I. Approval of November 19, 2015 Minutes
II. Academic Affairs
   A. Miller School of Entrepreneurship (Dr. Eakins)
   B. Faculty Salary Equity Study (Provost Mitchelson)
   C. Virtual Heritage Hall (Dr. Prokopovitz)
   D. KPI Update – Transfer & Military Students (Dr. Zhou)
   E. NC GAP (Provost Mitchelson)
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III. Research, Economic Development and Engagement
    A. Interim Policy on Centers and Institutes (Dr. Van Scott)
    B. Mid-Year Performance Numbers for Proposals, Grants & Expenditures (Dr. Van Scott)
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<td>Kieran Shanahan, Chair</td>
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<tr>
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<td>Item Description</td>
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Minutes of the Meeting of the
University Affairs Committee
East Carolina University Board of Trustees
November 19, 2015 at 10:30am
Mendenhall Student Center- Great Room 1

Board Members Attending: Keiren Shanahan (chair), Max Joyner, Terry Yeargan, Mark Matulewicz, Danny Scott, Leigh Fanning, Deborah Davis

Others in Attendance: Ron Mitchelson, Virginia Hardy, and Michael Van Scott

Meeting began 11 am

Mr. Shanahan opened the meeting by reading the conflict of interest statement as well as the Jurisdiction Review for University Affairs.

The minutes from the previous meeting were approved.

* Student Affairs – Virginia Hardy
  o Student Drug Use – Dr. Hardy provided a brief introduction to the conversation and introduced Bob Morphet from the ECU Center for Counseling and Student Development to share the data and information. Bob provided an overview of the types of drugs on the rise including opiates, benzodiazepines, and MDMA (ecstasy or Molly). For opiates, about 2,500 teens use prescription drugs to get high for the first time each day. From the NY Times in November 2015, researchers looked at seven countries across the world and looked at death rates over the last 20 years and all went down except white males from 25-54 due to alcohol and drug use and suicide increases. Bob shared on college campuses what drugs are prevalent including marijuana and heroin and painkillers. Heroin overdose deaths continue to increase at amazing rates. The use of Xanax in many forms is on the rise on campuses. What is happening at ECU is very close to what is appearing nationally on campuses. Many students that are using ADHD medicine for focus and awareness, but one in five are abusing the use of these medications. Cocaine use is on the dramatic increase for the last several years. 17% of all appointments last year to the Counseling Center related to alcohol and drug use.

  o One Community – Dr. Hardy discussed Greek Life’s new One Community initiative. She shared that several other schools are implementing similar programs including Texas Tech, Clemson, and Denver. The four Greek councils have typically worked independently within their own councils and One Community will bring them all together as one Greek community related to accountability and decision-making and also to align with the University standards and values. She shared some of the academic performance standards related to GPA, retention and graduation rates. Risk education and accountability have become a major focus nationwide and ECU will be working with them to help them follow the standards in place. The training for this is with the students currently here, but also with advisers and alumni. Dr. Hardy said these young folks want to be leaders and we need to work with them to get there. We must showcase the philanthropic efforts and the good being done as a Greek community rather than just negative public perception. The number of members continues to rise – 1327 in 2011 to more than 2500 in spring 2015. Plaid, a national consulting organization, is working with ECU on the One Community initiatives related to programs, events, workshops and leadership efforts over the next two years.

* Academic Affairs - Ron Mitchelson
  o Notice of Nondiscrimination and Affirmative Action Policy
    ▪ Lakesha Forbes and Donna Payne shared details about the nondiscrimination and affirmative action policy. Donna shared the proposed changes to the existing policy. This was synced (in April 2015) with the UNC policy by adding unlawful discrimination and ECU added pregnancy and pregnancy related conditions. The phrase political affiliation remained in the ECU policy. The request is to remove section 1.1.1 because it is spelled out in section 1.1. There are some textual edits for unnecessary verbiage that would be removed in sections 1.4 and 1.5. This will be effective for the spring 2016 semester and added to the student code of conduct.
• Motion was made by Max Joyner to adopt the changes as recommended. Deborah Davis seconded the motion. Motion was approved without dissent.
  o Bond Campaign Update –
    ▪ Dr. Mitchelson shared that the details about the Connect NC Bond Act that will go toward the construction of a Life Sciences and Biotechnology Building. This building will facilitate collaboration and growth that is needed at ECU. If approved, this could go to a 150,000 sq. ft. building.
    ▪ Motion was made by Max Joyner to approve this proposal package. Mark Matulewicz seconded the motion. Motion was approved without dissent.
  
  o Faculty Salary Equity Study – postponed to February meeting

  o KPI – Degrees and ECU Graduates – Dr. Ying Zhou shared the new University Dashboard that will house the metrics needed for many of the key data components including enrollment data (current and historical) for undergraduate, graduate students and professional students. The dashboard also includes data about race and ethnicity dating back to 2009. The categories include White, Black/African American, Hispanic, Asian and other groups. She shared information about degrees conferred by level (bachelor, masters, intermediate and doctoral) and this includes the ability dive deeper into majors and disciplines. In the future, we will focus data and presentations for military and transfer students.

  o Mr. Shanahan asked the committee to consider adding the Faculty Chair to serve as an ex-officio member to University Affairs.

    ▪ Motion was made by Max Joyner to approve this request. Deborah Davis seconded the motion. Motion was approved without dissent.

• Research, Economic Development and Engagement – Dr. Michael Van Scott
  o Update on FY 15 proposals, awards and F&A
    ▪ Dr. Van Scott shared that we had a bit of a decline in the rankings, but comparatively to national numbers, as well as UNC schools and peer institutions we have exceed all the averages related to research expenditures.

Meeting Ends at 12:15pm.

Respectfully submitted by Christopher Stansbury
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<td>Dr. Stan Eakins - Dean, College of Business</td>
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<td>Proposed - School of Entrepreneurship</td>
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Creation of the Miller School of Entrepreneurship

East Carolina University proposes to create a new academic unit within the College of Business. This new unit will address multiple items within the ECU strategic plan.

The very best innovation and entrepreneurship programs are not focused solely on business programs; rather they actively integrate all aspects of the campus behind a fundamental concept of encouraging and supporting innovators and entrepreneurs. The stated goal of this school is to serve the campus in growing generations of students who will take an entrepreneurial mindset into their work environment, whether it be a small business or a conglomerate. This school will have many working pieces and will require substantial private involvement and support. During the pre-planning phase, significant external resources have been identified and they have expressed an interest in partnering with ECU to make a positive impact on the region. The concept has already received generous external support from Fielding & Kimberly Miller and from members of the Business Advisory Council.

This proposal begins by outlining the purpose, vision and mission of the proposed school. It then identifies steps that will be taken to achieve the mission of the Miller School of Entrepreneurship.

Purpose
To positively impact communities by equipping students and intended entrepreneurs with the skills needed to open and to successfully run businesses.

Vision
To be the destination program for students seeking to develop their innovative and entrepreneurial abilities.

Mission
The School will:

a) Inspire an entrepreneurial mindset across the university and region.

b) Develop entrepreneurial competencies that lead to successful innovation and venture creation.

b) Integrate and build the resources needed for economic development in the region.

d) Support entrepreneurial research.
Goals

This mission will be accomplished by:

a) Establishing creative, applied, cross disciplinary programming leading to degrees and certificates that materially enhance the likelihood of successful product and business launches.

b) Serving as a regional hub for the integration of the resources available in Eastern North Carolina for entrepreneurial and small business support.

c) Supporting and encouraging applied research that supports business ventures in the region.

Action Plan

The mission of the College of Business has long included a focus on leadership. Innovation and entrepreneurship are leadership in action.

The School will have four primary areas of focus: Academic Programs, Campus Integration, Regional Service, and Research and Scholarship. In each of these areas, it will work with the Regional Transformation Council (described in Appendix A) and Drive East: A Collaborative Strategy for Regional Transformation in Eastern North Carolina (described in Appendix B). Additionally, it will work to assure broad support and inclusiveness.

1) Academic Programs:

a. The School will offer a degree in Entrepreneurship and Small Business with enhanced course offerings supporting innovation, small and family business, and entrepreneurship.

b. The School will continue to support and enhance the Certificate in Entrepreneurship designed for non-business majors.

c. The School will create a graduate Certificate in Innovation and Entrepreneurship.

d. The School will support a minor in Small Business and Entrepreneurship.

e. The School will explore offering a new interdisciplinary degree or certificate program in Innovation and Entrepreneurship.

f. The School will lead integration of innovation and entrepreneurship concepts throughout all College of Business courses.

2) Campus Integration:

a. The School will establish collaborative entrepreneurship courses that integrate across programs, such as engineering, design, computer science, medicine, and nursing.

b. The School will coordinate with the many units focused on innovation and entrepreneurship across campus including the Small Business and Technology Development Center (SBTDC), the Office of Technology Transfer, and the Entrepreneurship Initiative to provide a more coordinated, collaborative and focused effort.

c. The School will create and support a campus wide student entrepreneurship organization.

d. The School will explore an entrepreneurship Living Learning Community open to all disciplines.

3) Regional Service:

a. The School will facilitate regional transformation through enhanced support for small business and regional coordination of support assets.

b. The School will work with and support the Small Business and Technology Development Center (SBTDC). For example, SBTDC counselors are working with teams of students providing business counseling for regional firms. Further, graduate students from the College of Business work with counselors in the SBTDC.
c. The School will host the Small Business Institute that provides small business consulting using student teams. This program has provided support to over 900 companies since inception.
d. The School will house the Bureau of Business Research, which will be repositioned to focus more emphasis on research of value to small businesses in our region.
e. The School will host events to facilitate entrepreneurship in the region, such as an entrepreneurship summit and case competitions.
f. The School will support innovation and entrepreneurship activities on the East Carolina Research and Innovation Campus (“millennial campus”).

4) Research/Scholarship:
   a. The School will continue to host and produce the Small Business Institute Journal.
   b. The School will provide technical reports and research through the Bureau of Business Research.
   c. The School will work with faculty across campus to produce valuable, applied, and interdisciplinary published research supporting entrepreneurship and small business.

Miller School of Entrepreneurship – Detail

The Miller School of Entrepreneurship will be an example of efficient and effective academic management. It will have a lean administrative structure and will work collaboratively across campus and the community to achieve its objectives.
   a. **The leader:** The Director of the school will be critical to it reaching its aggressive goals. This position will be supported by a $1.5 million endowed professorship. The initial donation and matching UNC-GA funds have already been secured.
   b. **The staff:** This will be an intensely active school with extensive programming and outreach. It will interact with all campus colleges and will work to integrate local, state, federal, and private resources across the region. A highly qualified experienced executive assistant will be required.
   c. **The faculty:** We will draw on faculty from across the college and campus. Faculty in the COB are extremely interested in entrepreneurship and are eager to participate in research, course development and instruction, and regional service. Some of the courses can be best taught using highly experienced fixed term faculty. It is intended that a significant portion of the instructional content will be provided by active entrepreneurs from the region. Other courses will require Ph.D. qualified faculty. Two additional professorships will be required to bring in the best faculty from highly successful programs to build the school.
   d. **The programs:** The best innovation and entrepreneurial programs are primarily experiential. This aligns perfectly with the college’s instructional philosophy. Experiential learning is more resource intensive than traditional lecture-based instruction. It will require contests with prize money, extensive travel by students and faculty to meet with business owners, creation of a business incubator, and other similar support activities. As this expands to include other programs such as engineering, medicine, and design, additional infrastructure will be required. For example, product development would likely require a rapid prototype lab. We will need to create a student consulting lab with conference rooms and technology support. Ease of access will require that some of these resources be located off campus. Additionally, the best programs strive to inspire and influence thought by bringing successful business entrepreneurs to campus for lectures and close student interaction. The School will partner with the East Carolina
Research and Innovation Campus ("millennial campus") for access to many of the required assets.

e. **The Curriculum:** The Miller School of Entrepreneurship will develop and offer programs of study that are unique, bold, effective, engaging and that will attract the best students from across an expanded region. The certificates and degrees will be officially housed in the School of Entrepreneurship. It is anticipated that all faculty assignments will be in their traditional departments within the University for promotion, tenure, and annual evaluations. All courses will be taught using existing department course codes for measuring productivity. This will extend to courses offered outside the college. There will be close collaboration between the director of the School of Entrepreneurship and the department chairs for the purpose of faculty evaluation and curriculum development. A multi-disciplinary steering committee has been formed that will oversee curriculum development.

f. **Support:** Alumni, foundation, state, and federal support will be critical to the program’s success. The school administration must seek and obtain every grant possible. It will organize and facilitate the creation of seed capital sources. It must coordinate with campus, city and regional agencies for space and student opportunities. It will continue to aggressively seek alumni support.

Oversight of the Miller School of Entrepreneurship will utilize a Faculty Oversight Committee with faculty representation from across the university. In addition, it will have Regional Advisory Councils comprised of serial entrepreneurs with a commitment to fostering entrepreneurial development in their region.

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<thead>
<tr>
<th>Faculty Oversight Committee:</th>
<th>Assistant Professor of Management</th>
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<tr>
<td>Josh Bendickson, PhD</td>
<td>Assistant Professor of Management</td>
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<tr>
<td>Phil Davis, PhD</td>
<td>Teaching Instructor, Accounting</td>
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<tr>
<td>Kim Everett, MSA</td>
<td>Professor of Management</td>
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<tr>
<td>Shanan Gibson, PhD</td>
<td>Professor of Management</td>
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<tr>
<td>Michael Harris, EdD</td>
<td>Professor of Management</td>
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<tr>
<td>Christine Kowalczyk, PhD</td>
<td>Assistant Professor of Marketing</td>
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<tr>
<td>Frank Lee, MBA</td>
<td>Teaching Instructor, Management</td>
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<td>David Mayo, MBA</td>
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<tr>
<td>Ravi Paul, PhD</td>
<td>Associate Professor of Management Information Systems</td>
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<td>Tracy Tuten, PhD</td>
<td>Professor of Marketing</td>
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<tr>
<td>Brenda Wells, PhD</td>
<td>Robert F. Bird Distinguished Scholar of Risk &amp; Insurance</td>
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<tr>
<td>Gene Dixon, PhD</td>
<td>College of Engineering and Technology</td>
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<td>TBA</td>
<td>College of Fine Arts and Communication</td>
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<th>Regional Advisory Councils</th>
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<tr>
<td>Fielding Miller</td>
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<td>Benny Ward</td>
<td>BioDelivery Sciences</td>
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<td>Player Barefoot</td>
<td>Southtech Orthopedics</td>
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<td>Van Isley</td>
<td>Professional Builders Supply</td>
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<td>David Bond</td>
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<td>Steve Jones</td>
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<td>Anthony Patterson</td>
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<td>Kel Norman</td>
<td>The Norman Financial Group</td>
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<td>Rich Ballot</td>
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<td>Tom Taft</td>
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<td><strong>Wilmington (Pending)</strong></td>
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<td>Scott Diggs</td>
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<td>Al Hutzler</td>
<td>Cliff Weil, Inc.</td>
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Signatures:

Dr. Ron Mitchelson
Provost and Senior Vice Chancellor for Academic Affairs

Dr. Phyllis Horns
Vice Chancellor for Health Sciences

11/19/2015
Date
Dr. Michael Van Scott  
Interim Vice Chancellor for Research, Economic Development and Engagement  

Dr. Stan Eakins  
Dean of the College of Business  

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<td>Faculty Salary Equity Study</td>
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Executive Summary

In 2014, East Carolina University retained Sparlin Law Office, PLLC to conduct a faculty salary equity study. The purpose of the study was to search, on a comprehensive, institution-wide basis, for any evidence of systematic gender or race/ethnicity disparities in the compensation paid to university faculty. Direction regarding the study has been provided by the Faculty Salary Equity Task Force, which represents faculty and staff from various departments and organizations across campus. The University supplied the database for analysis, which included pertinent information for all full-time instructional faculty members employed for nine or more months during the 2014-2015 academic year. The final database encompassed 1,033 Academic Affairs faculty members.

The statistical methodology used in the study is multiple regression. A multiple regression analysis examines the extent to which a dependent variable, in this instance faculty compensation, is related to a series of independent variables. The specific compensation measure chosen as the dependent variable is the nine-month equivalent base salary of each faculty member in the database. The dependent variable was analyzed through a series of regression models designed to test for evidence of bias affecting female faculty, minority faculty in general, or faculty members of specific race/ethnicities. The starting point for each series was a model that accounted for only the gender or race/ethnicity of each faculty member, as applicable, without inclusion of any other variables that might appropriately affect individual salaries. Other independent variables were introduced to the analysis in a succession of models to determine the extent to which those additional factors influence compensation. These additional independent variables included rank, tenure, discipline, experience, and other appropriate pay factors.

Once these factors were taken into account, the resulting regression models did not reveal any systematic differences between the pay of males and females, or between minority and non-minority, 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.

Although faculty productivity (e.g., publications, research, and other academic activities) has clear applicability to faculty salary determinations, this factor was not included in the multiple regression models described above. The Task Force concluded that the development of
numerical productivity indices that could provide meaningful input at the individual level for a multiple regression analysis was not feasible. However, the assumption that there is no systematic difference between the average productivity of male and female faculty (as well as between minority and non-minority faculty) sufficient to alter the overall outcome of the multiple regression models was tested. The results indicated that there may be some gender differences in the mix of productivity categories, with women tending to be more active than men in some areas and less active in others. In the aggregate, however, the outcomes were generally consistent with the assumption that average total productivity does not vary substantially by gender or by race/ethnicity.

After reviewing initial results from the analyses of all full-time Academic Affairs faculty, members of the Task Force observed that pay practices for tenure-eligible and fixed-term faculty differ in significant ways, which merited separate modeling. In general, the results from an analyses of tenured/tenure-track faculty were consistent with those generated in the analysis for all faculty members in Academic Affairs. The only statistically significant result arose in the comparison of tenured/tenure-track Black/African American faculty to their peers of other race/ethnicities, with the disparity favoring Black/African American faculty members.

Despite generally favorable outcomes, this study should not be taken as evidence that further attention to the subject of faculty compensation is unnecessary. Regression analyses for the current study did not account for any equity issues associated with the underlying processes by which qualifications such as tenure or higher academic rank are obtained. Although such issues were outside the scope of this study, they have obvious implications for each faculty member’s opportunities to earn a higher income. Additionally, overall patterns do not always replicate themselves in individual cases. As a follow-up to the regression analyses, an outlier analysis was conducted at the individual level to provide a basis for closer examination of specific cases. In an outlier analysis, a residual (the difference between an individual’s actual salary and his/her salary as predicted by the regression model) is calculated for each faculty member. A positive residual indicates that the faculty member is paid more than expected given the factors considered in the model, while a negative value denotes a salary that was less than predicted.

Members of the Faculty Salary Equity Task Force recommended further review of all cases in which nine-month base salary levels were at least one standard deviation below predicted salary. However, the fact that an individual is included in this review does not necessarily mean that this faculty member is underpaid. Other considerations not accounted for in the analysis, such as workload or individual performance, may justify the base pay level that has been established. By applying further scrutiny to each of these cases, the University will be taking important steps toward satisfaction of its overall objectives of fairness and equity.
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<td>Dr. Zhou – Associate Provost, Institutional Planning, Assessment and Research</td>
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Student Veteran Services

Office – Brewster D-107

Purpose: Student Veteran Services works to help student veterans transition from military life to college successfully. We provide opportunities for student veterans to connect on a social level to help combat feelings of isolation on campus. We provide assistance for students in locating available resources on campus, in the community and through the Department of Veterans Affairs. We provide training and events for the campus community to allow them to better understand the military experience.

Office was created in 2013 and was originally located on the lower floor of Christenbury. The office moved to the current location in Brewster D107 fall 2013.

Graduating student veterans are honored in a recognition ceremony at the end of each semester.

A Blackboard class has been created for military affiliated students. Students can check on their Federal benefits status, learn about campus programming, access handouts and resources, and connect with their peers in a virtual setting.

A new student lounge has been created within the office space. The Student Veteran lounge is a safe space for student veterans to connect with each other in an area where they know people understand their experience. Furniture was purchased with a Home Depot grant.

A quiet student space was also created with the same grant.

We are focusing on increasing our visibility on campus to both faculty/staff and students. We are a new office and still growing. We are working with a service learning group through the School of Communications’ Senior Capstone Class to market ourselves to students and faculty/staff. We are creating a newsletter to let faculty and staff know what we are doing at SVS and will also be working on piloting a faculty liaison program. We will be marketing to students through social media, table toppers, posters and LCD screens.

We are designing an intensive three day orientation program for student veterans to be pro-active rather than reactive to transition issues. We have applied for a NASPA grant for funding.

We have submitted an Aurora grant for funding for the Veterans Writing Workshop that we are assisting with. Workshop dates are April 6-13.

We are a finalist to become involved with the PAVE program campus. PAVE is a peer support program that connects incoming student veterans with student veterans already on campus in order to help them navigate college life, identify challenges they face, refer them to appropriate resources on or off campus, and provide ongoing support toward their academic and personal goals. PAVE is part of the University of Michigan Depression Center’s Military Support Programs and Networks (M-SPAN) suite of programs serving service members and veterans. The program is a collaboration between the University of Michigan Depression Center & Department of Psychiatry and Student Veterans of America. The PAVE Program is currently expanding to a select number of campuses across the country. We will find out if we get that on February 8th.

Stadium Step Challenge event is April 23, 2016 and is a fundraiser for an ECU scholarship for student veterans and office programming.
Vet Success on Campus
Purpose: The US Dept. of Veterans Affairs VetSuccess on Campus (VSOC) program aims to help student veterans and their qualified dependents succeed and thrive through a coordinated delivery of on-campus benefits assistance and counseling leading to completion of their education and preparing them to enter the labor market in viable careers by providing a counselor on campus in ECU's Student Veterans Services.

Since December 1, 2015, Kim Treece VetSuccess Counselor, has been in contact with 301 students on campus (both dependents and student veterans).
48 of THE 301 are new students. All new students are encouraged to meet with Kim to discuss benefit options as she is our in house expert

Uvize
Purpose: Uvize is a virtual mentoring tool that allows student veterans to reach out and start creating connections on campus before they even come to ECU. This is a great tool for our distance learners. In addition student veterans can connect with faculty and staff to be mentored in their career fields or education paths.

137 total users have been added to the site
39 have finished creating their profile
19 faculty/staff members have signed up to be mentors to student veterans

Green Zone Training
Purpose: Green Zone provides faculty and staff training on why student veterans can have difficulty transitioning from military life to college life, and how these issues may present themselves. Faculty and staff are instructed on how to hold conversations with student veterans that are respectful of cultural differences but also direct students to appropriate resources. There is a strong focus during the training on the student veterans’ experiences at ECU with the student panel.

310 attendees to date from both East and West Campuses have gone through training.
34 student veterans have volunteered to serve on the panel. We have a 3-4 student veteran panel at each Green Zone training.

We are working with a group of students in a Senior Capstone Class service learning project through the School of Communication to do a Green Zone training session for students. Initial plans are to focus on students in on campus housing, living/learning communities, and student organizations; this will begin Fall 2016.
92% of faculty and staff that attend find the content of the training helpful.

Pirate Veterans Organization
Purpose: A student organization (a chapter of Student Veterans of America) designed to connect student veterans on campus to provide a support network.

Active membership went from four students to over 20 this semester. They are focused on growing their group through increased marketing efforts, such as usage of social media, and by wearing club t-shirts. PVO has also created a brochure that is available in Brewster D107.

There are 30 students on the PVO roster.
PVO will assist with the Stadium Step Challenge event.
They will be working with the Honors College to create a scholarship committee for the future student veteran scholarship.
US Military

- November 2014 1,369,472 members serving
- November 2015 1,348,878 members serving
- 150,560 military personnel stationed in foreign countries
VA Benefits

• There was a 42% increase from 2009-2010 when Post-9/11 GI Bill was fully implemented
  – 51.7% earned degree or certificate
  – 47.3% earned bachelors degree
  – 79.2% attended a public institution
  – 10.7% attended a private non-profit
  – 10.1% attended a private for-profit
NC Demographics

• August 2013 114,654 on active duty in NC
• September 2014 775,000 Veterans

ECU Enrollment Data – 2014-2015

410 out of 1182 SV used federal VA benefits
VA paid $3,380,360.22 in VA tuition dollars

59 students used Tuition Assistance
DOD paid $103,957 in tuition dollars
Unique Characteristics

• Tend to be older
• Have families
• Often work while going to school
• May have interruptions in their education because of deployments (especially the guard and reserves)
• Have leadership skills
• Have considerable global experiences
National Recognition

Top 50 School
GI Jobs
Top 100
Military Spouse
Friendly School-
Victory Media
Questions?
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Discussion

North Carolina Guaranteed Admission Program (NC GAP)

Background:

In the 2015 session of the General Assembly of North Carolina passed House Bill 97 a provision entitled, NC Guaranteed Admission Program.

- Problem identified by Leg: Graduation rates are too low.

- Solution identified by Leg: NC GAP to increase number of bachelor degree holders in less time, with less cost to the state and student.

- It requires “a student who satisfies the admission criteria of a constituent institution, but whose academic credentials are not as competitive as other students admitted to the institution, to enroll in a community college in this State and earn an associate degree prior to enrolling as a student at the constituent institution.”

- “A constituent institution shall also reduce its enrollment for each academic year by the number of deferred admissions granted for that academic year.”

- “NCGAP shall be implemented at all constituent institutions and all community colleges beginning with the 2016-2017 fiscal year and shall apply to admissions policies at each constituent institution and community college beginning with the 2017-2018 academic year and each subsequent academic year.”

Provision Language

NC GUARANTEED ADMISSION PROGRAM (NCGAP)

for students pursuing a baccalaureate degree from any constituent institution of The University of North Carolina is too low. The General Assembly further finds that it is important to design and implement a program for the purpose of achieving the following goals: to assist more students to obtain a baccalaureate degree within a shorter time period; to provide students with a college education at significantly lower costs for both the student and the State; to help decrease the amount of debt resulting from loans that a student may owe upon graduation; to provide a student with an interim degree that may increase a student’s job opportunities if the students chooses not to continue postsecondary education; and to provide easier access to
academic counseling that will assist a student in selecting coursework that reflects the student's educational and career goals and helps the student succeed academically.

SECTION 11.7.(b) The Board of Governors of The University of North Carolina and the State Board of Community Colleges shall jointly study and evaluate how a deferred admission program, to be known as the North Carolina Guaranteed Admission Program (NCGAP), for students identified as academically at risk and designed pursuant to subsection (c) of this section, would address the issues and help achieve the goals set out in subsection (a) of this section. In its study the Board of Governors and State Board of Community Colleges shall also consider the best procedure for implementing NCGAP and the fiscal impact it may have with respect to enrollment.

SECTION 11.7.(c) NCGAP shall be a deferred admission program that requires a student who satisfies the admission criteria of a constituent institution, but whose academic credentials are not as competitive as other students admitted to the institution, to enroll in a community college in this State and earn an associate degree prior to enrolling as a student at the constituent institution. A student who earns an associate degree from a community college in this State within three years from the date of the deferred acceptance is guaranteed admission at that constituent institution to complete the requirements for a baccalaureate degree. A constituent institutions shall hold in reserve an enrollment slot in the appropriate future academic years for any student who accepts a deferred admission. A constituent institution shall also reduce its enrollment for each academic year by the number of deferred admissions granted for that academic year.

SECTION 11.7.(d) The Board of Governors of The University of North Carolina and the State Board of Community Colleges shall report their finding and recommendations to the Joint Legislative Education Oversight Committee, the Fiscal Research Division, and the Office of State Budget and Management by March 1, 2016. The report shall include an analysis of the fiscal impact NCGAP may have with regard to enrollment at constituent institutions of The University of North Carolina and at community colleges, the number of students who may participate in NCGAP, and its effect on FTEs.

SECTION 11.7.(e) Based on the analysis conducted by the Board of Governors and the State Board of Community Colleges pursuant to subsection (b) of this section and the recommendations made pursuant to subsection (d) of this section, each constituent institution shall design a deferred admission program as part of NCGAP for implementation at the institutions. The institution shall design the program so that it may be implemented at the institutions beginning with the 2016-2017 fiscal year and applied to the institution's admission process for the 2017-2018 academic year and each subsequent academic year.

SECTION 11.7.(f) The State Board of Community Colleges, in consultation with the Board of Governors of The University of North Carolina, shall adopt rules to ensure that a students participating in NCGAP is provided counseling and assistance in selecting coursework that reflects the student's educational and career goals and that provides a smooth transition from the community college to the constituent institution.

SECTION 11.7.(g) NCGAP shall be implemented at all constituent institutions and all community colleges beginning with the 2016-2017 fiscal year and shall apply to admissions policies at each constituent institution and community college beginning with the 2017-2018 academic year and each subsequent academic year.

SECTION 11.7.(h) This section does not apply to the North Carolina School of Science and Mathematics.

Literature Review:

A comprehensive literature review will be conducted. It will focus on the effect of starting at a community college or four-year institution on baccalaureate degree attainment.

The initial analysis of the extant literature suggests that NCGAP is unlikely to increase the number of baccalaureate degree completers and may even reduce the number, unless adequate supports are provided to ensure that students in the program are able to transfer successfully.

- When compared to students who attend four-year institutions, community college students are less likely to complete bachelor’s degrees, even after accounting for selection (Brand, Pfeffer, & Goldrick-Rab, 2014; Doyle, 2009; Long & Kurlaender, 2009)
  - “there is a cost in terms of degree completion, credit accumulation, and the risk for dropping out to initially entering postsecondary study through community colleges” (Long & Kurlaender, 2009)
- Among those students who successfully transfer from two-year to four-year institutions, there is no evidence of a BA attainment gap (Dietrich & Lichtenberger, 2015; Melguizo, Kienzl, & Alfonso, 2011; Monaghan & Attewell, 2015).
- However, there are low rates of transfer from two-year to four-year institutions, even among students with relatively high numbers of credits earned (Melguizo, Kienzl, & Alfonso, 2011; Monaghan & Attewell, 2015).
- Additionally, bachelor’s degree completion rates improve when students “overmatch” by choosing colleges where the level of academic skill exceeds their own: “Access to four-year public colleges substantially increases bachelor’s degree completion rates” (Goodman, Hurwitz, & Smith, 2015).

If you would like a complete list of studies that will may be included, please contact Kate Henz.

Definitions—Operationalizing “academic credentials [that] are not as competitive as other students admitted to the institution”

Academic credentials, for simplicity purposes, will be defined as weighted high school GPA.

Option 1: Identify the lowest 2.5% of the Fall 2015 admitted class by UNC institution as measured by weighted high school GPA. For example, at most selective institutions, the lowest weighted high school GPA may include students with a 4.0 weighted high school GPA.

Option 2: Identify students below a weighted 2.7 high school GPA at each institution. Note: NCCCS requires all students with an unweighted HS GPA of 2.6 to take developmental ed and UNC-GA’s previous research on minimum admission requirements notes that all students with less than a 25% chance of graduating in six-years are excluded with a weighted 2.72 high school GPA.

Proposed Analysis:
Option 1: 2.5% of Admitted Class

- UNC-GA will provide summary statistics of the lowest 2.5% of the Fall 2015 ADMITTED class by institution, including average high school GPA, race/ethnicity, gender and the average number of UNC institutions to which those students applied.

- UNC-GA will note of the number of students who are in the lowest 2.5% at ALL UNC institutions (i.e., student would not have another option within the UNC system). Analysis will note that students who prefer to attend a four-year institution have other options outside of the UNC system, i.e., private and out-of-state institutions.

- Of the number of admitted students identified above, UNC-GA will note how many actually enrolled at a UNC institution.

- Fiscal Impact: Run the number of enrolled students who are in the lowest 2.5% at ALL UNC institutions through the funding model to determine first level fiscal impact (this assumes all students identified will participate in program, graduate with AA/AS, transfer and complete bachelor’s at same rates as native students).

Option 2: Weighted GPA Cut-Off Score

- UNC-GA will provide summary statistics by campus for the number of students enrolled at each institution between a 2.5-2.7 weighted GPA (see attachment for in-state statistics for Fall 2014).

- In collaboration with RTI International and the NCCCS, UNC-GA will conduct a study to determine the outcomes of community college entrants compared with those of similar students who initially entered UNC institutions with a weighted 2.5 to 2.7 high school GPA.

- Analysis will include a detailed data set, merging unit record data from DPI, NCCCS, SEAA, NC Commerce, and UNC, to track the outcomes for the entering 2008-09 high school graduates who enrolled in Fall of 2009. We will employ a propensity matching technique to address selection issues.

- Using the matched sample, our analysis will allow us to determine the effect of the NCGAP on the legislations stated outcomes:
  
  o To assist more students to obtain a baccalaureate degree within a shorter time period;

  Research Question: Will there be more baccalaureate degree completers as a result of NCGAP within six years?
  
  1. What is the 2.5-2.7 native student six-year graduation rate and number of degrees within six years?
  2. What is the NCCCS AA/AS 3-year graduation rate for matched (i.e., HS GPA of 2.5-2.7) students?
3. Of those that graduate with an AA/AS how many will enroll at a UNC institution?

4. How many of the NCCCS AA/AS completers who successfully transfer graduate with a bachelor's degree within three more years (i.e., six-year baccalaureate graduation rate)?

- To provide students with a college education at significantly lower costs for both the student and the State;

Research Questions:

**Non-completers**

1. What is the cost to the State for non-completers at UNC (avg cost per UG Tier I, II and II credit hour multiplied by the avg hours completed before native student’s dropout)?

2. What is the cost to the State for non-completers at NCCCS (avg cost per instructional credit hour – tier 2*avg hours completed before cc student’s dropout)?

3. What is the difference in cost to the State for non-completers that start at UNC v non-completers at NCCCS?

**Completers**

1. What is the average number of attempted credit hours for native UNC students who graduate in six years?

2. What is the average cost to the State for a native UNC completer (avg attempted hours * avg cost per UG credit hour)?

3. What is the average number of attempted credit hours to obtain an AA/AS within three years?

4. What is the average cost to the State for an AA/AS completer (avg attempted hours * cost per NCCCS instructional credit hour)?

5. What is the average number of attempted credit hours taken at UNC for AA/AS transfer students within three years?

6. What is the average cost to the State for AA/AS transfers who graduate with bachelor’s degree in six years (avg attempted hours at cc*avg cost per cc credit hour + avg attempted hours at UNC * avg cost per UG credit hour)?

7. What is the difference in cost to the State for completers that start at UNC v completers at NCCCS?

**Wages**

1. What are the mean annual wages for bachelor’s degree completers and AA/AS completers after 1 year (NC Tower)?

2. What is the percentage of baccalaureate graduates and AA/AS graduates employed in NC (NC Tower)?

3. What is the difference in total wages earned with policy intervention? (No NCGAP: number of baccalaureate degree completers * bachelors wage – NCGAP: number of AA/AS completers but no bachelor’s degree * AA/AS wages + number of
NCCCS AA/AS transfer baccalaureate degree completers *
bachelors wage)

Opportunity Cost – Time to Degree
1. How many native UNC students graduate with bachelor’s in less than six years?
2. How many AA/AS transfers graduate with a bachelor’s in less than six years?
3. What is the difference in wages earned?
   o To help decrease the amount of debt resulting from loans that a student may owe upon graduation;

Research Questions:
1. Using SEAA data, what is the difference in average debt for students who start at a community college, complete an AA/AS in three years, transfer to a UNC institution and graduate with a bachelors in three more years (i.e., six-year graduate rate) compared to a UNC native completer?
2. What is the average debt for non-completers at both UNC and NCCCS?

Timeline:

- Obtain and merge datasets (early November)
- Conduct propensity score analysis and cost analysis (end November/beginning December)
- Institutions submit cost estimates to create programming to support NCGAP (end of November)
- Write first-draft of report (end of December)
- Circulate first draft to UNC-GA leadership and NCCCS leadership (first of January)
- Edit report (January/February)
- Submit to Board of Governors (mid-February)
- Submit to Legislative Oversight Committee (March)

Action/Questions:

1. Provide feedback/questions on plan of action.

2. Suggestions for institution involvement/feedback – maybe a small advisory group of 2 enrollment managers and 2 admission officers?

3. Discuss costs associated to providing adequate support for successful NCGAP program.
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What is State Authorization?

- Every state regulates the activities of out-of-state post-secondary institutions. State regulations and requirements vary widely in complexity and cost.
- State Authorization affects all of ECU’s distance education courses/programs and of resident campus programs that require supervised field experiences.
- Failure to comply exposes ECU to the risk of litigation by states and students.

SARA - State Authorization Reciprocity Agreement

- SARA is a state level reciprocity agreement that is overseen by a National Council and administered by SREB and the other three regional compacts. It is recognized by the USDOE and SACS.
- States can elect to join SARA. Institutions in those states can then apply to participate in SARA. Participating institutions can operate in all other SARA states without seeking the individual authorization of those states.
- Currently 36 states have joined SARA, and over 500 institutions are participating. Several states are in the process of considering SARA.
- North Carolina has not joined SARA. ECU must continue to seek authorization from every state in which we serve students.

North Carolina and SARA

- In 2015, UNC-GA formed a group to consider North Carolina’s participation in SARA. The group included representatives from the UNC system, NCICU and NCCCS. ECU was represented by Charlene Lee.
- The group recommended that North Carolina join SARA. The proposal for NC to participate in SARA is being considered by the UNC BOG.
- North Carolina’s membership in SARA will have positive effects on DE and resident campus enrollments for ECU and other NC institutions.

ECU, Authorization, and SARA

- ECU is now authorized in the 42 states in which we serve students. The Office of State Authorization works with the Office of the Provost, the ECU attorney, graduate and undergrad admissions, the registrar, and many programs to inform our constituents, to remain compliant and, to obtain authorization.
- Annual SARA fees for ECU would total $12K ($6K each to SARA & UNC-GA).
- Without SARA participation ECU’s 2016 costs will be at least $35K
- SARA does not include reciprocity for professional licensure.
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East Carolina University
Centers and Institutes Policy

PRR Classification: Policy

PRR General Subject Matter: Research and Graduate Studies

Authority: Board of Trustees

History: Approved 2/24/2006 revised 1/11/2016


Contacts: Vice Chancellor of Research, Economic Development, and Engagement, 252-328-9471; Chair of the Centers and Institutes Committee

1. Introduction, Purpose, and Definitions

East Carolina University (ECU) encourages multidisciplinary and multi-institutional partnerships that maximize the ability to address complex problems of importance to North Carolina, the nation, and the world. Such partnerships may take the form of centers and institutes. Centers and institutes are particularly effective structures when efforts require cross-disciplinary or cross-unit coordination. Centers and institutes, when formed, should result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff and students; heightened economic impact and societal well-being in Eastern NC and the State; increased efficiency; and reduced duplication of effort. Centers and institutes are expected to consolidate and coordinate activities across multiple entities or disciplines, or catalyze implementation of new multi-disciplinary initiatives, and therefore will encompass more than one department, office, or institution.

UNC Policy Manual 400.5[R] provides guidelines for establishing and managing institutional centers and institutes; defines University System Multi-Campus Centers or Institutes and the oversight role of UNC General Administration (UNC-GA); and outlines expectations for management oversight and reporting on centers and institutes. In accordance with these guidelines, the Chancellor approved the following Policy governing planning, establishing, reviewing and operating for Centers and Institutes with ECU as their administrative home.
1.1. Purpose: This Policy has three purposes:

1.1.1. Providing guidelines for planning, establishment, management, and discontinuation of institutional centers and institutes;

1.1.2. Providing guidelines for management and oversight of centers and institutes at East Carolina University (ECU); and

1.1.3. Setting forth requirements for management oversight and reporting on centers and institutes.

1.2. Definitions

1.2.1. “Center or Institute.” For purposes of classification, there is no technical distinction between the terms center and institute. In practice, an institute frequently refers to an entity having a broader scope of activity than a center. For example, an institute may create centers as separate units within its administrative structure. Centers and institutes may require new infrastructures to facilitate administration, fiscal management, and on-going activities. Centers and institutes may involve only units within the institution, or may include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies. Centers and institutes do not have jurisdiction over academic curricula, although they may offer courses in cooperation with academic units.

1.2.2. “General Fund sources” means financial resources originating from the State’s General Fund, including state appropriations and tuition receipts.

1.2.3. “Non-General Fund sources” means financial resources originating from sources other than the State’s General Fund, including fee receipts, endowment income, institutional trust funds, and outside grants.

1.2.4. “In-Kind sources” means support that one or more constituent institutions provides to a center or institute in the form of space, services, graduate assistantships, faculty course buyout, or use of equipment or other materials, and for which it does not receive cash payment.

1.2.5. “Political activity” means, as described in Section 300.5.1 of the UNC Policy Manual, actions directed toward the success or failure of a candidate for public office, political party, or partisan political group including, but not limited to, campaigning, political management, and soliciting financial contributions for political purposes.

2. Policy Provisions for Centers and Institutes

2.1. The following provisions apply to centers and institutes with ECU as their administrative home.

2.1.1. Authority.

2.1.1.1. Board of Trustees. The Board of Trustees approves campus level policies on centers and institutes and authorizes establishment and discontinuation of institutional centers and institutes.
consistent with regulations and the directions of the president or the Board of Governors. The Board of Trustees may delegate to the Chancellor the authority to approve the discontinuation of centers and institutes.

2.1.1.2. Chancellor. The Chancellor is ultimately responsible for the oversight and management of all centers and institutes at ECU. The Chancellor is responsible for carrying out the requirements of the applicable policies of the Board of Governors and Board of Trustees with respect to centers and institutes, and for ensuring that all requirements of this Policy are implemented and followed. The Chancellor delegates authority for division-level administration of centers and institutes to the Academic Council.

2.1.1.3. Centers and Institutes Committee. The Centers and Institutes Committee oversees all centers and institutes at ECU and insures operations are in compliance with the established policies and procedures. The Committee reports to Academic Council. It is charged with carrying out the following duties:

2.1.1.3.1. Establish the composition and membership of the Committee;
2.1.1.3.2. Insure alignment between the University’s Centers and Institutes Policies and Procedures and the UNC Policy Manual, and advise the Academic Council on changes to the institution’s policies and procedures to rectify discrepancies;
2.1.1.3.3. Authorize permission to plan for new centers and institutes;
2.1.1.3.4. Authorize or recommend, as appropriate, establishment of new centers and institutes;
2.1.1.3.5. Establish the processes for periodic review of centers and institutes and their directors for performance relative to their stated objectives, goals, and mission;
2.1.1.3.6. Oversee conduct of periodic reviews of the established centers and institutes and their directors;
2.1.1.3.7. Recommend discontinuation of centers and institutes when warranted; and
2.1.1.3.8. Liaise with UNCGA on issues related to centers and institutes.

2.1.1.4. Directors. Each center or institute must have a director, with a direct report to a senior academic officer appointed by the Chancellor. Directors are responsible for the day-to-day programmatic, fiscal, and personnel decisions associated with the center and institute mission and core personnel.

2.1.1.5. Boards and advisory committees. Each center and institute with ECU as its administrative home will maintain a board or advisory committee of at least four members that represent the primary constituents. The boards or advisory committees will report to the directors, providing advice and guidance, and helping coordinate. The board and advisory committees do not have authority to make hiring offers or to discontinue directors or other staff or to access, use, or otherwise control
2.1.6. Bylaws, memoranda of understanding, and other governing documents. Commitments, responsibilities, and interactions of the constituent departments, colleges, schools, divisions, and institutions involved in activities of centers and institutes with their administrative home at ECU must be defined by bylaws, memoranda of understanding (MOUs), or other governing documents such as the original proposal that is signed by all parties. All documents defining the commitments, responsibilities, and working relationships of the above-referenced entities must be approved by the Chancellor or the Chancellor’s Designee. Centers and institutes that involve multiple campuses, but without such documents, are considered under the full authority of the administrative campus.

3.1. Obtaining Authorization to Plan Centers and Institutes

3.1.1. Units seeking permission to plan a center or institute will develop and submit a written proposal which includes the following required information:

3.1.1.1. Name of the proposed center or institute;

3.1.1.2. Relevance of the proposed center or institute to the mission of ECU and UNC;

3.1.1.3. Specific objectives and goals of the proposed center or institute and why the objectives and goals cannot be achieved within existing institutional or UNC structures, including individual schools, departments, and/or programs;

3.1.1.4. Discussion of differentiation from similar centers, institutes or units (if any) within ECU, UNC and the State, and proposed relationship with them;

3.1.1.5. Center/institute’s relevance to ECU’s mission, including a statement on the impact upon academic, research, and outreach programs of existing academic departments, schools, institutes and centers;

3.1.1.6. Names and credentials of participants in the proposed institute/center and criteria for inclusion of future participants/members;

3.1.1.7. Description of the expected benefit/value added to the campus or community anticipated within five years due to the existence of the center or institute;

3.1.1.8. Budget estimates for the first year of operation, and projections for the following four years, including the funds associated with the center or institute.
amount to be derived from General Funds, non-General Funds and in kind support, and the source of the required funds (i.e., department, institution, sponsor, etc.);

3.1.1.9. Statement of capital needs such as equipment and library resources and documentation of how these needs will be met, such as MOU’s, award notices, and letters of commitment from the sources of the resources;

3.1.1.10. Description of immediate space needs, projections of future space needs, and documentation of commitments from the parties committing the space for center and institute activities;

3.1.1.11. Plan for becoming self-sustaining and independent of General Funds and ongoing in-kind support including course buyouts and release time for center and institute directors, faculty, and staff; and graduate assistantships used to support operations. Any requirement for ongoing support from General Funds and in-kind support must be justified by the benefits derived from the activities of the center or institute;

3.1.1.12. When relevant, statements on the inter-institutional nature of the proposed center or institute, whether it be mission, leadership, activities, funding or other aspects;

3.1.1.13. Milestones, timelines, and responsible parties associated with center and institute planning periods.

3.1.1.14. Any additional supporting information; and

3.1.1.15. Signatures of administrators of all participating units.

3.2. Submission of Proposal to Plan

3.2.1. Proposals to plan centers and institutes must be submitted to the Vice Chancellor for Research, Economic Development, and Engagement for referral to the Educational Policies and Planning Committee and the Centers and Institutes Committee. The Centers and Institutes Committee reviews the proposals, considers input from the Educational Policies and Planning Committee, and recommends approval or disapproval of the proposal to plan to the Academic Council and the Chancellor. If the Chancellor authorizes the planning of a center or institute then the approval to plan shall be submitted to the Board of Trustees and the UNC Office of Research and Graduate Administration within 30 days.
of the Chancellor’s approval or by the next meeting of the Board of Trustees, whichever is later.

3.3. Obtaining Authorization to Establish Centers and Institutes

3.3.1. After receiving permission to plan a center or institute, units seeking permission to establish a center or institute will develop and submit the following required information:

3.3.1.1. Name of the proposed center or institute;
3.3.1.2. Identification of the proposed center or institute as either primarily research, service or instructional;
3.3.1.3. Statement on the anticipated effects of the proposed unit on the instructional, research and/or public service programs of the administrative campus; and, when inter-institutional arrangements are involved, a statement on the impact upon academic, research, and outreach programs of existing academic departments, schools, institutes and centers of all participating campuses;
3.3.1.4. Organizational structure, including name of the proposed director, description of the membership, proposed organizational structure, and a description of proposed advisory or policy boards;
3.3.1.5. Statement on immediate financial needs, including the amount of General Fund, non-General Fund, and in kind support that will be required;
3.3.1.6. Statement on immediate operating needs, such as equipment, library resources, and space needs, and five-year projections of future space needs;
3.3.1.7. An accountability plan that complies with the policy of the home campus, noting specific dates for the initial director and center or institute reviews;
3.3.1.8. A schedule of milestones, timeliness, and responsible parties associated with establishment; and
3.3.1.9. When relevant, evidence that inter-institutional arrangements regarding leadership, governance, activities, or funding of other aspects have been reached by the cooperating chancellors or designees.

3.4. Submission of Proposal to Establish
Proposals to establish centers and institutes must be submitted to the Vice Chancellor for Research, Economic Development, and Engagement for referral to the Educational Policies and Planning Committee and the Centers and Institutes Committee. The Centers and Institutes Committee reviews the proposals, considers input from the Educational Policies and Planning Committee, and recommends approval or disapproval of the establishment of the center or institute to the Academic Council and the Chancellor. A proposed center or institute satisfying all the above-referenced criteria may be established after approval of the Chancellor and Board of Trustees and notification to the Office of Research and Graduate Education at UNC General Administration.

3.5. Reporting and Reviews

3.5.1. All centers and institutes must submit an annual report of activities to the Centers and Institutes Committee via the Vice Chancellor for Research, Economic Development, and Engagement for archiving and transmission to the Academic Council and the Chancellor. Annual reports must include:

3.5.1.1. Performance against the stated objectives;

3.5.1.2. Annual expenditures from General Funds, non-General Funds and in kind support;

3.5.1.3. Source of the expended funds (i.e., department, institution, and/or sponsor); and

3.5.1.4. Progress on the plan to self-sustaining and independent of General Funds and ongoing in-kind support including course buyouts and release time for center and institute directors, faculty, and staff; and graduate assistantships used to support operations. For centers and institutes that require ongoing support from General Funds and in-kind support the benefits derived from the activities of the center or institute relative to the funds expended must be clearly stated.

3.6. The Centers and Institutes Committee will report deficiencies in performance to the directors and insure corrective actions are implemented annually.

3.7. Each center and institute must undergo a comprehensive review every 5 years to evaluate ongoing alignment with departmental, college and/or institutional missions and resources, success in accomplishing stated objectives, and sound fiscal status and practices, to include a self-study that is critically evaluated by reviewers not affiliated with the center or institute. Reviews of centers and institutes that receive more than $100,000 in General Funds plus in-kind support annually, or that are authorized to receive distributions of indirect costs through the Division of Research, Economic Development, and Engagement, must include reviewers from outside the institution and onsite visits. The Centers and Institutes Committee will schedule
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Approved 2/24/2006
Revised 1/11/2016

orchestrate, and document results of the reviews. Review criteria will include, but not limited to, the following:

3.7.1. Performance against specific objectives and goals as reported in annual reports;
3.7.2. Quality and quantity of scholarly activity (as appropriate per mission), teaching and other instructional activity (as appropriate per mission), and service (as appropriate per mission);
3.7.3. Budget required to continue operation, including the amount and proportion of funds received from General Fund and non-General Fund sources as well as in kind support;
3.7.4. Fiscal oversight;
3.7.5. Analysis and assurance that the entity does not duplicate other institutional, UNC, or State entities;
3.7.6. Analysis and consideration as to whether the entity’s work can be effectively accomplished by a single department or program;
3.7.7. Facilities, personnel, and operational needs;
3.7.8. Stakeholder feedback (stakeholder defined as appropriate per the unit’s mission)
3.7.9. Director performance, to include at a minimum:
   3.7.9.1. Performance against individual objectives and goals;
   3.7.9.2. Feedback on leadership and communication from center/institute staff, partners and/or clients; and
   3.7.9.3. Management of fiscal and human resources;
3.7.10. Standard practices and procedures for involving other UNC constituent institutions in review processes, when relevant; and
3.7.11. Clear plans for occasions when centers, institutes or directors do not meet minimum review expectations, including process, milestones, and responsible parties.

3.8. Results of the reviews will be reported to Academic Council and forwarded to the Chancellor.

3.9. Discontinuing

3.9.1. A center or institute may be discontinued for a variety of reasons, including but not limited to request by its director, its administrative unit, Academic Council, or Chancellor; lack of fiscal resources for sustainability; incompatibility with departmental, college, or institutional missions or objectives; failure to meet performance expectations; unsatisfactory performance as documented in the annual review process and confirmed in the 5 year comprehensive review; and completion of the mission. The Centers and Institutes Committee will make recommendations for discontinuation to the Academic Council for approval by the Chancellor. The Office of Research and Graduate Education at UNC General Administration must be notified prior to discontinuation. A center or institute shall be considered discontinued if the discontinuation
approved by the Board of Trustees.

3.9.2. For those centers and institutes that require significant and sustained cooperation among more than one UNC campus, agreement must be reached and documented by the partner Chancellors or designee before the recommendation to discontinue goes before the Board of Trustees of the administrative campus. If such an agreement cannot be reached by partner Chancellors or designees, then UNC General Administration, through the Office of Research and Graduate Education, will convene partners and determine an acceptable solution.

3.9.3. The “phase-out” period for centers and institutes that are to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and to allow an effort to find alternative employment for full-time staff. Normally, the “phase-out” period shall be no more than one year after the end of the academic year in which final approval is given to discontinue the center or institute.

4.1. Other Entities

4.1.2. Other coordinating entities, such as networks, partnerships, consortia, collaboratives, or centers that form within existing centers or single departments, are exempt from this Policy. For example, faculty within a department may decide to form a collaborative in order to more intentionally connect their research projects and professional networks. While such a group may prove a valuable resource to external partners or other disciplinary contacts, it would likely require little to no structure, funds, or management to function. A final determination will be left to the discretion of the Centers and Institutes Committee as to whether such entities will be governed under institution level processes.

4.1.2. University System Multi-Campus Centers and Institutes

4.1.2.1. Some centers and institutes are established either to represent North Carolina in a federally funded and formula-based program, many of which require state matching funds, or through legislative action with requirements of multiple campus engagement. These entities, known as University System Multi-Campus Centers and Institutes, will maintain varying levels of involvement from UNC General Administration throughout their life cycle.

4.1.2.2. Centers and institutes that are established via a federally funded and formula-based program and designate ECU as the administrative campus require a reporting line to UNC General Administration through the UNC Office of Research and Sponsored Programs to ensure appropriate system level involvement in the center mission and the federal review processes for these centers, institutes, and their directors. These entities shall reach agreements with their administrative campuses to have any regularly occurring and extensive federal review meet the requirement for periodic external review. A center or institute participating in a federally-funded and formula-based matching program may be discontinued if the sponsoring unit
the federal government terminates funding for the program. When it becomes necessary to discontinue one of these centers or institutes, the Centers and Institutes Committee, in consultation with the other participating constituent institutions, will prepare and forward a written request to the UNC President, with copy to the Vice President for Research. The President will then make such recommendations as are necessary to the Board of Governors for approval of the discontinuation. The “phase out” period considerations noted above will apply to these centers and institutes.

4.1.2.3. Centers and institutes that function as part of one or more constituent institutions of the UNC system are subject to the administrative management, oversight, and control of the chancellor of the administrative campus (or the chancellor's designee(s)) as to all activities undertaken by the center or institute, including with respect to the use of funds, services, supplies, equipment, information technology resources, vehicles or other University property.

5.1. Political activity and legislative activity

5.1.1. University employees assigned to centers and institutes are subject to UNC Policy Manual Section 300.5.1, concerning Political Activities of Employees, which includes prohibitions against engaging in political activity while on duty and using the authority of one’s position or University or center or institute funds, services, supplies, equipment, information technology resources, vehicles or other resources for such activities, as described in the policy.

5.1.2. The Internal Revenue Code (IRC) limits the extent to which charitable organizations that are tax-exempt pursuant to Section 501(c)(3) of the IRC may engage in activities directed towards influencing legislation (lobbying), subject to applicable exceptions. The University is a tax-exempt body, and each center or institute remains subject to the direction of its administrative campus when engaging in legislative (lobbying) activities, which shall be conducted in compliance with all State and federal laws, including regulations adopted by the U.S. Department of Treasury and the Internal Revenue Service. Each center or institute shall adhere to the IRC Section 501(c)(3) limits on lobbying activities to the same extent that such limits would apply if it were an independent charitable organization described in IRC Section 501(c)(3).

5.1.3. The Chancellor (or chancellor’s designee) is responsible for overseeing and exercising control over the activities of each center or institute, and for ensuring that the director and professional staff of each center or institute receive comprehensive annual training concerning Internal Revenue Code restrictions on political and legislative activities by section 501(c)(3) organizations.
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