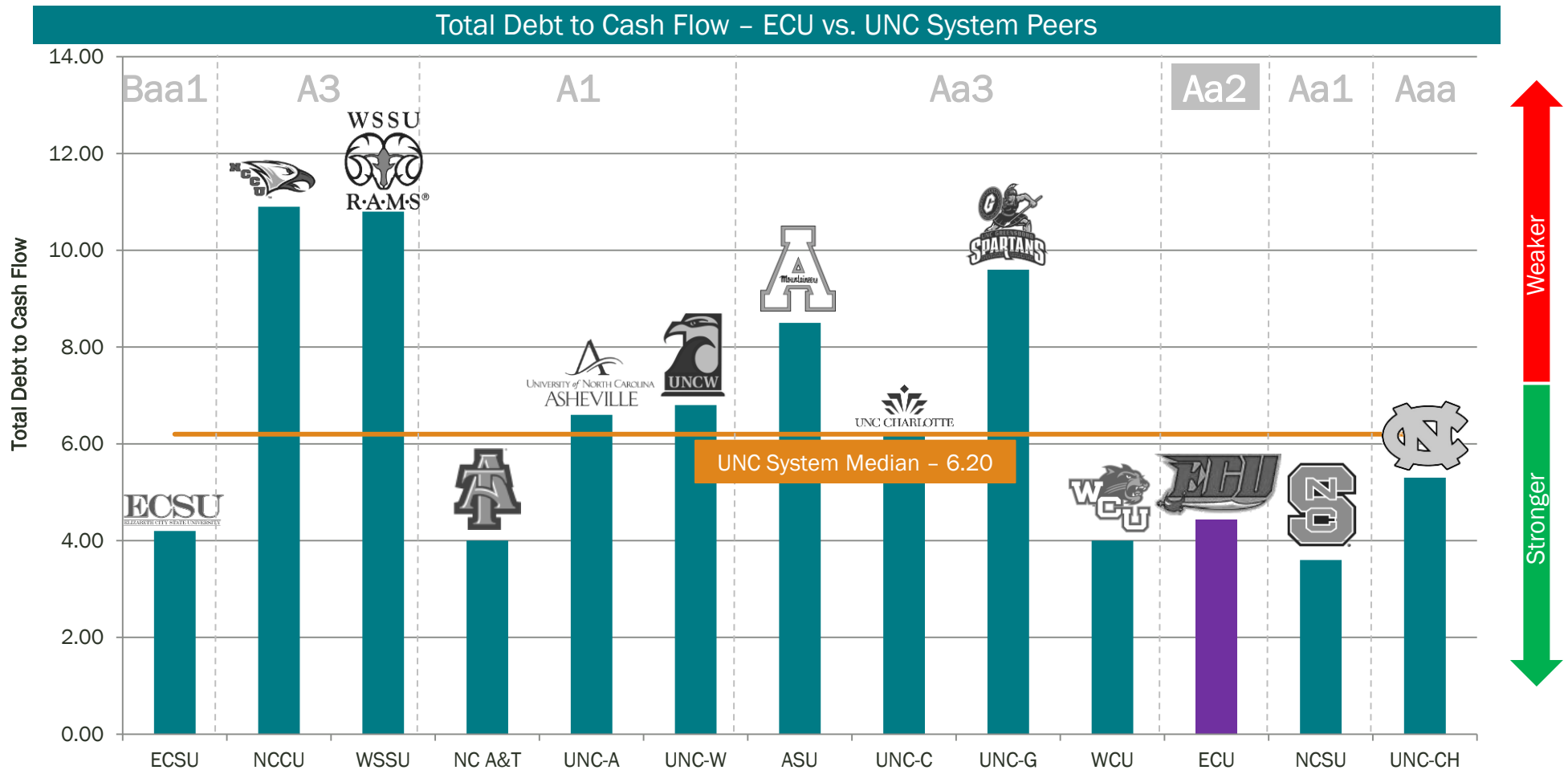


FYE 6/30	2012	2013	2014	2015	2016
Total Direct Debt	\$ 163,453	\$ 156,041	\$ 198,956	\$ 194,855	\$ 348,375
Total Operating Revenues	\$ 768,307	\$ 781,007	\$ 811,978	\$ 825,145	\$ 858,151
Less: Total Operating Expenses	717,464	752,083	787,776	783,130	814,455
Plus: Depreciation Expense	22,616	24,546	25,939	25,833	25,833
Plus: Interest Expense	6,405	7,300	7,389	5,816	8,989
Less: Unusually Large Non-Cash Expenses	-	-	-	9,810	-
Operating Cash Flow	\$ 79,864	\$ 60,770	\$ 57,530	\$ 63,854	\$ 78,517
Total Debt to Cash Flow	2.05	2.57	3.46	3.05	4.44

Note: 2016 ratio is projected based on assumptions highlighted on Slide 33.

Total Debt to Cash Flow: Peer Comparison – UNC System Institutions Rated by Moody's

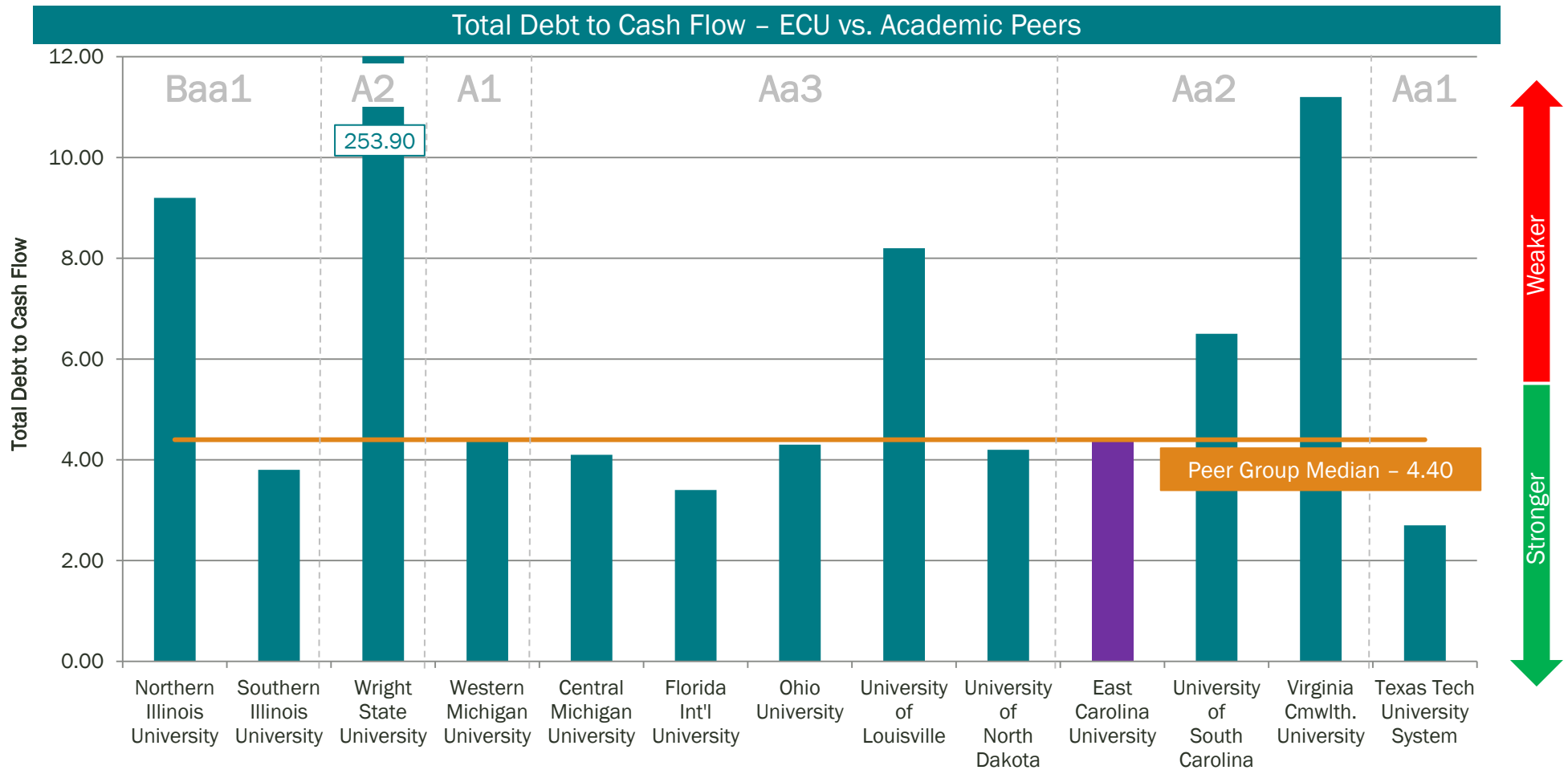
- Amongst the 13 UNC System institutions that have a Moody's rating, the median total debt to cash flow ratio is 6.20.
- The University's pro-forma ratio of 4.44 is stronger than the median UNC System institution's ratio.



Notes: (1) Chart uses 2015 ratios for ASU, ECSU, WSSU, UNC-A, UNC-W, UNC-C, and WCU; (2) Chart uses 2014 ratios for NCCU, NC A&T, NCSU, UNCG, and UNC-CH; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

Total Debt to Cash Flow: Peer Comparison – Academic Peers Selected by UNC System

- The median total debt to cash flow ratio amongst ECU’s academic peer group is 4.40.
- ECU’s pro-forma ratio of 4.44 is in line with this median and stronger than the peers within ECU’s rating category.



Notes: (1) Chart uses 2015 ratios for CMU, USC, and WSU; (2) Chart uses 2014 ratios for FIU, NIU, OU, SIU, TTU, UL, UND, VCU, WMU; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

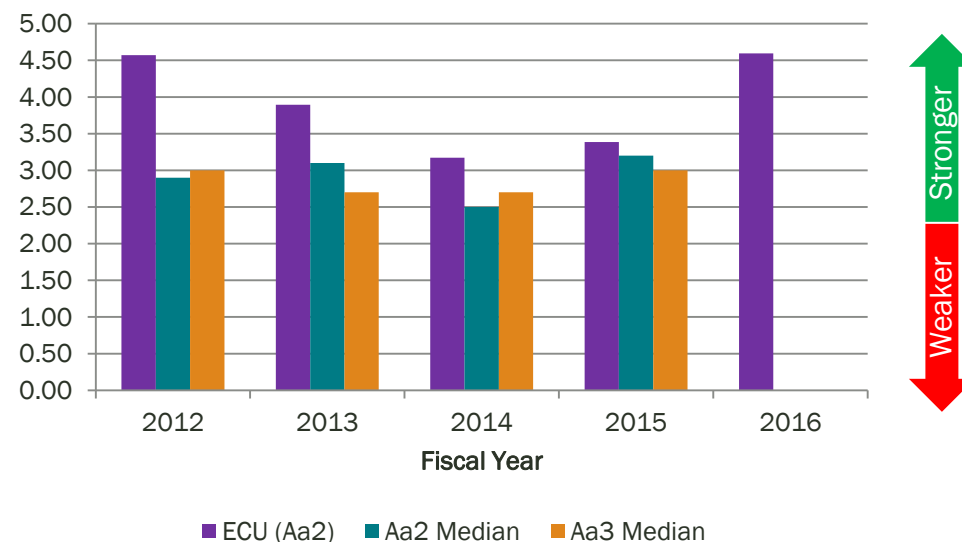
Member: FINRA & SIPC, MSRB Registrant

Comparative Ratio Analysis: Debt Service Coverage



Debt Service Coverage: University Profile

- Ratio:
 - **Operating Cash Flow:** Operating Income + Depreciation Expense + Interest Expense
 - Divided by*
 - **Total Debt Service:** Regularly Scheduled Principal and Interest due on Revenue Bonds, Notes, and Capital Leases
- Changes in ECU’s debt service coverage ratio since 2012 have largely been a function of changes in the University’s operating cash flow, as debt service has been relatively constant.
- The University has a history of stronger coverage than the national “Aa2” and “Aa3” median public university.

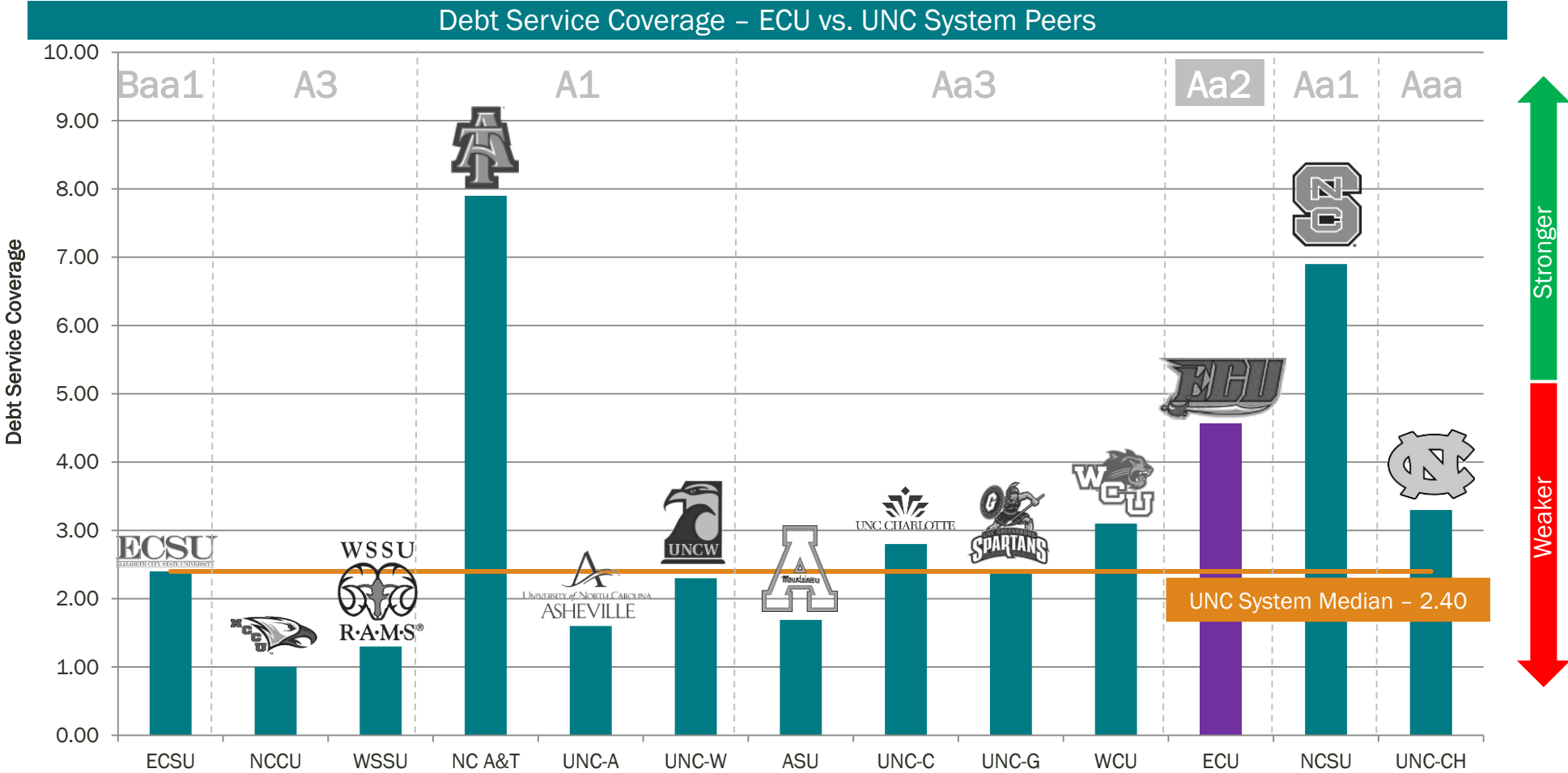


FYE 6/30	2012	2013	2014	2015	2016
Total Operating Revenues	\$ 768,307	\$ 781,007	\$ 811,978	\$ 825,145	\$ 858,151
Less: Total Operating Expenses	717,464	752,083	787,776	783,130	814,455
Plus: Depreciation Expense	22,616	24,546	25,939	25,833	25,833
Plus: Interest Expense	6,405	7,300	7,389	5,816	8,989
Less: Unusually Large Non-Cash Expenses	-	-	-	9,810	-
Operating Cash Flow	\$ 79,864	\$ 60,770	\$ 57,530	\$ 63,854	\$ 78,517
Regularly Scheduled Principal Payments	\$ 11,066	\$ 8,308	\$ 10,742	\$ 13,046	\$ 8,190
Interest Payments	6,405	7,300	7,389	5,816	8,989
Total Debt Service	\$ 17,471	\$ 15,608	\$ 18,131	\$ 18,862	\$ 17,179
Debt Service Coverage	4.57	3.89	3.17	3.39	4.57

Note: 2016 ratio is projected based on assumptions highlighted on Slide 33.

Debt Service Coverage: Peer Comparison – UNC System Institutions Rated by Moody’s

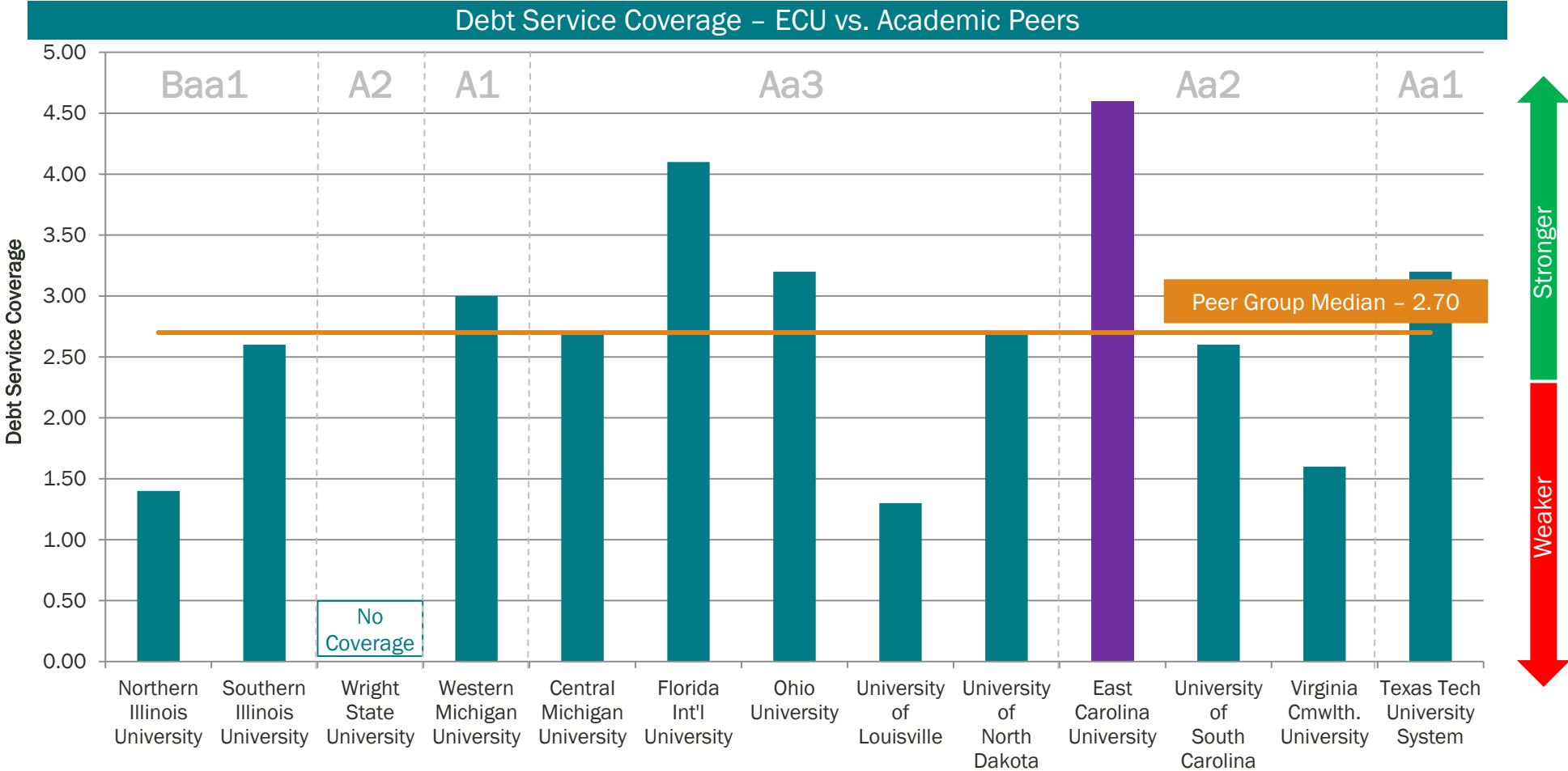
- Amongst the 13 UNC System institutions that have a Moody’s rating, the median debt service coverage ratio is 2.40.
- The University’s pro-forma ratio of 4.57 is stronger than the median UNC System institution’s ratio.



Notes: (1) Chart uses 2015 ratios for ASU, ECSU, WSSU, UNC-A, UNC-W, UNC-C, and WCU; (2) Chart uses 2014 ratios for NCCU, NC A&T, NCSU, UNCG, and UNC-CH; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

Debt Service Coverage: Peer Comparison – Academic Peers Selected by UNC System

- The median debt service coverage ratio amongst ECU’s academic peer group is 2.70.
- ECU’s pro-forma ratio of 4.57 is significantly stronger than this median and its peers within the Aa2 rating category.



Notes: (1) Chart uses 2015 ratios for CMU, USC, and WSU; (2) Chart uses 2014 ratios for FIU, NIU, OU, SIU, TTU, UL, UND, VCU, WMU; (3) Chart uses pro-forma 2016 ratio for ECU, which was calculated based on assumptions from Slide 33.

Debt Capacity & Debt Affordability Calculations

The background is a solid teal color. A large, light-teal number '7' is centered on the page, with a horizontal line crossing it at its base. The text 'Debt Capacity & Debt Affordability Calculations' is written in white, sans-serif font across the middle of the '7'.

Key Assumptions for Debt Capacity Financial Model

In order to compute future debt capacity, we used ECU's FY 2015 operations and balance sheet as a baseline. We then used the following growth rate assumptions to make financial projections for the next five years (through 2020):

- **Operating Revenue growth of 4.00%**
 - 2012 - 2015 average growth rate: 7.40%
- **Operating Expense growth of 4.00%**
 - 2012 - 2015 average growth rate: 9.15%
- **Spendable Cash and Investments growth of 6.00%**
 - 2012 - 2015 average growth rate: 11.21%
- **Depreciation Expense steady of FY2015 levels**

With financial projections, the model can determine new debt capacity in future years when measured against rating agency medians as constraints.

- **New Debt is structured to amortize over 30 years at a 5.00% interest rate.**

Debt Capacity Considerations

- Issuer credit ratings are determined by a variety of factors, both quantitative and qualitative.
- Strengths in certain areas may offset weaker credit characteristics.
- For instance, strong market position, state support, or balance sheet may allow a university to issue more debt than is typical for its rating category without negative impact on its rating.
- When considering appropriate debt capacity, universities should consider their own unique credit characteristics and strategic initiatives.
- The following pages measure debt capacity for three debt ratios using Moody's national medians for the "Aa2" and "Aa3" level rating categories as the upper limit.
 - Ultimately, ECU may want to consider using different targets than national medians that better reflect strategic goals of the institution.
- The ratios we selected were¹:
 - Spendable Cash and Investments to Total Debt
 - Total Debt to Cash Flow
 - Debt Service Coverage
- Because spendable cash and investments to operating expenses is not affected by debt, we have not included it in our debt capacity analysis.

Debt Capacity – Aa2 Target Rating

- With the financial projections, new debt capacity at the “Aa2” level is present in two ratios for the full pro-forma period.
- Due to the large increase in ECU’s absolute debt after the issuance of the Series 2016A&B Bonds, capacity does not materialize under the spendable cash and investments to total debt ratio during the examined five year time horizon.

Projected Debt Capacity at the “Aa2” Level					
University Ratios	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	0.94	1.03	1.13	1.25	1.38
Total Debt to Cash Flow	4.44	3.98	3.77	3.56	3.37
Debt Service Coverage	4.57	3.71	3.30	3.34	3.65
Moody's Medians	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	1.40	1.40	1.40	1.40	1.40
Total Debt to Cash Flow	4.80	4.80	4.80	4.80	4.80
Debt Service Coverage	2.70	2.70	2.70	2.70	2.70
Debt Capacity (000)	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	-	-	-	-	-
Total Debt to Cash Flow	\$ 28,508	\$ 69,555	\$ 89,153	\$ 109,285	\$ 128,098
Debt Service Coverage	\$ 182,959	\$ 131,687	\$ 89,604	\$ 96,271	\$ 132,729

Note: 2016 ratio is projected based on assumptions highlighted on Page 33.

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Debt Capacity – Aa3 Target Rating

- When the analysis uses “Aa3” rating medians as constraints, the University shows greater debt capacity under the total debt to cash flow ratio
- Because the “Aa3” debt service coverage median is actually higher than the “Aa2” median, ECU shows slightly less capacity at the “Aa3” level using this ratio.
- At the “Aa3” level, ECU shows capacity in terms of spendable cash and investments to total debt in FY2020.

Projected Debt Capacity at the “Aa3” Level					
University Ratios	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	0.94	1.03	1.13	1.25	1.38
Total Debt to Cash Flow	4.44	3.98	3.77	3.56	3.37
Debt Service Coverage	4.57	3.71	3.30	3.34	3.65
Moody's Medians	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	1.30	1.30	1.30	1.30	1.30
Total Debt to Cash Flow	5.00	5.00	5.00	5.00	5.00
Debt Service Coverage	2.80	2.80	2.80	2.80	2.80
Debt Capacity (000)	2016	2017	2018	2019	2020
Spendable Cash and Investments to Total Debt	-	-	-	-	\$ 18,103
Total Debt to Cash Flow	\$ 44,212	\$ 86,590	\$ 106,474	\$ 126,891	\$ 145,989
Debt Service Coverage	\$ 166,993	\$ 114,368	\$ 71,994	\$ 78,371	\$ 114,540

Note: 2016 ratio is projected based on assumptions highlighted on Page 33.

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East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Campus Operations Bill Bagnell
Agenda Item	II.I.
Item Description	Capital Projects Update
Comments	N/A
Action Requested	Information
Disposition	
Notes	

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander Associate Vice Chancellor for Campus Operations Bill Bagnell
Agenda Item	II.J.
Item Description	Designer Selection Recommendations
Comments	N/A
Action Requested	Information
Disposition	
Notes	

Designer Actions, Recommendations and Selection Approvals

1 Main Campus Student Center-Construction Materials Testing

December 18, 2015	Approval of Committee Recommendation
December 4, 2015	Pre-Selection Committee Recommendation
November 2, 2015	Advertisement
FIRM SELECTED:	Terracon Consultants, Inc.

2 Performing Arts Center Needs Assessment-Designer Selection

January 6, 2016	Approval of Committee Recommendation
January 6, 2016	Pre-Selection Committee Recommendation
November 8, 2015	Advertisement
Firm Selected:	Webb Management Services, Inc.

3 Fuel Oil Containment Facilities-Main Campus Steam Plant-Designer Selection

March 22, 2016	Approval of Committee Recommendation
March 21, 2016	Pre-Selection Committee Recommendation
December 18, 2016	Advertisement
Firm Selected:	RMF Engineering, Inc.



East Carolina University

Tomorrow starts here.

Facilities Engineering
and Architectural Services
Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

252-328-6858 office
252-328-4259 fax

MEMORANDUM

TO: Dr. Fredrick Niswander, Vice Chancellor
Administration & Finance

Approved: Fredrick Niswander
Date: 12/18/15

FROM: John G. Fields, PE, Director John Fields

DATE: December 4, 2015

SUBJ: **Designer Selection**
Main Campus Student Center – Construction Materials Testing

The selection committee in Facilities Engineering and Architectural Services conducted a qualifications based selection of designers for this work, and recommends the following three firms in prioritized order:

Terracon Consultants, Inc.
ECS Carolinas, LLP
Froehling & Robertson, Inc.

Winterville, NC
Winterville, NC
Raleigh, NC

The committee consisted of Gina Shoemaker – Asst. Dir. & Project Manager, Facilities Engineering and Architectural Services, Bill Chatfield – Project Manager, Facilities Engineering and Architectural Services, and Mr. L.L. Everett – Project Manager, Facilities Engineering and Architectural Services.

To the best of our knowledge and belief, all steps in this selection were conducted in accordance with requirements of the State Building Commission as they apply to the institutions of the University of North Carolina.

Your approval and subsequent notification to the Board of Trustees as appropriate for the selection of Terracon is requested. If you have any questions or need additional information please do not hesitate to call.

Enclosure: Designer Advertisement Memorandum

cc: William Bagnell, Associate Vice Chancellor for Campus Operations
CMT Selection Committee Members




**Facilities Engineering
and Architectural
Services**

Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

252-328-6858 office
252-328-4259 fax

MEMORANDUM

TO: Interested Designers

FROM: John G. Fields, PE 
Director

DATE: November 2, 2015

SUBJECT: Construction Materials Testing – Main Campus Student Center

East Carolina University is requesting proposals from qualified engineering firms to perform Soils, Foundation, and Material Testing for the Main Campus Student Center project.

The services for this project will include all elements and tasks needed for the testing services outlined in the Construction Drawings and Specifications. Respondents should familiarize themselves with the scope of testing services required by the Construction Documents and organize their proposal by specification section. Some of the testing services will include:

- Construction Materials Laboratory Testing for:
 - Masonry / Mortar
 - Soil & Aggregates
 - Pavement and Subgrade
 - Concrete / Grout
 - Spray fire resistive material (SFRM)
- Inspection Services and Field Testing of:
 - Soils
 - Pavement and Subgrade
 - Water Intrusion (Water Spray) testing for curtain-wall and skylights
 - Flood Test for Hot Fluid-Applied Rubberized Asphalt Waterproofing
 - Adhesion testing for Silicone Joint Sealants
 - Welding of Structural Steel and Decking
 - Concrete / Grout
 - Masonry / Mortar
 - Spray fire resistive material (SFRM)

Interested firms should submit three (3) copies of your letter of interest and three (3) copies of your current SF330 to the following address by November 18, 2015

Gina Shoemaker, PE, LEED AP
 East Carolina University
 Facilities Engineering & Architectural Services
 1001 E. Fourth St.
 Greenville, North Carolina 27858

In accordance with our qualifications-based selection system, designers are expected to make no contact with our University staff, faculty or trustees at this stage of the selection process. All questions should be directed to the attention of this office. The use of fax is highly recommended. East Carolina University encourages participation by MWBE firms and supports UNC system's policy of ensuring and promoting opportunities for Historically Underutilized Businesses.

Thank you for your interest in East Carolina University.



East Carolina University

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Facilities Engineering
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Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

252-328-6858 office
252-328-4259 fax

MEMORANDUM

TO: Dr. Fredrick Niswander, Vice Chancellor
Administration and Finance *Fredrick N. Niswander*

Mr. Christopher Dyba, Vice Chancellor
University Advancement

FROM: John G. Fields, PE, Director *John G. Fields*

DATE: January 6, 2016

SUBJ: Performing Arts Center Needs Assessment
Consultant Selection

As you are aware a Performing Arts Center Needs Assessment and study was initiated by the College of Fine Arts and Communications through the ECU Real Estate Foundation. This Memorandum is to update you about the process utilized and consultant team selected for this work. It is being submitted for information only. No action is requested nor required.

The selection process was modeled after the North Carolina State Building Commission's consultant selection procedure as applied to the institutions of the University of North Carolina. Below are the steps followed and the consultant team selected.

On December 21, 2015, the consultant selection committee for the above referenced ECU Real Estate Foundation project conducted interviews with four (4) firms who were shortlisted based on a qualifications based selection criteria.

The committee consisted of Mr. Michael Hardy, Director, Institute of Outdoor Theater; Dr. Chris Buddo, Dean, College of Fine Arts and Communications; Mr. John Fields and Mr. Michael Talton, Facilities Engineering and Architectural Services. Listed below are the four firms shortlisted and interviewed.

Webb Management Services, Inc.	New York, NY
Hanbury Evans Wright Vlattas + Company	Raleigh, NC
Kamm Architecture	Washington, DC
Arts Consulting Group	Tampa, FL

Based on the interviews, qualifications of each team and requirements of this project the committee unanimously selected Webb Management Services, Inc. (WMS) for the study. WMS will utilize two local firms as sub consultants, LS3P from Wilmington, NC and Theatre Consultants Collaborative, Inc. from Chapel Hill each of which are nationally recognized firms.

We have notified WMS of their selection and will begin negotiation of the consultant scope and contract in early January, 2016.

If you have any questions or need additional information, please do not hesitate to call.

JGF/mwt


Enclosure: Designer Advertisement Memo

cc: William Bagnell
Selection Committee Members

Performing Arts Center, File 02

MEMORANDUM

TO: Interested Designers

FROM: John G. Fields, PE 
on behalf of the East Carolina University Real Estate Foundation

DATE: November 8, 2015

SUBJECT: Request for Qualifications (RFQ)
Performing Arts Center
Needs Assessment and Business Planning Studies

The East Carolina University Real Estate Foundation is soliciting qualified consultant teams that might consist of arts management consultants, architects, engineers and/or other specialists to submit their qualifications to prepare a study evaluating the potential demand and support for development of a new Performing Arts Center located at East Carolina University in Greenville, North Carolina.

The ideal consultant or consultant team brings together a sophisticated understanding of market demand for performing arts facilities, facility planning and policy issues, a keen understanding of how a Performing Arts Center can be economically developed and operated by a public entity, a public private partnership, a private entity or other alternative delivery and ownership methodology.

Attached is a PROJECT INFORMATION summary identifying the scope and schedule for consultant selection. Responses to this RFQ should include similar projects and similar studies conducted or being conducted by the consultant team.

From the RFQ responses received three (3) to four (4) consultant teams will be selected for interviews.

Interested firms should submit six (9) hard copies and (1) CD of their RFQ response along with a complete current SF330 and a portfolio of relevant work. The format should be 8.5"x 11" pages stapled in the upper left-hand corner. The submission should not exceed (20) single sided pages or (10) double sided pages plus the required SF330.

To be considered for this project, ensure that your submission is received at the following address before 5:00 pm November 30, 2015.

Michael Talton, AIA
On behalf of the East Carolina University Real Estate Foundation
East Carolina University
1001 East Fourth Street
Greenville, NC 27858

In accordance with our qualifications-based selection system, consultant teams are expected to make no contact with our University staff, other than Michael Talton, faculty or Board of Trustees at this stage of the selection process. All questions should be directed to this office, attention Michael Talton. The use of email is permitted (taltonm@ecu.edu). East Carolina University encourages participation by MWBE firms and supports the UNC system's policy of ensuring and promoting opportunities for Historically Underutilized Businesses.

Thank you for your interest in East Carolina University.

PROJECT INFORMATION
East Carolina University Foundation
Performing Arts Center
Needs Assessment and Business Planning Study
Request for Qualifications (RFQ)

1. SCHEDULE

	<u>DATE</u>
Request for Qualifications Issued (advertise)	11/08/15
Questions Due (transmitted via email)	11/16/15
Answers to Questions (transmitted via email)	11/18/15
RFQ Responses Due	11/30/15
Review of RFQ Responses	12/1/15-12/9/15
Short Listed Consultant Teams Notified	12/09/15
Consultant Team Interviews	12/21/15
Final Consultant Team Selection	12/21/15
Pre-Proposal Meeting(or video conference) with Shortlisted Teams	01/06/16

2. NEEDS ASSESSMENT AND BUSINESS PLANNING SCOPE

The scope of the study will include analyses and recommendations of the following:

A. NEEDS ASSESSMENT

1. Identify audience demand for a multi-purpose Performing Arts Center (PAC) in the community and region.
2. Study the demographic and psychographic profile of the potential regional audience and ascertain whether it is sufficient to support a Performing Arts Center (PAC).
3. Conduct analysis of the needs of current and future performing arts groups in the university, community and region.
4. Inventory existing facilities in the region and suggest how new facilities might be developed and positioned competitively to attract audiences, programs and funding.
5. Address whether a new Center would complement or duplicate existing facilities in the region.
6. Identify the programmatic capacity and financial capability of various stakeholder groups in the area to promote and support a PAC.
7. Based on the data gathered in the previous steps identify the type and number of halls, seating capacity, and technical requirements to be addressed in facility design.

B. REVIEW OF NEEDS ASSESSMENT STUDY

1. At conclusion of the NEEDS ASSESSMENT STUDY, the project will pause for approximately 30 days to facilitate Work Sessions to determine appropriate next steps related to the Performing Arts Center. Pending the outcome of these Work Sessions the Business Planning Study may be started.

C. BUSINESS PLANNING STUDY

1. Consider how a PAC could be economically developed and operated by a public entity, a public-private partnership, a private entity or other alternative delivery and ownership approach. Specifically address the potential of a partnership between East Carolina University and the City of Greenville, NC. Provide recommendation(s) regarding ownership, governance, management and staffing of a PAC.
2. Identify if and how locating the PAC on East Carolina University's Millennial Campus could be of financial benefit in developing and/or operating a PAC.
3. Prepare a preliminary program of spaces, with square footage allocations representing the recommended type and size of the proposed performing arts center. Include preliminary conceptual project cost estimate(s).
4. Provide a list of typical site selection criteria geared toward the siting and locating of a Performing Arts Center.
5. Develop conceptual pro-forma five year operating budgets for alternative Performing Arts Center scenarios identifying how operations might be sustained through a combination of earned and contributed income as well as potential public funding sources.
6. Based on the conceptual project cost estimate and the operating budget, identify projects of similar scale and scope completed in the last 5 to 7 years in NC or the southeast US including projects currently under development.

End of RFQ Document



East Carolina University

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Facilities Engineering
and Architectural Services
Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

MEMORANDUM

TO: Dr. Rick Niswander, Vice Chancellor
Administration and Finance

Approved: *Rick Niswander*
Date: 3/22/16

252-328-6858 office
252-328-4259 fax

FROM: John G. Fields, PE *John Fields*
Director

DATE: March 21, 2016

SUBJ: Designer Selection Recommendation
Fuel Oil Containment Facilities - Main Campus Steam Plant

On February 19, 2016 the designer pre-selection committee for the above referenced project conducted interviews with two firms who were shortlisted based on the qualifications based selection criteria required by the State Building Commission. The third firm to be interviewed, Eiler Services, PLLC, withdrew from consideration on February 18.

The committee consisted of the following: Michael Alexander and Phil Lewis, Environmental Health & Safety; Tony Yamada, Ray Schmidt and Paul Carlson, Facilities Services; Robert Still and John Fields, Facilities Engineering and Architectural Services.

Based on the interviews and the requirements of this project the committee recommends the following firms in prioritized order with RMF Engineering, Inc. being the committee's top recommended firm.

RMF Engineering, Inc.
Affiliated Engineers, Inc.
Eiler Services, PLLC (*withdrew*)

Raleigh, NC
Chapel Hill, NC
Charlotte, NC

To our best knowledge and belief, the selection process was conducted substantially in accordance with the State Building Commission requirements as they apply to the institutions of the University of North Carolina.

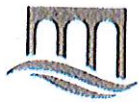
Approval of the top recommended firm, RMF Engineering, Inc., is requested.

If you have any questions or need additional information, please do not hesitate to call.

JGF/jf

Enclosure: Designer Advertisement
Memorandum to Project File

cc: William Bagnell, via email
Designer Pre-selection Committee Members, via email



East Carolina University

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Facilities Engineering
and Architectural Services
Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

252-328-6858 office
252-328-4259 fax

MEMORANDUM

TO: Project File

FROM: John G. Fields, PE
Director

DATE: March 21, 2016

SUBJ: Designer Selection Recommendation
Install Fuel Oil Containment Facilities - Main Campus Steam Plant

This Memorandum is to document the process utilized for designer selection for the subject project.

On December 8, 2015 ECU advertised for designers as required by the State Building Commission. The deadline for receiving submissions and letters of interest was January 8, 2016. On that date three firms submitted letters of interest. Designer interviews were scheduled for February 19, 2016 and each firm confirmed their intent to participate in the interviews.

A pre-proposal meeting was held on site on February 9, 2016 with all three shortlisted firms in attendance. Project information was shared at the meeting as well as via email on February 10, 2016.

On the afternoon of February 18, 2016, the day before interviews were to take place, one of the three firms, Eiler Services, PLLC, withdrew from consideration by email giving no reason for withdrawal. After due consideration regarding the State Building Commission rules on designer selection and the fact that only three firms initially submitted letters of interest for the project, the decision was made to proceed with interviews with the two remaining firms.

On February 19, 2016 the designer pre-selection committee conducted interviews with the two remaining consultant firms and ultimately recommended RMF Engineering, Inc. as the top recommended firm.

JGF/jf

Enclosures: Designer Advertisement Memo

cc: William Bagnell, via email
Designer Pre-selection Committee Members, via email




East Carolina University

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Facilities Engineering
and Architectural Services
Campus Operations
1001 East Fourth Street
East Carolina University
Greenville, NC 27858-4353

252-328-6858 office
252-328-4259 fax

TO: Interested Designers

FROM: John Fields, PE 
Director

DATE: December 18, 2015

SUBJECT: 14th Street Steam Plant Fuel Oil Tank Farm Replacement

East Carolina University (hereinafter, "University") is seeking the services of a qualified firm to provide design services outlined below:

This project includes design of a new replacement fuel oil tank farm and subsequent closing of the existing fuel oil tank farm located on East 14th Street. Schematic design options with estimates will be required. Consideration shall be given to meet all Federal, State and local regulatory requirements. Soil sampling and remediation design efforts will be required.

To facilitate informed decision making for design of this project, planning for the future expansion of the basement level steam plant expansion and associated extension of the steam distribution main from the plant to the Gateway Residence Hall at College Hill are required. Also, due to these future changes, planning for fuel deliveries and vehicular circulation around the plant is required.

East Carolina University reserves the right to retain designer for additional services beyond this study.

Interested firms should submit five (5) letters of interest and five (5) copies of the current SF-330 to the following address by January 8, 2016:

Robert Still
Facilities Engineering & Architectural Services
1001 East Fourth St.
Greenville, NC 27858

In accordance with our qualifications-based selection system, designers are expected to make no contact with our University staff, faculty or trustees at this stage of the selection process. All questions should be directed to the attention of the Project Manager. The use of email is highly recommended. East Carolina University encourages participation by MWBE firms and supports UNC system's policy of ensuring and promoting opportunities for Historically Underutilized Businesses.

Thank you for your interest in East Carolina University.

East Carolina University
Board of Trustees
Finance and Facilities Committee
April 7, 2016

Session	Finance and Facilities Committee
Responsible Person	Vice Chancellor for Administration and Finance Frederick Niswander
Agenda Item	II.K.
Item Description	Other
Comments	N/A
Action Requested	Information
Disposition	
Notes	