



East Carolina University | Board of Trustees Meeting University Affairs Committee Meeting | September 29, 2016 Agenda

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|------|---|-------------|
| I. | Approval of July 14, 2016 Minutes | Action |
| II. | Academic Affairs | |
| | A. UNC Lab School Update (Grant Hayes & Ethan Lenker) | Information |
| | B. Heritage Hall Update and Demo (Gerry Prokopowicz) | Information |
| | C. Intercollegiate Athletics Report (John Fletcher) | Information |
| | D. Enrollment Update (Ying Zhou) | Information |
| III. | Student Affairs | |
| | A. Move In 2016 | Information |
| | B. Safety Support Systems | Information |

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Kieran Shanahan, Chair
Agenda Item	I.
Item Description	Approval of minutes – July 14, 2016
Comments	
Action Requested	Approval
Disposition	
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Minutes of the Meeting of the
University Affairs Committee
East Carolina University Board of Trustees
July 14, 2016 at 10:00am
East Carolina Heart Institute

Board Members Attending: Max Joyner (serving as chair), Ryan Beeson, Danny Scott, Deborah Davis, Leigh Fanning

Board Members Not Present: Kieran Shanahan

Others in Attendance: Cecil Staton, Ron Mitchelson, Virginia Hardy, Michael Van Scott, Edwin Clark and John Stiller

Mr. Joyner opened the meeting at 10:02am by reading the conflict of interest statement as well as the Jurisdiction Review for University Affairs.

The minutes from the previous meeting were approved.

At 10:03am, University Affairs moved into Closed Session – Closed Session ended at 10:13am

Policy

- **Promotion and Tenure Policy** – Ron Mitchelson provided some historical information about where we stand on tenure. Anything that relates to tenure comes to the Board for discussion and actions. This policy last came to the Board in 2010. The Faculty Senate reviews this policy regularly with liaisons from the Chancellor’s Executive Council. He stated that this is a large team effort driven by the faculty. Dr. Mitchelson went through some of the 20 key changes in the document including:
 - The two levels of faculty (tenurable and fixed term);
 - Communications permitted in the processes (i.e. use of email); eliminating unneeded redundancy;
 - Clarifying that tenure can only be attained by Associate Professor and Professor level faculty (meaning they should be promotable to get tenure);
 - Special employment arrangements (i.e. Vidant and others in private sector);
 - Instructor is now considered fixed term until the assistant professor title is awarded will the tenure clock start; maximum probationary terms for faculty are clarified;
 - Faculty may request probationary period extension (up to 2 years);
 - Progress toward tenure letters remain; joint faculty appointments (promotes multi-disciplinary work);
 - Unit code clarification for proper use in the process;
 - Support for those units that have high numbers of fixed term faculty; conflict of interest language exists to avoid employment conflicts;
 - Communication between committee and the department leadership is clarified as to what is permitted;
 - Peer reviews are required (not all universities do) and there must be three peer review letters submitted and this process is now more clear;
 - Misconduct is now part of the tenure record for faculty; faculty voting rules and definitions were clarified (i.e. people on medical leave can’t vote);
 - College level faculty committees can make recommendations to a dean (there is always a dean review, and this now allows the dean to rely on a college level committee to provide additional support on a decision);
 - Procedures for managing recommendations and responses (appeals are not a part of these revisions, but referenced in Parts 5-7 of this policy);
 - **Motion – Ryan Beeson made a motion to approve the changes as presented – seconded by Deborah Davis – unanimously approved**
- **Title IX Training – Donna Payne and Lakesha Forbes**
 - It was shared that the training for Board members and others required to take the training is being prepared by an outside entity. They asked for feedback about how the Board prefers to handle this training. Due to many Board members living outside of Greenville, some recommended that this could be delivered via an online option. Other recommendations were to keep it at an hour and also to be

interactive and not just a lecture. Online delivery provides a record of who completed the training. More discussion will continue about the proper ways to deliver this training.

Research, Economic Development and Engagement

• Discontinuation of the Institute of the Outdoor Theatre

- Dr. Michael Van Scott shared that this Board of Governors recommendation is different from previous recommendations. The Institute of Outdoor Theater was created in 1963 at UNC and was transferred to ECU six years ago. The director is stepping down soon and Dean Buddo concluded that this was not something we need to continue. Dean Buddo sought other ways to have the same activities and services offered and found a 501(c)(3) organization in Greensboro to take this over. To do this, we would need officially close this as a UNC System Institute. We would transfer assets such as a database of outdoor activities and \$100,000 of program income accrued. The funds will help to make this transition and is upfront funds to help maintain the services through the transition. The 1.75 FTE assigned to the Outdoor Theater will be reassigned by Dean Buddo.
- **Motion – Ryan Beeson made a motion to approve the discontinuation of the Outdoor Theater as presented in the Board materials. It was seconded by Deborah Davis and approved unanimously.**

Student Affairs

- **Student Affairs Landscape Update-** Dr. Virginia Hardy shared some information and data about what we saw in our students last year and a lot of this relates to resiliency problems. We are seeing increases in mental health problems, suicidal attempts and ideations and other student conduct concerns (i.e. ECU Cares, Counseling Center, UBCT, Dean of Students and Office of Student Rights and Responsibilities). Of note, Disability Support numbers increased 26% in one year. Counseling increased to more unique students visiting and also there was an increase in the total number of appointments. The number of Title IX cases are going down a bit this spring and we believe this is due to marketing and communication efforts to make sure reporting options are very clear. Within counseling, our therapeutic numbers are on the rise and have been for the last couple of years and should continue.
 - **Drugs and Alcohol**, we have seen a reduction in the number of incidents, but an increase in the severity of the crime (more felonies, prescription drugs). In housing alone, we have an increase in felonies in the halls (40) with 68% around heroin and marijuana and 32% related to robbery or identity theft.
 - Dr. Hardy talked about the **Collegiate Recovery Community (CRC)** that focuses on a recovery and enhances the college experience that are struggling, but want to get them into a sober lifestyle. We are expecting a third year of funding to be provided for this program. We have 10 students in the program and they are planning to return in the fall. Some new initiatives include Resiliency Training Programs; Cognitive-Affective Stress Management Training; CRC partnership about recovery during the NC State and Virginia Tech games (their students and ours together), Living Learning Communities (LLC) continue to grow on campus (now 19 going into the fall with two more in 2017 - 15% of on campus students live in an LLC).
 - **Campus Living** – we will open at capacity for the fall and there might be a slight overflow of people but we will be able to house them in Clement for the fall. Transit is partnering with UNC Charlotte to help them create their transit system. The rising costs of construction are having impacts on the construction of our three towers and the Jones Hall Gallery. This will prohibit us from doing some of special things we wanted to do such as lounges, study spaces, a pergola and other interior/exterior features.
 - **Career Services** – First Destination survey coming – starting with the May graduates to find out what our alums are doing after the graduate for a career. That information will go back to the colleges for them to adjust any curricular plans related to the data. This information will be shared during the fall. This is the first time we have had this information and data.
 - We shared other programs for promoting civil discourse and student engagement that will occur in the fall such as Cupola Conversations, Rapid Response, Speak Up, Chancellor's Roundtable, NC Civility Summit, Pledge Purple and the Vagina Monologues.

Meeting ended at 11:33am

Respectfully submitted by Christopher Stansbury

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Grant Hayes - Dean, College of Education Ethan Lenker - Superintendent, Pitt County Schools
Agenda Item	II. A.
Item Description	UNC Lab School
Comments	
Action Requested	Approval
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1 leadership development for both teachers and principals in low-performing schools and local
2 school administrative units.

3 (d) Except as otherwise provided in this Article, a laboratory school is exempt from
4 statutes and rules applicable to a local board of education or local school administrative unit.

5 **"§ 116-239.6. Definitions.**

6 The following definitions apply in this Article:

7 (1) Advisory board. – An advisory board established by the board of trustees under
8 G.S. 116-239.8.

9 (2) Board of trustees. – The board of trustees of a constituent institution that is the
10 governing body of the lab school established under this Article.

11 (3) Constituent institution. – A constituent institution of The University of North
12 Carolina with an educator preparation program that has been designated by the
13 Board of Governors to establish a laboratory school under G.S. 116-239.5.

14 (4) Laboratory school or lab school. – A public school created under
15 G.S. 116-239.7 that (i) is located in a local school administrative unit that has
16 twenty five percent (25%) or more of the schools located in the unit identified
17 as low-performing under G.S. 115C-105.37 and (ii) serves students in
18 kindergarten through eighth grade.

19 (5) Principal. – The principal of a lab school.

20 **"§ 116-239.7. Plan for the location of lab schools; creation of a lab school; dissolution.**

21 (a) Plan for the Location of Lab Schools. – The Board of Governors, in collaboration with
22 the boards of trustees of the constituent institutions, shall adopt a plan for the location of the lab
23 schools in local school administrative units that meet the minimum threshold for the number of
24 low-performing schools located in the units under G.S. 116-239.6(4). The plan shall include a
25 geographically diverse distribution of the lab schools throughout the State and a maximum of one
26 lab school located in a qualifying local school administrative unit. The Board of Governors shall
27 update the plan as necessary to reflect any changes to the status of a constituent institution
28 operating a lab school and the status of qualifying local school administrative units at the end of
29 the term of operation of a lab school. A constituent institution shall not adopt a resolution to create
30 a lab school under this section prior to receiving approval from the Board of Governors on the
31 location of the lab school. At least 90 days prior to implementation, the Board of Governors shall
32 submit the plan and any revisions to the plan to the Joint Legislative Commission on
33 Governmental Operations.

34 (b) Resolution to Create a Lab School. – The board of trustees of a constituent institution
35 shall adopt a resolution stating its intent to create a lab school, which shall include the following:

36 (1) Name of the lab school.

37 (2) The local school administrative unit in which the lab school shall be located.
38 The local school administrative unit in which the lab school is located shall
39 meet the requirement under G.S. 116-239.6(4) that twenty-five percent (25%)
40 or more of the schools located in the unit are identified as low-performing
41 under G.S. 115C-105.37 at the time the resolution is adopted. However, the
42 board of trustees shall continue to operate the lab school within the local school
43 administrative unit for at least five years as provided under subdivision (3) of
44 this subsection regardless of whether the local school administrative unit
45 continues to qualify under G.S. 116-239.6(4).

46 (3) A term of operation for the lab school of five years from the date of initial
47 operation. At the end of five years of operation, if the lab school is still located
48 in a local school administrative unit that has twenty-five percent (25%) or more
49 of the schools located in the unit identified as low-performing under
50 G.S. 115C-105.37, the resolution may be renewed by the constituent institution
51 at the end of the term for an additional five years. If the lab school is no longer

1 located in a qualifying local school administrative unit at the end of five years,
2 the board of trustees shall notify the Board of Governors to request consultation
3 on determining the location of creating a new lab school in accordance with
4 subsection (a) of this section and the provisions of this Article.

5 (c) Recognition of a Lab School. – Each board of trustees that adopts a resolution as
6 provided in this section shall file a copy of the resolution with the State Board of Education. Upon
7 receipt of a resolution from a board of trustees for a named lab school, the State Board of
8 Education shall approve the creation of the lab school.

9 (d) Dissolution or Assumption of a Lab School. – In the event of the potential dissolution
10 of a lab school at the end of the term of the school's operation or due to the termination of an
11 educator preparation program at the constituent institution, subject to approval by the Board of
12 Governors, the board of trustees shall adopt a plan for the dissolution or the assumption of the lab
13 school by a new entity. A local board of education of the local school administrative unit in which
14 the lab school is located may transition the lab school to a public school under the governance of
15 the local board or, if the local school administrative unit still qualifies under G.S. 116-239.6(4),
16 the board of trustees of another constituent institution with an educator preparation program may
17 assume operation of the lab school. If the lab school is dissolved or a local board of education
18 assumes operation of the school, all net assets of the lab school purchased with public funds shall
19 be deemed property of the local school administrative unit in which the lab school is located. The
20 State Board of Education shall be notified in the event of the dissolution or assumption of a lab
21 school, including the identity of the entity assuming operation of the school.

22 **"§ 116-239.8. Board of trustees; powers and duties.**

23 The board of trustees shall have the following powers and duties:

24 (1) Advisory board. – A board of trustees shall appoint an advisory board to
25 provide general oversight and guidance to the board of trustees of the lab school
26 as follows:

27 a. Composition of the advisory board.– The dean of the constituent
28 institution's educator preparation program shall be a standing member of
29 the advisory board and the board of trustees, upon recommendation of
30 the president of the constituent institution, shall appoint four faculty
31 members from the institution, at least two of whom are from the
32 educator preparation program, one public member who resides in the
33 local school administrative unit in which the lab school is located, two
34 parents or guardians of students who attend the lab school, and one lab
35 school student appointed by the principal to serve on the advisory board.
36 The term of each member shall be for two years, and any vacancy shall
37 be filled with a person of the same classification as his or her
38 predecessor for the balance of the unexpired term. The board of trustees
39 shall stagger the terms of the initial appointees in a manner that results
40 in the expiration of terms of no more than two members in any year.
41 The board of trustees shall call the organizational meeting of the
42 advisory board. The advisory board shall annually elect a chair and a
43 vice-chair. There shall be no limitation on successive appointments to
44 the advisory board or successive terms that may be served by a chair or
45 vice-chair. The advisory board shall adopt internal organizational
46 procedures or bylaws necessary for efficient operation. Advisory board
47 members shall not receive per diem or travel expenses for the
48 performance of their duties.

49 b. The advisory board shall meet at least quarterly and shall have the
50 following duties:

- 1 1. Monitor the operations of the lab school and the distribution of
2 moneys allocated for such operations.
- 3 2. Recommend to the board of trustees necessary policy, program,
4 and administration modifications.
- 5 3. Evaluate biennially the performance of the principal and
6 recommend corresponding action to the board of trustees.
- 7 4. Annually review evaluations of the lab school's operation and
8 research findings.
- 9 (2) Academic program. –
 - 10 a. The board of trustees shall establish the standard course of study for the
11 lab school. This course of study shall set forth the subjects to be taught
12 in each grade and the texts and other educational materials on each
13 subject to be used in each grade. The board of trustees shall design its
14 programs to meet at least the student performance standards adopted by
15 the State Board of Education and the student performance standards
16 contained in Chapter 115C of the General Statutes.
 - 17 b. The board of trustees shall conduct student assessments required by the
18 State Board of Education.
 - 19 c. The board of trustees shall adopt a school calendar consisting of a
20 minimum of 185 days or 1,025 hours of instruction covering at least
21 nine calendar months.
- 22 (3) Standards of performance and conduct. – The board of trustees shall establish
23 policies and standards for academic performance, attendance, and conduct for
24 students of the lab school. The policies of the board of trustees shall comply
25 with Article 27 of Chapter 115C of the General Statutes.
- 26 (4) Food and transportation services. – The local school administrative unit in
27 which the lab school is located shall continue to provide food services and
28 transportation to students attending the lab school. The board of trustees shall
29 arrange for the provision of these services from the local school administrative
30 unit.
- 31 (5) School attendance. – Every parent, guardian, or other person in this State
32 having charge or control of a child who is enrolled in the lab school and who is
33 less than 16 years of age shall cause such child to attend school continuously
34 for a period equal to the time that the lab school shall be in session. No person
35 shall encourage, entice, or counsel any child to be unlawfully absent from the
36 lab school. Any person who aids or abets a student's unlawful absence from the
37 lab school shall, upon conviction, be guilty of a Class 1 misdemeanor. The
38 principal shall be responsible for implementing such additional policies
39 concerning compulsory attendance as shall be adopted by the board of trustees,
40 including regulations concerning lawful and unlawful absences, permissible
41 excuses for temporary absences, maintenance of attendance records, and
42 attendance counseling.
- 43 (6) Reporting. – The board of trustees shall comply with the reporting requirements
44 established by the State Board of Education in the Uniform Education
45 Reporting System.
- 46 (7) Assessment results. – The board of trustees shall provide data to the local
47 school administrative unit on the performance of that student on any testing
48 required by the State Board of Education.
- 49 (8) Education of children with disabilities. – The board of trustees shall require
50 compliance with laws and policies relating to the education of children with
51 disabilities.

- 1 (9) Health and safety. – The board of trustees shall require that the lab school meet
2 the same health and safety standards required of a local school administrative
3 unit. The Department of Public Instruction shall ensure that lab schools comply
4 with G.S. 115C-375.2A. The board of trustees of a lab school shall provide the
5 school with a supply of emergency epinephrine auto-injectors necessary to
6 carry out the provisions of G.S. 115C-375.2A.
- 7 (10) School Risk Management Plan. – Each lab school, in coordination with local
8 law enforcement agencies, is encouraged to adopt a School Risk Management
9 Plan (SRMP) relating to incidents of school violence. In constructing and
10 maintaining these plans, a lab school may utilize the School Risk and Response
11 Management System (SRRMS) established pursuant to G.S. 115C-105.49A.
12 These plans are not considered a public record as the term "public record" is
13 defined under G.S. 132-1 and shall not be subject to inspection and examination
14 under G.S. 132-6.
- 15 (11) Schematic diagrams and school crisis kits. – Lab schools are encouraged to
16 provide schematic diagrams and keys to the main entrance of school facilities to
17 local law enforcement agencies, in addition to implementing the provisions in
18 G.S. 115C-105.52.
- 19 (12) School safety exercises. – At least once a year, a lab school is encouraged to
20 hold a full schoolwide lockdown exercise with local law enforcement and
21 emergency management agencies that are part of the lab school's SRMP.
- 22 (13) Safety information provided to the Department of Public Safety, Division of
23 Emergency Management. – A lab school is encouraged to provide the
24 following: (i) schematic diagrams, including digital schematic diagrams and (ii)
25 emergency response information requested by the Division for the SRMP. The
26 schematic diagrams and emergency response information are not considered
27 public records as the term "public record" is defined under G.S. 132-1 and shall
28 not be subject to inspection and examination under G.S. 132-6.
- 29 (14) North Carolina school report cards. – A lab school shall ensure that the report
30 card issued for it by the State Board of Education receives wide distribution to
31 the local press or is otherwise provided to the public. A lab school shall ensure
32 that the overall school performance score and grade earned by the lab school for
33 the current and previous four school years is prominently displayed on the
34 school Web site. If a lab school is awarded a grade of D or F, the lab school
35 shall provide notice of the grade in writing to the parent or guardian of all
36 students enrolled in that school.
- 37 (15) Policy against bullying. – A lab school is encouraged to adopt a policy against
38 bullying or harassing behavior, including cyberbullying, that is consistent with
39 the provisions of Article 29C of Chapter 115C of the General Statutes. If a lab
40 school adopts a policy to prohibit bullying and harassing behavior, the lab
41 school shall, at the beginning of each school year, provide the policy to staff,
42 students, and parents as defined in G.S. 115C-390.1(b)(8).
- 43 (16) Access for youth groups. – Lab schools are encouraged to facilitate access for
44 students to participate in activities provided by any youth group listed in Title
45 36 of the United States Code as a patriotic society, such as the Boy Scouts of
46 America, and its affiliated North Carolina groups and councils, and the Girl
47 Scouts of the United States of America, and its affiliated North Carolina groups
48 and councils. Student participation in any activities offered by these
49 organizations shall not interfere with instructional time during the school day
50 for the purposes of encouraging civic education.

51 "§ 116-239.9. Student admissions and assignment.

1 (a) Any child who is residing in a local school administrative unit in which a lab school is
2 located and is enrolled in a low-performing school, as defined by G.S. 115C-105.37 at the time of
3 the student's application, may attend the lab school.

4 (b) No local board of education shall require any student enrolled in the local school
5 administrative unit to attend a lab school.

6 (c) During each period of enrollment, the lab school shall enroll an eligible student who
7 submits a timely application, with priority enrollment given in the order in which applications are
8 received to a student who did not meet expected student growth in the prior school year based on
9 any of the following: (i) grades, (ii) observations, (iii) diagnostic and formative assessments, (iv)
10 State assessments, or (v) other factors, including reading on grade level. If the number of
11 applications from other eligible students exceeds the capacity of a program, class, grade level, or
12 building, those students shall be accepted by lot. Once enrolled, students are not required to
13 reapply in subsequent enrollment periods.

14 (d) Notwithstanding any law to the contrary, a lab school may refuse admission to any
15 student who has been expelled or suspended from a public school under G.S. 115C-390.5 through
16 G.S. 115C-390.11 until the period of suspension or expulsion has expired.

17 **"§ 116-239.10. Employees.**

18 The board of trustees shall appoint all licensed and nonlicensed staff in accordance with the
19 following:

20 (1) Principal. – The constituent institution shall employ and contract with a
21 principal for a term not to exceed three years. The principal shall meet the
22 requirements for licensure set out in G.S. 115C-284, unless waived by the State
23 Board of Education upon submission of a request by the board of trustees. The
24 principal shall be responsible for school operations and shall exercise those
25 duties and powers delegated by the board of trustees.

26 (2) Faculty members. – Faculty members may serve simultaneously as instructional
27 personnel for the lab school and the constituent institution.

28 (3) Teachers. – The constituent institution shall employ and contract with necessary
29 teachers to perform the particular service for which they are employed in the
30 school. At least fifty percent (50%) of teachers employed by the constituent
31 institution shall hold teacher licenses, unless waived by the State Board of
32 Education upon submission of a request by the board of trustees.

33 (4) Leave of absence from local school administrative unit. – If a teacher employed
34 by a local school administrative unit makes a written request for a leave of
35 absence to teach at the lab school, the local school administrative unit shall
36 grant the leave for one year. For the initial year of the lab school's operation, the
37 local school administrative unit may require that the request for a leave of
38 absence be made up to 45 days before the teacher would otherwise have to
39 report for duty. After the initial year of the lab school's operation, the local
40 school administrative unit may require that the request for a leave of absence be
41 made up to 90 days before the teacher would otherwise have to report for duty.
42 A local board of education is not required to grant a request for a leave of
43 absence or a request to extend or renew a leave of absence for a teacher who
44 previously has received a leave of absence from that local board under this
45 subdivision. A teacher who has career status under G.S. 115C-325 prior to
46 receiving a leave of absence to teach at the lab school may return to a public
47 school in the local school administrative unit with career status at the end of the
48 leave of absence or upon the end of employment at the lab school if an
49 appropriate position is available. If an appropriate position is unavailable, the
50 teacher's name shall be placed on a list of available teachers in accordance with
51 G.S. 115C-325(e)(2).

- 1 (5) Nonlicensed employees. – The constituent institution also may employ
2 necessary employees who are not required to hold teacher licenses to perform
3 duties other than teaching and may contract for other services.
4 (6) Employment dismissal. – An employee of the constituent institution is not an
5 employee of the local school administrative unit in which the lab school is
6 located. The constituent institution may discharge licensed and nonlicensed
7 employees according to the terms of the employment contract.
8 (7) Employee benefits. – Employees of the constituent institution shall participate
9 in the Teachers' and State Employees' Retirement System and the State Health
10 Plan on the same terms as other employees employed by the constituent
11 institution.
12 (8) Exemptions. – Employees of the constituent institution shall be exempt from
13 Chapter 126 of the General Statutes, except Articles 6 and 7.

14 **"§ 116-239.11. State and local funds.**

- 15 (a) The State Board of Education shall allocate to a lab school the following:
16 (1) An amount equal to the average per pupil allocation for average daily
17 membership from the local school administrative unit allotments in which the
18 school is located for each child attending the lab school, except for the
19 allocation for children with disabilities and for the allocation for children with
20 limited English proficiency.
21 (2) An additional amount for each child attending the lab school who is a child
22 with disabilities. In the event a child with disabilities leaves the lab school and
23 enrolls in a public school during the first 60 school days in the school year, the
24 lab school shall return a pro rata amount of funds allocated for that child to the
25 State Board, and the State Board shall reallocate those funds to the local school
26 administrative unit in which the public school is located. In the event a child
27 with disabilities enrolls in the lab school during the first 60 school days in the
28 school year, the State Board shall allocate to the lab school the pro rata amount
29 of additional funds for children with disabilities.
30 (3) An additional amount for children with limited English proficiency attending
31 the lab school, based on a formula adopted by the State Board.
32 (b) The State Board shall allow for annual adjustments to the amount allocated to the lab
33 school based on its enrollment growth in school years subsequent to the initial year of operation.
34 (c) Funds allocated by the State Board of Education may be used to enter into operational
35 and financing leases for real property or mobile classroom units for use as school facilities for lab
36 schools and may be used for payments on loans made to lab schools for facilities, equipment, or
37 operations. However, State funds allocated under this section shall not be used to obtain any other
38 interest in real property or mobile classroom units.
39 (d) If a student attends a lab school, the local school administrative unit in which the child
40 resides shall transfer to the lab school an amount equal to the per pupil share of the local current
41 expense fund of the local school administrative unit for the fiscal year. The per pupil share of the
42 local current expense fund shall be transferred to the lab school within 30 days of the receipt of
43 monies into the local current expense fund. The local school administrative unit and lab school
44 may use the process for mediation of differences provided in G.S. 115C-218.95(d) to resolve
45 differences on calculation and transference of the per pupil share of the local current expense fund.
46 The amount transferred under this subsection that consists of revenue derived from supplemental
47 taxes shall be transferred only to a lab school located in the tax district for which these taxes are
48 levied and in which the student resides.
49 (e) The local school administrative unit shall also provide each lab school to which it
50 transfers a per pupil share of its local current expense fund with all of the following information
51 within the 30-day time period provided in subsection (d) of this section:

- 1 (1) The total amount of monies the local school administrative unit has in each of
2 the funds listed in G.S. 115C-426(c).
3 (2) The student membership numbers used to calculate the per pupil share of the
4 local current expense fund.
5 (3) How the per pupil share of the local current expense fund was calculated.
6 (4) Any additional records requested by a lab school from the local school
7 administrative unit in order for the lab school to audit and verify the calculation
8 and transfer of the per pupil share of the local current expense fund.
9 (f) Prior to commencing an action under subsection (d) of this section, the complaining
10 party shall give the other party 15 days' written notice of the alleged violation. The court shall
11 award the prevailing party reasonable attorneys' fees and costs incurred in an action under
12 subsection (d) of this section. The court shall order any delinquent funds, costs, fees, and interest
13 to be paid in equal monthly installments and shall establish a time for payment in full that shall be
14 no later than one year from the entry of any judgment.

15 **§ 116-239.12. Criminal history record checks.**

16 (a) As used in this section:

- 17 (1) "Criminal history" means a county, state, or federal criminal history of
18 conviction of a crime, whether a misdemeanor or a felony, that indicates an
19 individual (i) poses a threat to the physical safety of students or personnel or (ii)
20 has demonstrated that he or she does not have the integrity or honesty to fulfill
21 his or her duties as school personnel. These crimes include the following North
22 Carolina crimes contained in any of the following Articles of Chapter 14 of the
23 General Statutes: Article 5A, Endangering Executive and Legislative, and Court
24 Officers; Article 6, Homicide; Article 7B, Rape and Other Sex Offenses;
25 Article 8, Assaults; Article 10, Kidnapping and Abduction; Article 13,
26 Malicious Injury or Damage by Use of Explosive or Incendiary Device or
27 Material; Article 14, Burglary and Other Housebreakings; Article 15, Arson
28 and Other Burnings; Article 16, Larceny; Article 17, Robbery; Article 18,
29 Embezzlement; Article 19, False Pretense and Cheats; Article 19A, Obtaining
30 Property or Services by False or Fraudulent Use of Credit Device or Other
31 Means; Article 20, Frauds; Article 21, Forgery; Article 26, Offenses Against
32 Public Morality and Decency; Article 26A, Adult Establishments; Article 27,
33 Prostitution; Article 28, Perjury; Article 29, Bribery; Article 31, Misconduct in
34 Public Office; Article 35, Offenses Against the Public Peace; Article 36A, Riots
35 and Civil Disorders; Article 39, Protection of Minors; and Article 60,
36 Computer-Related Crime. These crimes also include possession or sale of drugs
37 in violation of the North Carolina Controlled Substances Act, Article 5 of
38 Chapter 90 of the General Statutes, and alcohol-related offenses such as sale to
39 underage persons in violation of G.S. 18B-302 or driving while impaired in
40 violation of G.S. 20-138.1 through G.S. 20-138.5. In addition to the North
41 Carolina crimes listed in this subdivision, such crimes also include similar
42 crimes under federal law or under the laws of other states.
43 (2) "School personnel" means any of the following:
44 a. Member of the board of trustees or the advisory board.
45 b. Employee of the lab school.
46 c. Independent contractor or employee of an independent contractor of the
47 lab school if the independent contractor carries out duties customarily
48 performed by school personnel, whether paid with federal, State, local,
49 or other funds, who has significant access to students or who has
50 responsibility for the fiscal management of the lab school.

1 **(b)** The board of trustees shall adopt a policy that requires an applicant for a school
2 personnel position to be checked for a criminal history as provided in subsection (c) of this
3 section. The board of trustees shall apply its policy uniformly in requiring applicants for school
4 personnel positions to be checked for a criminal history. The board of trustees may grant
5 conditional approval of an application while the board of trustees is checking a person's criminal
6 history and making a decision based on the results of the check. An applicant for a school
7 personnel position shall not be required to be checked for a criminal history if he or she has
8 received a license within six months of employment that required a criminal history check
9 equivalent to the criminal history check required in subsection (c) of this section.

10 The board of trustees shall not require an applicant to pay for the criminal history record check
11 authorized under this section.

12 **(c)** The board of trustees shall require the person to be checked by the Department of
13 Public Safety (i) to be fingerprinted and to provide any additional information required by the
14 Department of Public Safety to a person designated by the board of trustees or to the local sheriff
15 or the municipal police, whichever is more convenient for the person and (ii) to sign a form
16 consenting to the check of the criminal record and to the use of fingerprints and other identifying
17 information required by the repositories. The board of trustees shall consider refusal to consent
18 when making employment decisions and decisions with regard to independent contractors. The
19 fingerprints of the individual shall be forwarded to the State Bureau of Investigation for a search
20 of the State criminal history record file, and the State Bureau of Investigation shall forward a set of
21 fingerprints to the Federal Bureau of Investigation for a national criminal history record check.
22 The Department of Public Safety shall provide to the board of trustees the criminal history from
23 the State and National Repositories of Criminal Histories of any school personnel for which the
24 board of trustees requires a criminal history record check.

25 The board of trustees shall not require school personnel to pay for fingerprints authorized
26 under this section.

27 **(d)** The board of trustees shall review the criminal history it receives on an individual. The
28 board of trustees shall determine whether the results of the review indicate that the individual (i)
29 poses a threat to the physical safety of students or personnel or (ii) has demonstrated that he or she
30 does not have the integrity or honesty to fulfill his or her duties as school personnel and shall use
31 the information when making employment decisions and decisions with regard to independent
32 contractors. The board of trustees shall make written findings with regard to how it used the
33 information when making employment decisions and decisions with regard to independent
34 contractors. The board of trustees may delegate any of the duties in this subsection to the principal.

35 **(e)** The board of trustees, or the principal if designated by the board of trustees, shall
36 provide to the State Board of Education the criminal history it receives on a person who is
37 certificated, certified, or licensed by the State Board of Education. The State Board of Education
38 shall review the criminal history and determine whether the person's certificate or license should
39 be revoked in accordance with State laws and rules regarding revocation.

40 **(f)** All the information received by the board of trustees through the checking of the
41 criminal history or by the State Board of Education in accordance with this section is privileged
42 information and is not a public record but is for the exclusive use of the board of trustees or the
43 State Board of Education. The board of trustees or the State Board of Education may destroy the
44 information after it is used for the purposes authorized by this section after one calendar year.

45 **(g)** There shall be no liability for negligence on the part of the board of trustees, or its
46 employees, or the State Board of Education, or its employees, arising from any act taken or
47 omission by any of them in carrying out the provisions of this section. The immunity established
48 by this subsection shall not extend to gross negligence, wanton conduct, or intentional wrongdoing
49 that would otherwise be actionable. The immunity established by this subsection shall be deemed
50 to have been waived to the extent of indemnification by insurance, indemnification under Articles
51 31A and 31B of Chapter 143 of the General Statutes, and to the extent sovereign immunity is

1 waived under the Tort Claims Act, as set forth in Article 31 of Chapter 143 of the General
2 Statutes.

3 (h) Any applicant for employment who willfully furnishes, supplies, or otherwise gives
4 false information on an employment application that is the basis for a criminal history record
5 check under this section shall be guilty of a Class A1 misdemeanor.

6 **"§ 116-239.13. Review of lab schools.**

7 The Board of Governors of The University of North Carolina, in conjunction with the
8 constituent institutions operating lab schools and the State Board of Education, shall review and
9 evaluate the educational effectiveness of the lab schools authorized under this Article for both
10 public school students and students enrolled in educator preparation programs. The Board of
11 Governors shall report by November 15 of each year to the Joint Legislative Education Oversight
12 Committee on the following:

- 13 (1) Information on public school student enrollment in each lab school, including
14 student demographics.
- 15 (2) The public school student admissions process and the number of students
16 enrolled under the priority admissions category at each lab school.
- 17 (3) Public school student achievement data, including school performance grades
18 and student achievement scores and student growth, at each lab school.
- 19 (4) Public school student academic progress in each lab school as measured against
20 the previous school year and against other schools located in the local school
21 administrative unit and statewide.
- 22 (5) Information on the student outcomes for students who are enrolled in each
23 educator preparation program who obtained clinical experience in school
24 leadership and teaching in the lab schools, including the performance elements
25 reported under G.S. 115C-296.13(b).
- 26 (6) Best practices resulting from lab school operations.
- 27 (7) Other information the Board considers appropriate."

28 **SECTION 11.6.(b)** G.S. 14-458.2(a) reads as rewritten:

29 "(a) The following definitions apply in this section:

- 30 (1) School employee. – The term means any of the following:
 - 31 a. An employee of a local board of education, a charter school authorized
32 under G.S. 115C-218.5, a regional school created under
33 G.S. 115C-238.62, a lab school created under G.S. 116-239.7, or a
34 nonpublic school which has filed intent to operate under Part 1 or Part 2
35 of Article 39 of Chapter 115C of the General Statutes.
 - 36 b. An independent contractor or an employee of an independent contractor
37 of a local board of education, a charter school authorized under
38 G.S. 115C-218.5, a regional school created under G.S. 115C-238.62, a
39 lab school created under G.S. 116-239.7, or a nonpublic school which
40 has filed intent to operate under Part 1 or Part 2 of Article 39 of Chapter
41 115C of the General Statutes, if the independent contractor carries out
42 duties customarily performed by employees of the school.
- 43 (2) Student. – A person who has been assigned to a school by a local board of
44 education as provided in G.S. 115C-366 or has enrolled in a charter school
45 authorized under G.S. 115C-218.5, a regional school created under
46 G.S. 115C-238.62, a lab school created under G.S. 116-239.7, or a nonpublic
47 school which has filed intent to operate under Part 1 or Part 2 of Article 39 of
48 Chapter 115C of the General Statutes, or a person who has been suspended or
49 expelled from any of those schools within the last year."

50 **SECTION 11.6.(c)** G.S. 115C-83.15 reads as rewritten:

51 **"§ 115C-83.15. School achievement, growth, performance scores, and grades.**

- 1 ...
- 2 (b) Calculation of the School Achievement Score. – In calculating the overall school
3 achievement score earned by schools, the State Board of Education shall total the sum of points
4 earned by a school on all of the following indicators that are measured for that school:
- 5 (1) One point for each percent of students who score at or above proficient on
6 annual assessments for mathematics in grades three through eight.
 - 7 (2) One point for each percent of students who score at or above proficient on
8 annual assessments for reading in grades three through eight.
 - 9 (3) One point for each percent of students who score at or above proficient on
10 annual assessments for science in grades five and eight.
 - 11 (4) One point for each percent of students who score at or above proficient on the
12 Algebra I or Integrated Math I end-of-course test.
 - 13 (5) One point for each percent of students who score at or above proficient on the
14 English II end-of-course test.
 - 15 (6) One point for each percent of students who score at or above proficient on the
16 Biology end-of-course test.
 - 17 (7) One point for each percent of students who complete Algebra II or Integrated
18 Math III with a passing grade.
 - 19 (8) One point for each percent of students who achieve the minimum score
20 required for admission into a constituent institution of The University of North
21 Carolina on a nationally normed test of college readiness.
 - 22 (9) One point for each percent of students enrolled in Career and Technical
23 Education courses who meet the standard when scoring at Silver, Gold, or
24 Platinum levels on a nationally normed test of workplace readiness.
 - 25 (10) One point for each percent of students who graduate within four years of
26 entering high school.

27 In calculating the overall school achievement score earned by schools, the State Board of
28 Education shall (i) use a composite approach to weigh the achievement elements based on the
29 number of students measured by any given achievement element and (ii) proportionally adjust the
30 scale to account for the absence of a school achievement element for award of scores to a school
31 that does not have a measure of one of the school achievement elements annually assessed for the
32 grades taught at that school. The overall school achievement score shall be translated to a
33 100-point scale and used for school reporting purposes as provided in G.S. 115C-12(9)c1.,
34 115C-218.65, ~~and 115C-238.66.~~ 115C-238.66, and 116-239.8.

35 (c) Calculation of the School Growth Score. – Using EVAAS, the State Board shall
36 calculate the overall growth score earned by schools. In calculating the total growth score earned
37 by schools, the State Board of Education shall weight student growth on the achievement
38 indicators as provided in subsection (b) of this section that have available growth values. The
39 numerical values used to determine whether a school has met, exceeded, or has not met expected
40 growth shall be translated to a 100-point scale and used for school reporting purposes as provided
41 in G.S. 115C-12(9)c1., 115C-218.65, ~~and 115C-238.66.~~ 115C-238.66, and 116-239.8.

42 (d) Calculation of the School Performance Scores and Grades. – The State Board of
43 Education shall use EVAAS to calculate the school performance score by adding the school
44 achievement score, as provided in subsection (b) of this section, and the school growth score, as
45 provided in subsection (c) of this section, earned by a school. The school achievement score shall
46 account for eighty percent (80%), and the school growth score shall account for twenty percent
47 (20%) of the total sum. If a school has met expected growth and inclusion of the school's growth
48 score reduces the school's performance score and grade, a school may choose to use the school
49 achievement score solely to calculate the performance score and grade. For all schools, the total
50 school performance score shall be converted to a 100-point scale and used to determine a school
51 performance grade based on the following scale:

- 1 (1) A school performance score of at least 90 is equivalent to an overall school
2 performance grade of A.
3 (2) A school performance score of at least 80 is equivalent to an overall school
4 performance grade of B.
5 (3) A school performance score of at least 70 is equivalent to an overall school
6 performance grade of C.
7 (4) A school performance score of at least 60 is equivalent to an overall school
8 performance grade of D.
9 (5) A school performance score of less than 60 points is equivalent to an overall
10 school performance grade of F.

11 (e) Elementary and Middle School Reading and Math Achievement Scores. – For schools
12 serving students in kindergarten through eighth grade, the school achievement scores in reading
13 and mathematics, respectively, shall be reported separately on the annual school report card
14 provided under G.S. 115C-12(9)c1., 115C-218.65, ~~and 115C-238.66.~~ 115C-238.66, and 116-239.8.

15 (f) Indication of Growth. – In addition to awarding the overall school scores for
16 achievement, growth, and performance and the performance grade, using EVAAS, the State Board
17 shall designate that a school has met, exceeded, or has not met expected growth. The designation
18 of student growth shall be clearly displayed in the annual school report card provided under
19 G.S. 115C-12(9)c1., 115C-218.65, ~~and 115C-238.66.~~ 115C-238.66, and 116-239.8."

20 **SECTION 11.6.(d)** Notwithstanding G.S. 116-239.5, four lab schools shall be
21 established pursuant to Article 29A of Chapter 116 of the General Statutes, as enacted by this
22 section, to begin operation in the 2017-2018 school year. Four additional lab schools shall be
23 established to begin operation in the 2018-2019 school year.

24 **SECTION 11.6.(e)** Notwithstanding G.S. 116-239.7(a), as enacted by this section, by
25 November 1, 2016, the Board of Governors of The University of North Carolina shall submit the
26 plan for the location of the eight lab schools, including identifying the constituents institutions that
27 will be operating the lab schools, to the Joint Legislative Commission on Governmental
28 Operations in accordance with G.S. 116-239.7(a).

29 Notwithstanding Article 29A of Chapter 116 of the General Statutes, as enacted by this
30 section, no earlier than April 1, 2017, a constituent institution of The University of North Carolina
31 with an educator preparation program that has been designated by the Board of Governors to
32 establish a lab school shall adopt a resolution to create the lab school under G.S. 116-239.7 and in
33 accordance with subsection (d) of this section.

34 **SECTION 11.6.(f)** The nonrecurring funds in the amount of one million dollars
35 (\$1,000,000) appropriated by this act to the Board of Governors for the UNC Teacher and
36 Principal Preparation Laboratory School Program shall be allocated to The University of North
37 Carolina General Administration to provide administrative and technical assistance to constituent
38 institutions with educator preparation programs to support the establishment of lab schools in
39 accordance with this section.

40 **SECTION 11.6.(g)** By November 15, 2017, the Board of Governors shall submit a
41 report to the Joint Legislative Education Oversight Committee on the progress of establishing the
42 lab schools, including information on student enrollment numbers and the admissions process and
43 any other information the Board deems relevant. By November 15, 2018, the Board of Governors
44 shall submit the initial report required by G.S. 116-239.13 to the Joint Legislative Education
45 Oversight Committee.

46
47 **REPEAL LIMIT ON USE OF STATE FUNDS FOR UNC ADVANCEMENT ACTIVITY**

48 **SECTION 11.7.** Section 11.6 of S.L. 2015-241 is repealed.

49
50 **ESTABLISH NORTH CAROLINA POLICY COLLABORATORY AT THE UNIVERSITY**
51 **OF NORTH CAROLINA AT CHAPEL HILL**

1 **SECTION 11.8.** The one million dollars (\$1,000,000) in recurring funds appropriated
2 in this act to the Board of Governors of The University of North Carolina for the 2016-2017 fiscal
3 year to establish and operate a North Carolina Policy Collaboratory at the University of North
4 Carolina at Chapel Hill shall be used to establish a Collaboratory that facilitates the dissemination
5 of the policy and research expertise of The University of North Carolina for practical use by State
6 and local government. The Collaboratory, at a minimum, shall conduct research on natural
7 resources management, including, but not limited to, research related to the environmental and
8 economic components of the management of the natural resources within the State of North
9 Carolina and of new technologies for habitat, environmental, and water quality improvement. The
10 Collaboratory shall develop and disseminate relevant best practices to interested parties, may lead
11 or participate in projects across the State related to natural resource management, and may make
12 recommendations to the General Assembly from time to time.

13
14 **REIMBURSE FINE ASSESSED AGAINST UNC-CHAPEL HILL FOR EXCEEDING**
15 **OUT-OF-STATE STUDENT ADMISSION LIMIT**

16 **SECTION 11.9.** Of the funds appropriated by this act to the Board of Governors of
17 The University of North Carolina for the 2016-2017 fiscal year, the sum of five hundred thousand
18 dollars (\$500,000) shall be allocated to the University of North Carolina at Chapel Hill as a
19 reimbursement for the fine assessed against the University of North Carolina at Chapel Hill for
20 exceeding the eighteen percent (18%) limit on the admission of out-of-state students in the
21 entering freshman class for the 2015-2016 academic year.

22
23 **SUBPART XI-A. UNIVERSITY/STATE EDUCATION ASSISTANCE AUTHORITY**

24
25 **MODIFICATIONS TO THE SPECIAL EDUCATION SCHOLARSHIP GRANT**
26 **PROGRAM FOR CHILDREN WITH DISABILITIES**

27 **SECTION 11A.2.(a)** G.S. 115C-112.5(2) reads as rewritten:

28 "(2) Eligible student. – A child under the age of 22 who resides in North Carolina
29 and meets all of the following criteria:

- 30 a. Is a child with a disability.
31 b. Is eligible to attend a North Carolina public school pursuant to
32 G.S. 115C-366.
33 c. Has not been placed in a nonpublic school or facility by a public agency
34 at public expense.
35 d. Has not been enrolled in a postsecondary institution as a full-time
36 student taking at least 12 hours of academic credit.
37 e. Has not received a high school diploma.
38 f. Meets at least one of the following requirements:
39 1. Was enrolled in a North Carolina public school or a Department
40 of Defense Elementary and Secondary School, established
41 pursuant to 10 U.S.C. § 2164 and located in North Carolina,
42 during the previous semester.
43 2. Received special education or related services through the North
44 Carolina public schools as a preschool child with a disability
45 during the previous semester.
46 3. Was approved for a scholarship for the previous semester.
47 4. Is a child who is identified as a child with a disability prior to the
48 end of the year of initial enrollment in kindergarten or first
49 grade. An award by the Authority based on eligibility under this
50 sub-sub-subdivision shall be conditional. If documentation is not
51 provided to the Authority that the child is a child with a

UNC TEACHER AND PRINCIPAL PREPARATION PROGRAM LAB SCHOOL FOR K-8 STUDENTS, SECTION 11.6. (a)

Chapter 116 of the General Statutes is amended by adding a new 30 Article to read:

Article 29A

University of North Carolina Laboratory Schools

§ 116-239.5. University of North Carolina laboratory schools; Purpose.

Overall (Board of Governors):

- Board of Governors shall select eight constituent institutions to establish eight laboratory schools with quality educator preparation programs as demonstrated by the annual performance measures reported by the constituent institutions in accordance with G.S. 115C-296.13
- Board shall include a geographically diverse distribution of the lab schools throughout the State and a maximum of one lab school located in a qualifying local school administrative unit
- 90 days prior to implementation, the Board of Governors shall submit the plan and any revisions to the plan to the Joint Legislative Commission on Governmental Operations.

Mission:

- Improve student performance in local school administrative units with low-performing schools by providing an enhanced education program for students residing in those units
- Provide exposure and training for teachers and principals to successfully address challenges existing in high-needs school settings

Activities:

- Provide an opportunity for research, demonstration, student support, and expansion of the teaching experience and evaluation regarding management, teaching, and learning
- Expand student opportunities for educational success through high-quality instructional programming and innovative instruction and research by using the resources available to the constituent institution
- Incorporate best practices gained from state initiatives focused on leadership development for both teachers and principals in low-performing schools and local school administrative units

Features:

- Unless specified, exempt from statutes and rules applicable to a local board of education or local school administrative unit
- Located in a local school administrative unit that has twenty five percent (25%) or more of the schools located in the unit identified as low-performing under G.S. 115C-105.37 and serves students in K-8

Requirements (Board of Trustees):

- Once identified, the Board of Trustees shall identify the name, qualifying LEA, term of operation of 5 years, adopt a resolution recognizing the school, identify a plan for dissolution or assumption of a school if necessary, and appoint an advisory board to provide oversight of the school
- Appoint employees
- Establish standard course of study, texts, and materials
- Establish policies and standards for academic performance, attendance, and conduct
- Conduct student assessments
- Adopt calendar
- Provide food service and transportation
- Comply with SBE reporting requirements and provide required data
- Comply with all laws and policies related to children with disabilities
- Comply with health and safety standards
- Submit School Risk Management Plan
- Distribute School Report Card

Advisory Board:

- Composition: Dean, 4 faculty members (at least 2 from educator prep programs), one member of public from LEA, 2 parents/guardians, 1 student
- Monitor operations, recommend policies and programs, evaluate principal, and review evaluation

Student Enrollment:

- Any child who is residing in a local school administrative unit in which a lab school is located and is enrolled in a low-performing school, as defined by G.S. 115C-105.37 at the time of the student's application, may attend the lab school. Students may not be required to enroll.
- During each period of enrollment, the lab school shall enroll an eligible student who submits a timely application, with priority enrollment given in the order in which applications are received to a student who did not meet expected student growth in the prior school year based on any of the following: (i) grades, (ii) observations, (iii) diagnostic and formative assessments, (iv) State assessments, or (v) other factors, including reading on grade level.
- If the number of applications from other eligible students exceeds the capacity of a program, class, grade level, or building, those students shall be accepted by lot. Once enrolled, students are not required to reapply in subsequent enrollment periods.
- A lab school may refuse admission to any student who has been expelled or suspended from a public school until the period of suspension or expulsion has expired.

Employees:

- Employ and contract with a principal for a term not to exceed three years
- Faculty members may serve simultaneously as instructional personnel for the lab school and the constituent institution.

- At least fifty percent (50%) of teachers employed by the constituent institution shall hold teacher licenses, unless waived by the State Board of Education upon submission of a request by the board of trustees. If a teacher employed by a local school administrative unit makes a written request for a leave of absence to teach at the lab school, the local school administrative unit shall grant the leave for one year.
- All employees are subject to criminal background checks

Funding:

The State Board of Education shall allocate to a lab school the following:

- Average per pupil allocation for average daily membership from the local school administrative unit allotments in which the school is located for each child attending the lab school, except for the allocation for children with disabilities and for the allocation for children with limited English proficiency
- Amount for each child attending the lab school who is a child with disabilities
- Amount for children with limited English proficiency attending the lab school, based on a formula adopted by the State Board.
- Allow for annual adjustments to the amount allocated to the lab school based on its enrollment growth in school years subsequent to the initial year of operation
- Funds allocated by the State Board of Education may be used to enter into operational and financing leases for real property or mobile classroom units for use as school facilities for lab schools and may be used for payments on loans made to lab schools for facilities, equipment, or operations. However, State funds allocated under this section shall not be used to obtain any other interest in real property or mobile classroom units.

Evaluation and Reporting:

The Board of Governors of The University of North Carolina, in conjunction with the constituent institutions operating lab schools and the State Board of Education, shall review and evaluate the educational effectiveness of the lab schools. The Board of Governors shall report by November 15 of each year to the Joint Legislative Education Oversight Committee on:

- Public school student enrollment in each lab school, including student demographics
- Public school student admissions process and the number of students enrolled under the priority admissions category at each lab school
- Student achievement data, including school performance grades and student achievement scores and student growth, at each lab school
- Student academic progress in each lab school as measured against the previous school year and against other schools located in the local school administrative unit and statewide
- Student outcomes for students who are enrolled in each educator preparation program who obtained clinical experience in school leadership and teaching in the lab schools, including the performance elements reported under G.S.115c-296.13(b)
- Best practices resulting from lab school operations
- Other information the Board considers appropriate

East Carolina University / Pitt County Schools Lab School Partnership Proposal

The purpose of this document is to provide an overview of the proposed lab school partnership. The overview will consist of general information related to initial steps taken by East Carolina University and Pitt County Public Schools (PCS) along with the anticipated outcomes and conceptual framework of the 5 P's (place, program, process, people, and policies) of school culture.

Initial Steps:

- ECU's College of Education (COE) has initiated a Lab School Steering Committee to oversee development and implementation activities related to the Lab School.
- ECU COE and PCS have met several times to agree upon the proposed potential lab school concept and partnership.
- An Interdisciplinary Curriculum Task Force has been formed and is in the process of developing an integrated curricular scope and sequence along with a research framework related to the lab school.
- ECU administrators will meet on September 1st to discuss the legal, financial and communication components.
- Pitt County Public School Board of Education EPC/HR Committee will meet September 19th to discuss the potential and possibility of the creation of a lab school.
- Pitt County Public School Board of Education will meet in October to publicly discuss the creation of a lab school.
- The lab school concept and update will be presented to the East Carolina University Board of Trustees on September 29th.
- East Carolina University request technical assistance from UNC- General Administration related to the next steps in the process.

Outcomes:

- Improve student performance of identified population within a low-performing school by providing an enhanced education program for students residing in the selected unit
- Provide exposure and training for teachers and principals to successfully address challenges existing in high-needs school setting (LEA and IHE)
- Develop a demonstration site that contributes to the broader knowledge of quality teaching, leadership, and partnerships between an LEA and IHE

Place:

- TBD

Program:

- Math and Reading Literacy focus embedded within a college preparation school theme.

Process

- **Year One (2017-2018):** ECU will establish a single classroom per grade at the 2nd, 3rd, and 4th grade.
- **Year Two (2018-2019):** ECU will add one single classroom per grade at the K, 1st, 2nd, and 5th level to the above-mentioned configuration (2nd, 3rd, and 4th grade). Additionally, a Pre-K class will be added.
- **Year Three – Five (2019- 2022):** ECU will maintain a Grade K-5 single classroom per grade classroom configuration. Additionally, the Pre-K class will be maintained.
- The identified Pitt County Elementary School will maintain a minimum of one classroom per grade level.

People**Administration**

- ECU will appoint an Administrative Director of the Lab School.
- Department of LEED will identify a Principal Coach to work with both lab school and site-based school administration.
- ECU MSA students will participate in parallel activities between lab school and LEA site-based school.

Teacher Identification

- **Option One:** ECU will work with Pitt County Schools to identify two teachers to take a one-year leave of absence to be employed with the lab school. Teachers would then return to permanent school as “Leveraged Practice Master Teachers.”
- **Option Two:** ECU will identify two recent graduates from within the College of Education or surrounding LEA’s to teach within the lab school.
- Both options may include graduate school tuition waivers or tuition stipends to be used for ECU graduate courses in the College of Education.

Student Identification

- ECU will work with Pitt County Schools to identify low achieving students as outlined in Lab School legislation (Achievement Levels 1 and/or 2)
- The lab school will have the same teacher: student ratio as the identified Pitt County School.
- Once identified, ECU Lab School students may remain in lab school until middle school.

Additional Supports

- ECU will develop a research based strategic framework to ensure additional teacher education programs work within the context of proposed outcomes. These programs could range from Art Education, Music Education to Theater Education.
- The ECU Office of Educator Preparation will coordinate field experiences, practica and internships in partnership with Pitt County Schools.
- As part of the strategic plan, ECU will work with identified school to develop a framework to increase student achievement, community involvement, parental support, and communication.
- ECU COE will begin the process of discussion with the ECU Medical and Dental Schools about the possibility of providing health and dental services.

Policies

- ECU will work with Pitt County Schools to ensure all ECU Lab School Policies and Procedures are consistent with LEA policies.
- ECU will work with Pitt County Schools to ensure all NC Legislative Lab School requirements have been incorporated into the partnership (example: food services, transportation etc.).

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Gerry Prokopowicz
Agenda Item	II. B.
Item Description	Heritage Hall Update and Demo
Comments	
Action Requested	Information
Disposition	
Notes	

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	John Fletcher
Agenda Item	II. C.
Item Description	Intercollegiate Athletics Report
Comments	
Action Requested	Information
Disposition	
Notes	

Introduction

The annual UNC Intercollegiate Athletics Report to the Board of Governors requires disclosure of the academic characteristics and performance of the UNC system's student-athletes and institutional athletics departments. You may download a copy of the memo sent to each UNC Chancellor here: [Intercollegiate Athletics Report 2016: memo to chancellors](#).

The deadline for completing this survey is October 28, 2016.

Survey Instructions

1. You are receiving this survey invitation because you have been designated as the institutional contact for this data collection.
 - You may forward the email invitation you received to anyone at your institution who is authorized to enter data.
 - This will allow for multiple users to access the survey and enter data.
 - **Only ONE user can access and enter data at a time.**
2. **You may enter and exit the survey at any time, but in order for data to be saved on any screen, you MUST hit the arrow to go to the next screen--this records your answers.**
 - **Only ONE user can access and enter data at a time. If multiple survey windows are open simultaneously, the survey will not be able to combine responses and your institutional answers will not be automatically combined.**
3. For fields where you have no data to enter, please enter "NA" or "0" where appropriate (instead of leaving them blank).
4. Refer to each question for instructions on the time frame for the data to be submitted.
 - Please note that the financial information mentioned in the memo to all chancellors--and collected internally by UNC-GA--will show the most recent data available (2014-15).
5. There will be a number of questions requesting files to be uploaded. When uploading files in the survey:
 - Please select "Click here to upload" and browse your computer for the file you wish to upload. You may also drag and drop the file in the space provided.
 - Once you select the file, you will see the name of the file--this means your file has been uploaded successfully.
 - If you wish to replace any file that you have uploaded, follow the uploading procedure described above and the new file will replace the previous one.
6. There are some items that may or may not appear, based on your answers to different questions (survey skip logic). Please refer to the survey outline for all the questions. The questions that appear are based on the answers provided.

You may download a blank copy of the survey to facilitate data entry without navigating through the online form here: [UNC Intercollegiate Athletics 2015-16 survey outline](#).

Completing the Survey

1. Upon completing your data entry, you will be able to receive a summary of your responses after clicking the "SUMMARY" button in section "16. Conclusion".
2. Upon clicking the "SUMMARY" button, you will receive a summary of your responses. This may be used to share with your chancellor and other institutional officials.
 - **At this point, the survey HAS NOT been submitted to UNC-GA.**
3. After your data is reviewed and approved by your chancellor, please indicate that your chancellor approves your data submission in Section 15 by selecting "yes".
 - This process replaces the Chancellor's Memo used in years past.
4. To officially submit your institution's data entries, click the "SUBMIT" button at the bottom of the summary page.

If any questions arise during the survey process, please contact:

Eric Fotheringham
Senior Data & Analytics Associate
UNC General Administration
919.843.6967
emfotheringham@northcarolina.edu

1. Contact Information

1.1 Please enter the primary point of contact for the data provided.

Name	John T. Fletcher
Working Title	Associate Provost for Enrollment Services
Email Address	fletcherjo@ecu.edu
Telephone	(252) 328-5817

2. Undergraduate Student-Athlete Admission Policy

2.1. Per [UNC Policy 1100.1](#) (section 13.b), all UNC institutions annually report to the UNC Board of Governors regarding their intercollegiate athletics programs and shall include information regarding their "admission policy for student-athletes, including the definitions utilized for exceptions to campus-based criteria."

- In the spaces below, please paste the URL that specifically points to your institutional policy (2.2) **OR** upload a file (2.3) with the policy language regarding this item.
-

2.2. Student-Athletes Admission Policy URL

- If providing a URL, please include the URL that points directly to your institution's admission policy below.
-

2.3. Student-Athletes Admission Policy Document(s)

- If uploading a file, please provide only the section that discusses your institution's admission policy for student-athletes.
 - *Please name the uploaded file in the following manner: XXXX_Admission_Policy where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).

ECU_Admissions_Policy_2016.docx
103.6KB

application/vnd.openxmlformats-officedocument.wordprocessingml.document

2.4. Please use the space below if you wish to include any explanations about the policy above and your submission.

3. Enrolled Freshmen, Recruited Freshmen Student-Athletes, and UNC Minimum Course Requirements (MCRs)

3.1. Please enter Fall 2015 and Spring 2016 unduplicated enrollment totals for ***all first-time***

freshmen and all recruited freshmen student-athletes (RFSAs).

- The numbers reported here are to be **unduplicated** headcounts for all first-time freshmen and all RFSAs.
- Minimum Course Requirement (MCR) Exceptions are identified by using either the Student Data File (SDF) or the Student Data Mart (SDM).
 - In the SDF, MCR exceptions were previously identified using the categories 07, 09, 11, and 12 in item 087. Now the submission merely asks for a "Y" or "N" for whether or not they received an exception.
 - In the SDM, MCR exceptions are found using the field/variable name MIN_COURSE_REQ_CAT_CODE.
 - For students who have not met MCRs, this field would return an "N" for no (and thus received an exception and should be identified as such).

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	Institutional Total
Total number of enrolled first-time freshmen	4,323
Total number of enrolled first-time freshmen receiving MCR exceptions	18
Total number of enrolled recruited freshmen student-athletes	91
Total number of enrolled recruited freshmen student-athletes receiving MCR exceptions	2

4. Student-Athletes, Minimum Admission Requirements (MARs), and Minimum Course Requirements (MCRs)

4.1. Please enter enrollment totals by NCAA sport for **all recruited freshmen student-athletes (RFSAs)** in Fall 2015 and Spring 2016 and the number of **recruited freshmen student-athletes (RFSAs)** below one or more of the Minimum Admission Requirements (MARs) or Minimum Course Requirements (MCRs).

For the policy on MARs and MCRs, see [UNC Policy 700.1.1](#) and [Regulation 700.1.1.1\[R\]](#).

- If there is no data to report, please enter "0."
- **For SAT/ACT, only report on the standardized test score used in the admission decision.**
- If an RFSAs was recruited for more than one sport and fell below one or more of the MARs (GPA and or SAT/ACT), please report them for all sports for which they were recruited (**providing duplicate counts**). This will provide accurate information by sport for all RFSAs.
 - If you wish to make note of duplicate RFSAs in your data entry, please do so below in the space provided.

- The final column is **NOT** a total column. In the final column, enter the number of enrolled RFSAs below more than one of the requirements (MARs and/or MCRs).

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	# of RFSAs by sport	# of RFSAs below minimum <u>HS GPA only (2.5)</u>	# of RFSAs below minimum <u>SAT or ACT only (800 or 17)</u>	# of RFSAs receiving an <u>MCR exception</u> only	# of RFSAs below <u>more than one</u> minimum (MARs and/or MCRs)
Bowling	0	0	0	0	0
Rowing	0	0	0	0	0
Softball	4	0	0	0	0
Women's basketball	1	0	0	0	0
Women's cross-country	0	0	0	0	0
Women's golf	1	0	0	0	0
Women's gymnastics	0	0	0	0	0
Women's ice hockey	0	0	0	0	0
Women's indoor track and field	0	0	0	0	0
Women's lacrosse	0	0	0	0	0
Women's outdoor track and field	18	0	1	0	0
Women's rifle	0	0	0	0	0
Women's skiing	0	0	0	0	0
Women's soccer	9	0	0	0	0
Women's swimming and diving	Redacted	●	●	●	●
Women's tennis	2	0	0	0	0
Women's volleyball	2	0	0	0	0
Women's water polo	0	0	0	0	0
Baseball	13	0	0	0	0
Fencing	0	0	0	0	0

Field hockey	0	0	0	0	0
Football	12	1	2	1	0
Men's basketball	Redacted	●	●	●	●
Men's cross-country	0	0	0	0	0
Men's golf	0	0	0	0	0
Men's gymnastics	0	0	0	0	0
Men's ice hockey	0	0	0	0	0
Men's indoor track and field	0	0	0	0	0
Men's lacrosse	0	0	0	0	0
Men's outdoor track and field	8	0	0	0	0
Men's rifle	0	0	0	0	0
Men's skiing	0	0	0	0	0
Men's soccer	0	0	0	0	0
Men's swimming and diving	9	0	0	0	0
Men's tennis	6	0	0	0	0
Men's volleyball	0	0	0	0	0
Men's water polo	0	0	0	0	0
Wrestling	0	0	0	0	0
Total					

4.2. Please use the space below if you wish to include any explanations about institutional data entered above (including any RFSAs listed in more than one sport above).

5. Undergraduate Student-Athlete Academic Profile - Revenue Sports

5.1. Please enter the following academic information for ***recruited freshmen student-athletes (RFSAs)*** in revenue sports at your institution.

- Enter the number of RFSAs in these three sports (same number as entered in the previous section), along with the average HS NCAA Core Course GPA & average admission test scores.
 - Enter the SAT or ACT composite scores separately.
 - **Use the composite ACT score** (highest score possible is 36).
 - **Only report on the standardized test score used in the admission decision.**
- Please enter duplicate RFSAs information if students participate in more than one revenue sport.
- Enter "NA" in a cell if there were no **RFSAs** in the sport or if there are no GPA or test scores to report.

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	Total Number of RFSAs by sport	Average HS NCAA Core Course GPA	Average SAT score	Average ACT score
Men's Football	12	2.88	942	18
Men's Basketball	Redacted			
Women's Basketball	Redacted			

5.2. Please use the space below if you wish to include any explanations about institutional data entered above (including any RFSAs listed in more than one sport above).

6. Graduate Student-Athlete Admission Policy

6.1. Per UNC Policy 1100.1, each institution shall include in their annual report an "admission policy for student-athletes".

Does your institution have a specific policy regarding admission of graduate student-athletes?

- If YES, please select this option and provide the URL below (6.2) **OR** upload a file (6.3) with the policy language included.
- If NO, please select this option and move to the next question.
- If OTHER, please select this option and provide further details in the space that appears.

- Yes (please provide the URL or upload a PDF of the policy below)
- No, graduate student-athletes follow the same admission policies as all graduate students
- Other (please explain in the space below)
-

6.2. Graduate Student-Athlete Admission Policy URL

- If providing a URL, please ensure that the link points directly to the section on admission for graduate student-athletes.
-

6.3. Graduate Student-Athlete Admission Policy Document(s)

- If uploading a PDF with your institution's policy on Graduate Student-Athlete admission, please only include the sections pertaining to graduate student-athletes.
 - *Please name the uploaded file in the following manner: XXXX_Grad_Admission where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).
-

7. Graduate Student-Athlete Exceptions

7.1. Per [UNC Policy 1100.1](#) each institution shall include in their annual report an "admission policy for student-athletes, including the definitions utilized for exceptions to campus-based criteria".

Does your institution allow for exceptions to the regular admission policy for graduate students?

- If YES, please select this option and provide the URL below (7.2) **OR** upload a file (7.3) with the policy language, including definitions used to allow for exceptions.
- If NO, please select this option and move to the next question.

- Yes
- No
-

7.2. Graduate Student-Athlete Exceptions Policy URL

- If providing a URL, please ensure that the link points directly to the section on admission exceptions for graduate student-athletes.
-

7.3. Graduate Student-Athlete Exceptions Policy URL Document(s)

- If uploading a PDF with your institution's policy on admission exceptions for graduate student-athletes, please only include the sections pertaining to graduate student-athletes.
 - *Please name the uploaded file in the following manner: XXXX_Grad_Exceptions where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).
-

8. Graduate Student-Athlete Enrollment

8.1. Did your institution have any graduate student-athletes participate in intercollegiate athletics during Fall 2015 or Spring 2016?

Yes

No

10. Majors of All Student-Athletes

10.1. Please enter the following in the space below:

1. The number of majors for all recruited student-athletes who are enrolled and have achieved at least junior academic standing as of Fall 2015
2. If appropriate, the number of graduate students in their declared graduate programs of study as of Fall 2015.

If any recruited student-athletes are double majors or are enrolled in dual graduate programs of study, please report both majors or programs.

- Do not leave any cells blank. If there are no declared majors for a particular discipline, please enter "0" in the cell.

	Declared Majors (Undergraduates)	Declared Programs (Graduates)
01 - agriculture, agriculture operations, & related sciences	0	0
03 - natural resources & conservation	0	0
04 - architecture & related services	0	0
05 - area, ethnic, cultural, gender, & group studies	0	0
09 - communication, journalism, & related programs	51	0
11 - computer and information sciences & support services	1	0
13 - education	6	0
14 - engineering	2	0
15 - engineering technologies & engineering-related fields	2	0
16 - foreign languages, literatures, & linguistics	0	0
19 - family and consumer sciences / human sciences	7	0
23 - English language and literature / letters	0	0
24 - liberal arts and sciences, general studies, & humanities	9	0
26 - biological & biomedical sciences	14	0
27 - mathematics and statistics	0	0
30 - multi/interdisciplinary studies	1	0
31 - parks, recreation, leisure, & fitness studies	18	1
38 - philosophy & religious studies	0	0
40 - physical sciences	3	0
41 - science technologies / technicians	0	0
42 - psychology	7	0
43 - homeland security, law enforcement, firefighting, & related protective services	19	0
44 - public administration & social service professions	3	0
45 - social sciences	7	0
49 - transportation & materials moving	0	0
50 - visual & performing arts	1	0
51 - health professions & related programs	10	0

52 - business, management, marketing, & related support services	36	0
54 - history	0	0
XX - undecided	0	1
Total		

10.2. Please use the space below if you wish to include any explanations about institutional data entered above (including any student-athlete listed in more than one major above).

1) Two student-athletes had more than one major. The following shows the multiple majors of those students: Student-athlete #1 BS - Multidisciplinary Studies, BA-Psychology and BA-Physics. Student-athlete #2 BS-Biology and BA-Chemistry.

2) One graduate student-athlete, listed as undecided, was enrolled as a non-degree seeking graduate student for Fall 2015.

3) Of the three graduate student-athletes reported in 8.3, only two were classified as graduate students Fall 2015, and thus only two were reported in the graduate major

11. Graduation/Academic Success Rate Reports

11.1. Please upload your institution's most recent (2006-2009 cohorts) Graduation Success Rate or Academic Success Rate report.

This will not be made public by UNC-GA until the NCAA publishes the information in the fall of 2016.

- Please name the uploaded file in the following manner: XXXX_GSR or XXXX_ASR where XXXX=your institutional abbreviation.

ECU_GSR_2016.pdf
8.4KB
application/pdf

12. Academic Integrity Regulations

12.1. Per UNC Academic Integrity Regulation ([700.6.1\[R\]](#)) and Guidelines ([700.6.1.1\[G\]](#)), please provide information for the following questions related to academic integrity on the next screens.

- Student-athlete data for 12.2., 12.3., and 12.4. in this section should include Summers I and II 2015,

Fall 2015, and Spring 2016.

- Question 12.5. asks for Spring 2016 data only.

Review of Course Clustering

12.2. Please provide a summary of findings for the analyses of student-athlete clustering in course sections.

- See [UNC Policy 700.6.1.1\[G\]](#) Sections V.A.1 and V.A.2
- Please note that [UNC Policy 700.6.1.1\[G\]](#) states that all course sections flagged will be reviewed using the following analyses:
 - Grade distribution between student-athletes and non-student-athletes in flagged sections.
 - Grade distribution between flagged sections and non-flagged sections of the same course.
 - Review of transcript of any student-athlete who enrolls in more than three flagged sections per academic year (including summers).

Number of sections flagged	Total 145
Number of sections found to be irregular	0

12.2.1. If you have a section (or sections) flagged as "irregular," please upload a short description on the process, findings, and corrective action (if appropriate) taken regarding the analysis of course sections (no more than 500 words).

Provide one summary per section flagged as irregular.

Please combine all documents into one PDF and upload it below.

- *Please name the uploaded file in the following manner: XXXX_Irregularities_Flagged where XXXX=your institutional abbreviation.*

Review of Course Clustering - Transcript reviews

12.3. Please provide summary data on findings of student-athlete transcript reviews for any student-athlete who enrolls in three or more flagged sections per academic year (including summers).

If there are no flagged sections or transcripts to review, please enter "N/A".

- See [UNC Policy 700.6.1.1\[G\]](#) Section V.A.3

	Institutional Total
Number of student-athletes' transcripts flagged for review	116
Number of student-athletes' transcripts found irregular	0

12.3.1. If you have a transcript (or transcripts) deemed "irregular," please upload a short description on the process, findings, and corrective action taken regarding student-athlete transcript review (no more than 500 words).

Provide one summary per transcript flagged as irregular.

Please combine all documents into one PDF and upload it below.

- *Please name the uploaded file in the following manner: XXXX_Irregularities_Transcripts where XXXX=your institutional abbreviation.*

Review of Irregularities

12.4. Please attach a short description summarizing the institutional review process and how your institution determined "irregularities" (or no irregularities) pertaining to UNC Policy 700.6.1.1[G], sections V.A.1., V.A.2., and V.A.3.

- *Please name the uploaded file in the following manner: XXXX_Irregularities where XXXX=your institutional abbreviation.*

ECU_Irregularities_2016.docx
14.7KB

application/vnd.openxmlformats-officedocument.wordprocessingml.document

Review of GPAs

12.5. Please provide the results of your institutional analysis of Average Cumulative Student-Athlete GPA and Average Cumulative Non-Student Athletes GPA (see [UNC Regulation 700.6.1\[R\]](#)).

This comparison is for **Spring 2016 only**.

- **Please exclude graduate student athletes in this comparison.**

Average Cumulative GPA for **Spring 2016 only.**

Student-Athlete GPA - Spring 2016

3.00

Non-Student Athlete GPA - Spring 2016

2.95

13. Other Athletics Related Reporting Requirements

13.1. Reporting Structure Document

- Please upload an explanation of your institution's reporting structure for athletics compliance and whether and to whom the athletics compliance director reports outside of the department of athletics (see [UNC Policy 1100.1.1\[R\]](#)).
 - *Please name the uploaded file in the following manner: XXXX_Reporting_Structure where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).

ECU_Reporting_Structure_2016.pdf

37.3KB

application/pdf

If there has been no change to the reporting structure from what was reported last year, please enter "no change to reporting structure" in the box below.

13.2. Especially Effective Practices Document

- Please upload a document containing any especially effective practices employed at your institution that reinforce the integral connection between academics and athletics (see [UNC Policy 1100.1.1\[R\]](#)).
 - *Please name the uploaded file in the following manner: XXXX_Effective Practices where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).

ECU_Effective Practices_2016.docx

16.3KB

application/vnd.openxmlformats-officedocument.wordprocessingml.document

14. "Booster" Club Related Reporting Requirements

The following three items are related to "booster" club organizations and are required [UNC Regulation 1100.1.1\[R\]](#).

Booster Club Financials

14.1. Please upload the most recent financial information provided to your Board of Trustees regarding "booster" club activities.

- *Please name the uploaded file in the following manner: XXXX_Booster_Financials where XXXX=your institutional abbreviation.*
- If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).

ECU_Booster_Financials_2015.pdf

218.8KB

application/pdf

Booster Club Operating Procedures

Please provide your "booster" club's operating procedures. These policies were required to be in place by January 1, 2015.

14.2. Operating Procedures URL

- Please provide the URL for your "booster" club's operating procedures.
-

14.3 Operating Procedures Documents

- If uploading the booster club's operating procedures:
 - *Please name the uploaded file in the following manner: XXXX_Booster_Procedures where XXXX=your institutional abbreviation.*
 - If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).

ECU_Booster_Prodecures.pdf

413.9KB

application/pdf

Booster Audit

14.4. Please upload a PDF copy of the most recent annual audit review of your "booster" club organization.

- *Please name the uploaded file in the following manner: XXXX_Booster_Audit where XXXX=your institutional abbreviation.*
- *If there are multiple documents you would like to submit, please combine them into one file before uploading (the survey software only allows for one document to be uploaded in this question).*

ECU_Booster_Financials_2015.pdf

218.8KB

application/pdf

15. Chancellor's Approval

15.1. Please signify that the chancellor approves the institutional submission of all data in this survey by selecting "yes" below.

- **This serves as the official notification of the chancellor's approval (replacing the chancellor's memo used in years past).**
- No data submission will be considered complete by UNC-GA until "yes" is selected below.
- This section should be completed only after the chancellor has reviewed all institutional data.
 - Please return to this page to indicate approval after downloading a summary of all your submitted data on the next screen.

Yes, our Chancellor approves of all data submitted for the 2015-16 Intercollegiate Athletics Survey

8.2. Please enter Fall 2015 and Spring 2016 unduplicated enrollment totals for **all graduate students** and **all graduate student-athletes**.

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	Institutional Total
Total number of enrolled graduate students	4,731
Total number of enrolled graduate student-athletes	3

8.3. Please enter enrollment totals by NCAA sport for **graduate student-athletes (GSAs)** in Fall 2015 and Spring 2016 by sport.

- If there is no data to report, please enter "0."
- If a GSA participated in more than one sport, please report them for all sports in which they participated.
- If you would like to make any notes about these GSAs, please do so in the text box below.

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	# of GSAs by sport
Bowling	0
Rowing	0
Softball	0

Women's basketball	1
Women's cross-country	0
Women's golf	0
Women's gymnastics	0
Women's ice hockey	0
Women's indoor track and field	0
Women's lacrosse	0
Women's outdoor track and field	0
Women's rifle	0
Women's skiing	0
Women's soccer	0
Women's swimming and diving	0
Women's tennis	1
Women's volleyball	0
Women's water polo	0
Baseball	0
Fencing	0
Field hockey	0
Football	1
Men's basketball	0
Men's cross-country	0
Men's golf	0
Men's gymnastics	0
Men's ice hockey	0
Men's indoor track and field	0
Men's lacrosse	0
Men's outdoor track and field	0
Men's rifle	0
Men's skiing	0
Men's soccer	0
Men's swimming and diving	0
Men's tennis	0

Men's volleyball	0
Men's water polo	0
Wrestling	0
Total	

8.4. Please use the space below if you wish to include any explanations about institutional data entered above (including any GSA listed in more than one sport above).

9. Graduate Student-Athlete Academic Profile - Revenue Sports

9.1. Please enter the following academic information for **graduate student-athletes (GSAs)** in revenue sports at your institution.

- Enter the number of GSAs in these three sports (same number as entered in the previous section), along with the average undergraduate GPA from previous institutions.
- Please enter duplicate GSA information if students participate in more than one revenue sport.
- Enter "NA" in a cell if there were no **GSAs** in the sport.

All FERPA guidelines regarding protection of student identity will be followed. Please submit all student information here and before making any student-level information public, UNC-GA will remove all details that could result in the information being identifiable.

	Total Number of GSAs by Sport	Average Undergraduate GPA
Men's Football	Redacted	●
Men's Basketball		
Women's Basketball	Redacted	●

16. Conclusion

Completing the Survey

Thank you for taking the time to complete this survey. If all of your information is complete, please select

SUMMARY below and you will be taken to a page with a summary of all your responses.

1. Upon clicking the "SUMMARY" button, you will receive a summary of your responses. This may be used to share with your chancellor and other institutional officials.
 - **At this point, the survey HAS NOT been submitted to UNC-GA.**
2. After reviewing the summary data submission, please be sure to indicate that your chancellor approves your data submission by returning to Section 15 of the survey (on the previous screen) and selecting "yes".
3. To officially submit your institution's data entries (after indicating your chancellor's approval), click the "SUMMARY" button below, where you will again see the summary page of your responses, and then click the "SUBMIT" button at the bottom of the summary page.

Any technical questions about the survey should be sent to:

Eric Fotheringham
Senior Data & Analytics Associate
UNC General Administration
emfotheringham@northcarolina.edu
919.843.6967

BACK

SUBMIT

Powered by Qualtrics

Process for Admitting Student-Athletes with Special Talent Waivers

1. The need for a Special Talent Admission request will be determined through the Preliminary Evaluation Process completed by the Office of Compliance in conjunction with the Office of Admissions.
2. ***All Special Talent Admissions Requests will be reviewed by the Academic Success Committee (ASC) Special Talent Sub-Committee.*** The ASC, appointed by the Chancellor, is chaired by the Faculty Athletics Representative and meets once a month. The sub-committee is comprised of four (4) faculty members, three (3) academic administrators, the academic support administrator, the Director of Compliance and one (1) head coach.
3. Once a prospective student-athlete (PSA) has been identified as a Special Talent scenario, the coach will initiate the process by submitting the “Special Talent Admissions Request Checklist” to the Office of Compliance. To note, Sport Administrator approval is required for all Special Talent Requests.
4. The Office of Compliance will confirm the PSA has a complete admissions file (e.g. high school transcripts, test scores, application, application fee, etc.). A Special Talent Request will not move forward until a PSA has a complete admissions file.
5. The Office of Compliance will create the “Special Talent Admissions Request Packet.” This packet will include the following:

Documents included for a FRESHMAN:

- Copies of transcripts from ALL institutions attended;
- Copies of ALL test scores; and
- Copy of the Preliminary Evaluation.

Documents included for a TRANSFER:

- Copies of transcripts from all institutions attended;
- Copies of all test scores (if applicable);
- Completed TRACER from all institutions attended;
- Completed Transfer Assessment Form; and
- Copy of the Preliminary Evaluation, which will include the transfer GPA.

6. The Office of Compliance will provide the Head Coach the “Special Talent Admissions Packet” to be reviewed and signed by the Athletic Director.
7. The Head Coach will work directly with the Office of Compliance to provide the required documentation to the ASC for review.
8. Once a decision is made by the Academic Success Committee, the ASC Designee will sign the form and return to the Office of Compliance.
9. The Office of Compliance will provide the form to the Office of Admissions who will then update Banner to reflect the decision rendered. Once this update is made, the Office of Admissions will notify the Office of Compliance in writing.

10. If a prospective student-athlete falls under one of the following categories, the sport must present additional documentation for review by the ASC:
 - Students who are projected or deemed nonqualifiers;
 - Transfer students with a transfer GPA of 2.100 or lower; or
 - Students who will need a NCAA/American Athletic Conference waiver to be eligible.

Guidelines for Special Talent Admissions Requests & Reviews Requiring Additional Documentation:

11. Each sport will be subject to an historical review of the success of prior students admitted via the special talent process. This information will be used by the Academic Success Committee to determine whether the PSA should receive a Special Talent Admissions Acceptance. For example, if the requesting sport has not been able to graduate their student-athletes admitted through this process and at a rate commensurate with their overall graduation rate, this information will be considered by the committee in making their final admission decision.
12. Sports that have a prospective student-athlete fall into one or more of the categories listed above, must present the following items of support:
 - A written statement from the ECU head coach to justify why ECU should take a risk on the applicant;
 - A written statement from the applicant describing his or her academic goals, life plans and any special, mitigating or extenuating circumstances related to the applicant's poor academic record; and
 - A letter from a high school teacher and/or guidance counselor describing the applicant's commitment to academics and his or her belief that the applicant can successfully complete college level work and earn a degree from ECU.
13. After reviewing the applicant's complete file and supporting documents, the committee votes on whether to grant the applicant special admission status. The committee's recommendation is communicated to the Chancellor for consideration by the committee chair. To note, the Chancellor retains the right to overrule all admission decisions.

Course Clustering Review Process

A review team designated by the chancellor conducts an audit of student-athlete course enrollment for each term (summer, fall and spring). The review team consists of the Executive Director for the Office of Internal Audit, the Associate Provost for Enrollment Services and the Director of Student Development.

For the 2015-2016 academic year the audit committee utilized a review process which provided more robust data visualization approach. The new approach involves using a business intelligence software tool to create a storyboard that has dashboards, charts and graphs. This allows the audit team to create multiple views of our data to answers the questions necessary to conduct the course clustering review as outlined by t UNC policy and guidelines. During the course of the audit, each reviewer audits the above reports independently. The reviewers then meet to discuss areas of concern and identify any irregularities.

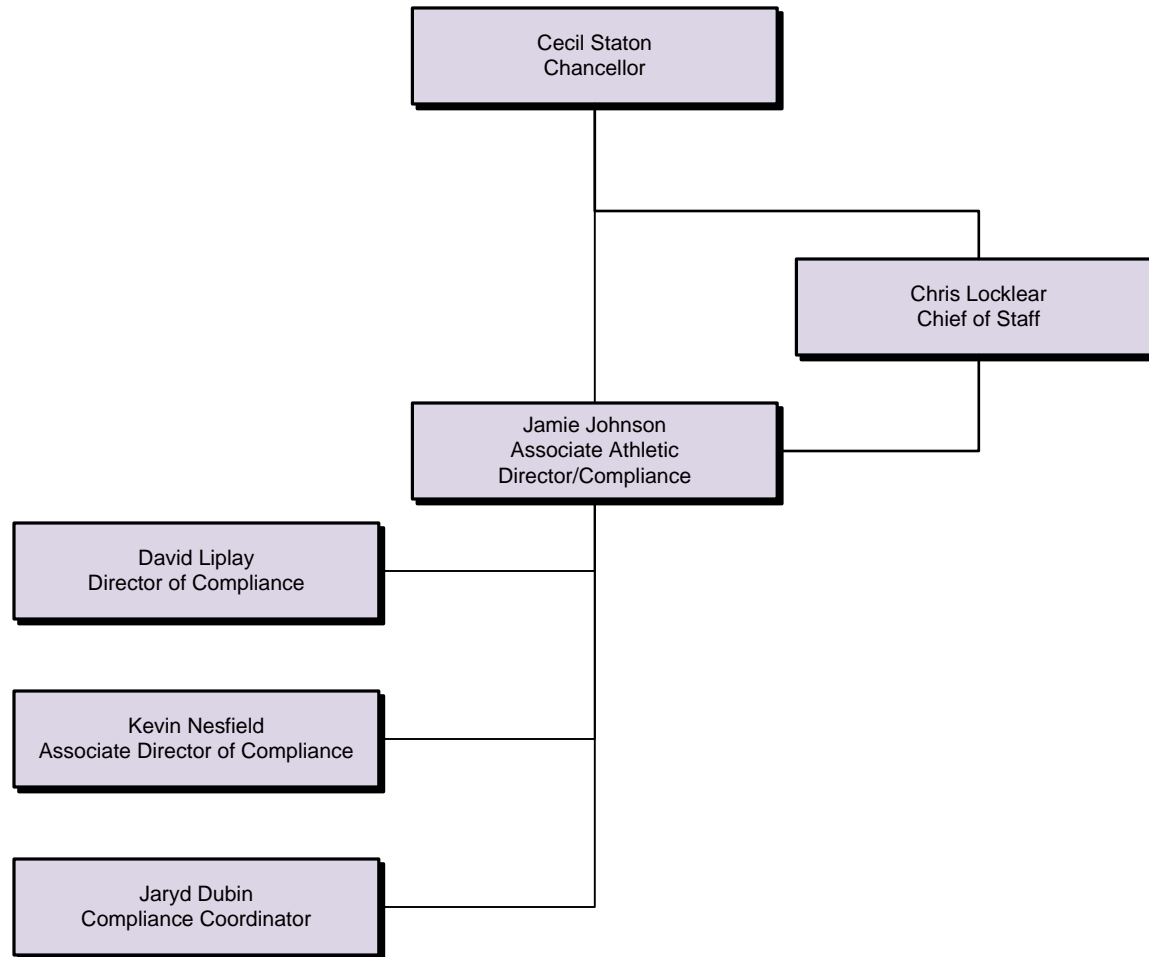
Courses with a student-athlete enrollment of 20% or higher are identified as flagged and are examined in detail. Both the total number of students enrolled and the number of sections offered for the specific course are considered in the review.

All course sections, flagged and non-flagged, are reviewed for student-athlete grade distribution. Courses with a higher number of "A"s for student-athletes than for the general student enrollment are examined in more detail and the student-athlete individual grade report, when necessary, is used in the analysis. The grade distribution in these courses is compared to all other sections of the same course to determine if an irregularity exists.

As part of the course clustering process, the review team also utilized the business intelligence software to perform a transcript audit of any student-athlete enrolled in three or more flagged courses.

Additionally, a review of independent study classes is also conducted. The Director of Student Development reviews each course labeled as directed readings or independent study and investigates the reasons for student-athlete enrollment. Each is discussed during the course audit with the review team.

Findings from the audit are included in the Student-Athlete Course Audit Report for the specific term(s) and shared with the Chancellor, Provost, Board of Trustees Athletics Committee, Faculty Athletics Representative, Director of Athletics, and the University Athletics and Academic Success Committees.



East Carolina University under the leadership of Chancellor Cecil Staton is committed to strengthening the connection between academics and athletics through innovative and collaborative approaches. In addition to the effective practices submitted in previous reports several new opportunities have been initiated during the past year.

Course Clustering Annual Review

For the 2015-2016 academic year, under the leadership of the Executive Director for University Audit, ECU moved from a manual review process to a more robust data visualization approach. The new approach involves using a business intelligence software tool to create a storyboard that has dashboards, charts, and graphs. This new approach allows the Course Clustering Review committee to create multiple views of our data to answer the questions necessary to conduct the course clustering review as outlined by the UNC policy and guidelines. Going forward, the review committee will be able to refresh the data for each academic year which will allow visualization in minutes and provide for richer insight that was not available utilizing the former manual approach.

Non-cognitive Skill Education for Student-Athletes

As a result of ECU's participation in the UNC System conference, "Redefining Student Success: The role of non-cognitive skill development strategies," the athletics student development office created a non-cognitive skill education program for incoming student-athletes. The goal of the program is to help at-risk student-athletes achieve greater academic success by helping them improve both their affective and behavioral approaches to learning. The program focuses on the improvement of two specific non-cognitive skills: sense of belonging and academic confidence. The program works to improve student's sense of belonging by developing their self-advocacy skills and helping them create a strong network on the college campus. It also strives to improve students' academic confidence by impacting their academic self-concept, self-efficacy, personal confidence, and motivation. Skill development strategies are incorporated during the first academic year through such means as the freshmen seminar course, academic progress meetings, and tutor and study hall sessions. In addition, the program offers and promotes campus opportunities to develop a sense of belonging outside the athletics program.

East Carolina University Educational Foundation, Inc.

Financial Statements as of and
for the Years Ended June 30, 2015 and 2014,
and Independent Auditors' Report

EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

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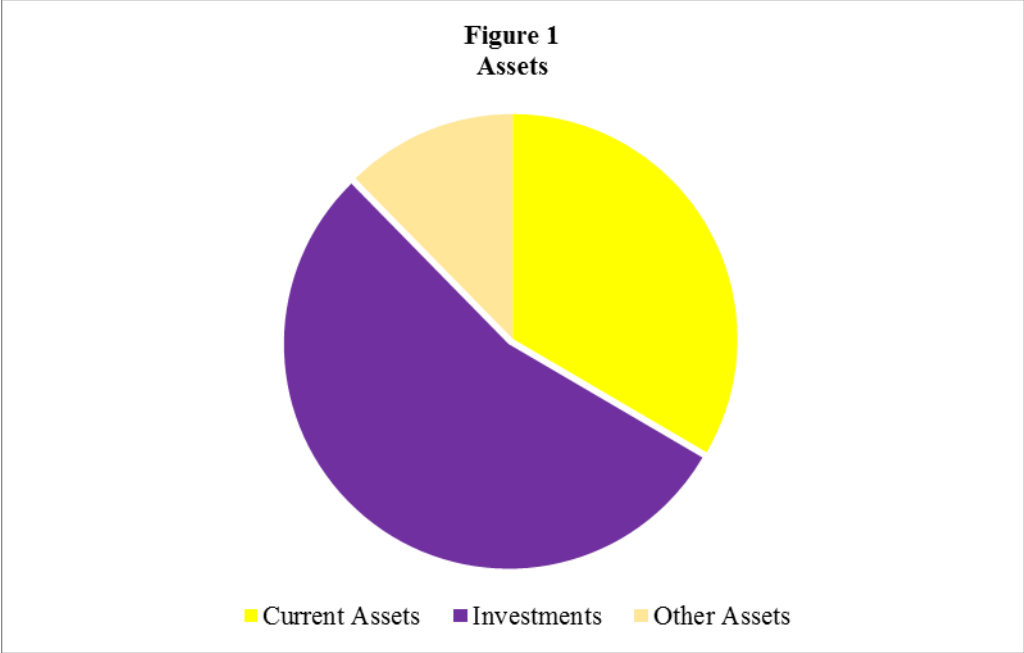
Management’s Discussion and Analysis

November 30, 2015

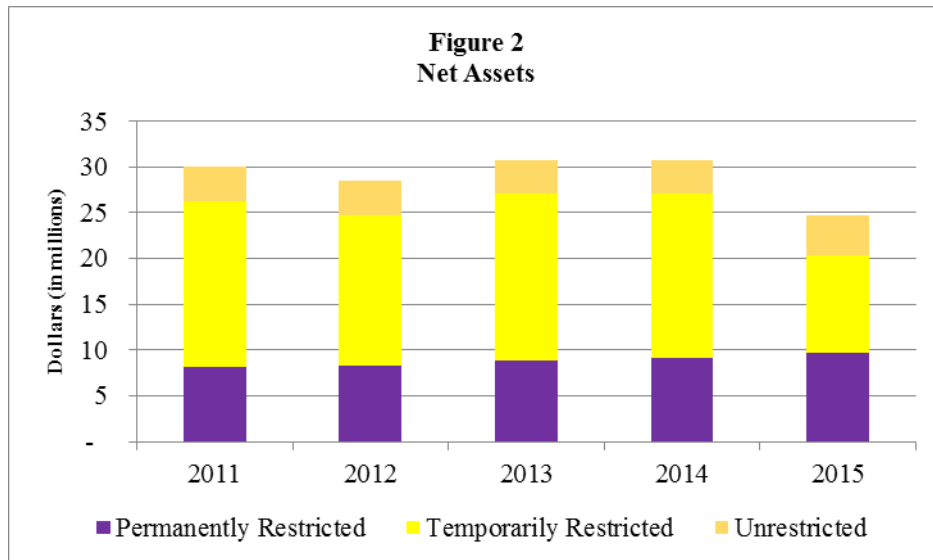
The East Carolina University Educational Foundation, Inc. (the “Foundation”), is a 501(c)(3) organization whose mission is to be the friend-raising and fund-raising arm of East Carolina University’s Division I athletics program. The attached financial statements, audited by the firm of Dixon Hughes Goodman LLP, received an unmodified opinion. The unmodified opinion from our auditors reflects the commitment of our volunteers and staff to stewarding the Foundation’s resources in a responsible manner while fulfilling the Foundation’s mission with honesty and integrity and in compliance with the rules and regulations that govern its operations.

As the financial statements illustrate for the fiscal year ended June 30, 2015, a decrease in both restricted contributions revenue and investment returns coupled with an increase in program services resulted in a decrease in net assets. The following graphs summarize the financial results for the year ended June 30, 2015.

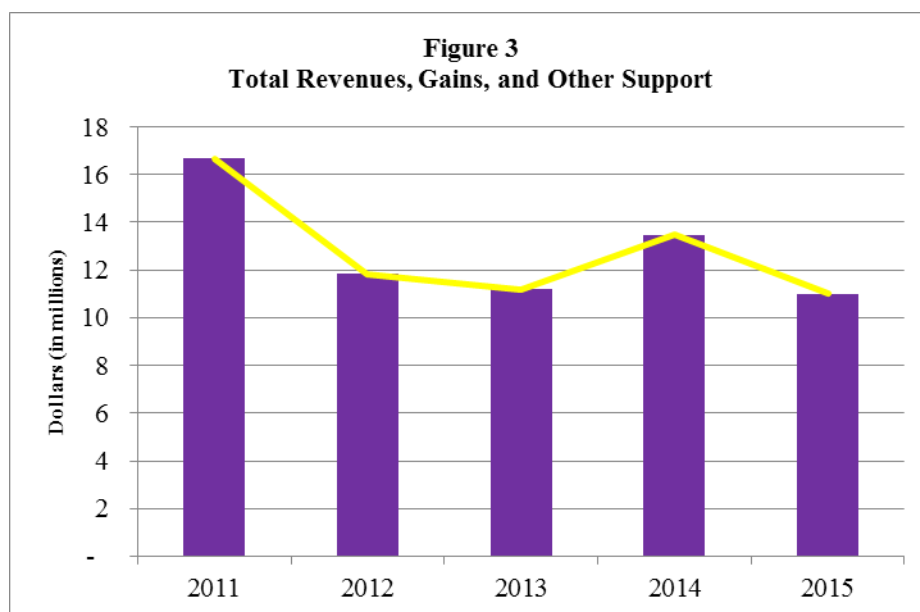
Total assets of the Foundation at June 30, 2015 were \$25.1 million. The Foundation’s investments represented the largest percentage of the Foundation’s assets at the end of the fiscal year (see Figure 1).



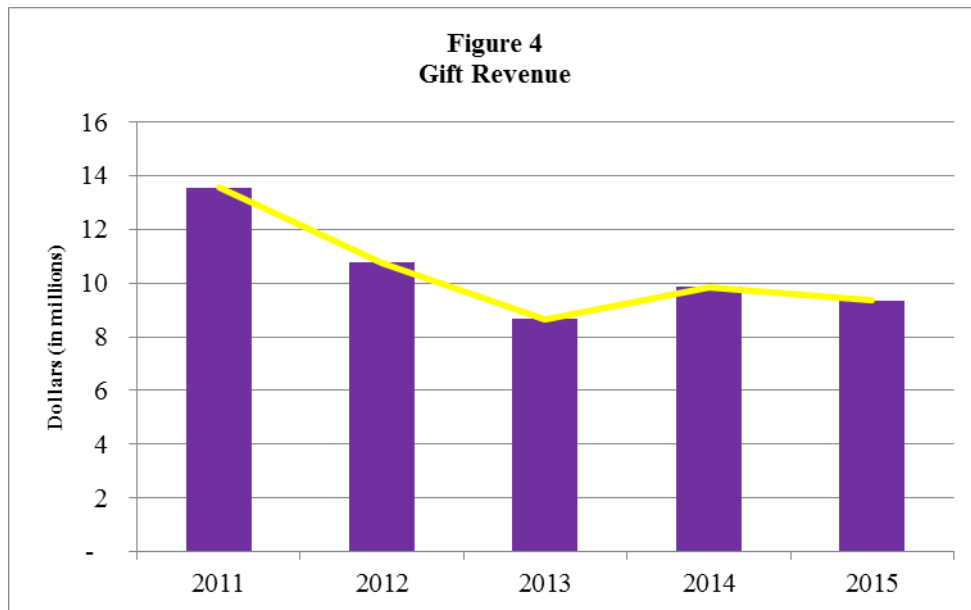
The Foundation’s ending total net assets of \$24.6 million decreased nearly 20% from the prior year’s ending net assets (see Figure 2), a result of decreased gift revenue on the capital campaign for the auxiliary gym facility and increased expense related to a prepayment on debt service for the facility.



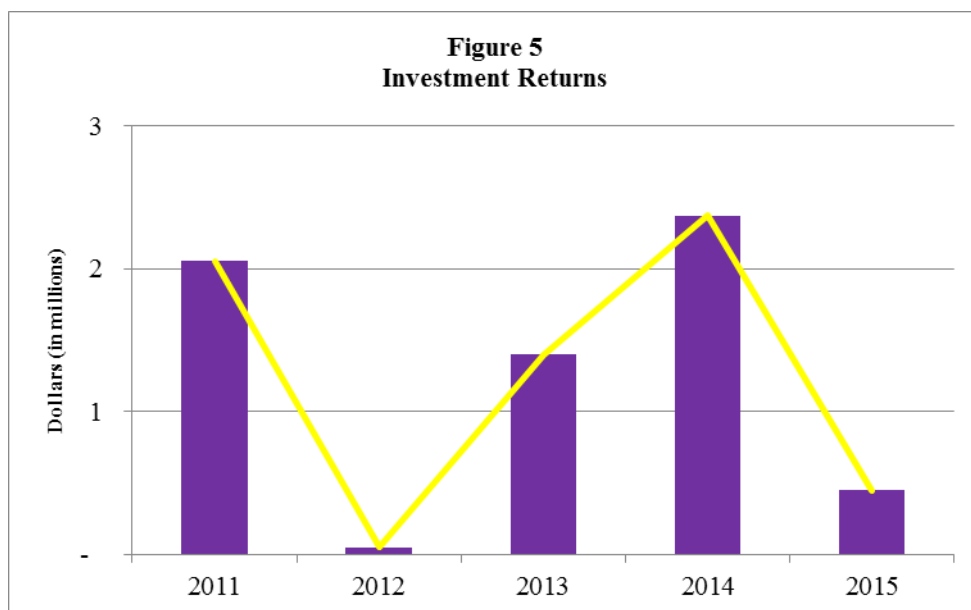
The total revenues, gains, and other support received by the Foundation during the year was nearly \$11 million. As illustrated by Figure 3, the change in total revenues represented an 18% decrease from the previous year’s total revenue of \$13.5 million. This was primarily due to a decrease in capital gift revenue and reduced investment returns for the current year compared to the prior year.



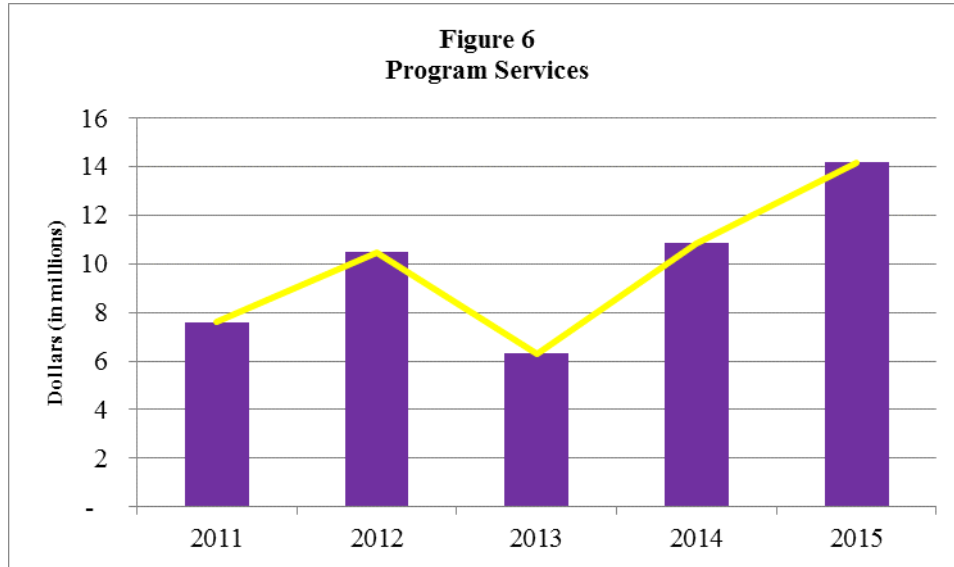
Gifts to the Foundation for fiscal year 2015 totaled \$9.3 million, a decrease of 5% from the prior year (see Figure 4).



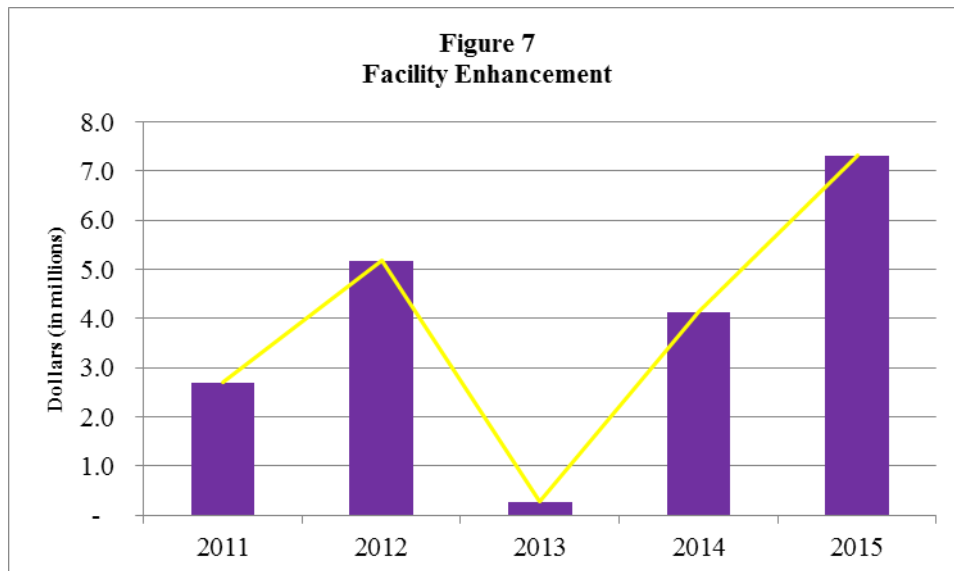
Investment returns for the fiscal year ended June 30, 2015 represent 4.1% of the Foundation's total revenues compared to 17.6% for the year ended June 30, 2014. As shown in Figure 5, the Foundation's investment returns have sustained a positive return in recent years, even though reduced market returns caused investment returns to decrease \$1.9 million compared to the previous fiscal year.



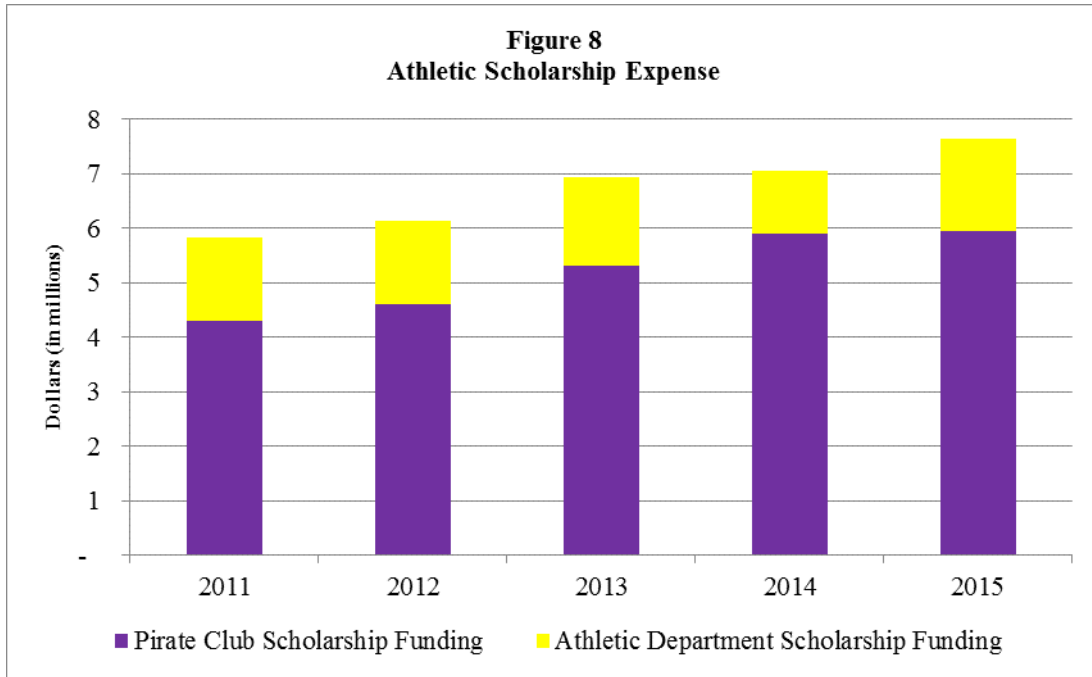
A major focus of the Foundation is to raise, manage, and provide private resources for program services for the student athletes of East Carolina University. The Foundation provided \$14.2 million in program services for the fiscal year ended June 30, 2015 (see Figure 6).



The increase in total program services in fiscal year 2015 is a result of an increase in facility enhancement expenses. Facility enhancement expenses totaled approximately \$7.3 million in fiscal year 2015 (see Figure 7). The significant increase in facility enhancement expense was due to payments for the construction and debt service of the auxiliary gym facility, including a \$3.1 million prepayment on a portion of the associated loan agreement to lower future interest expense over the life of the agreement.



Scholarship support is a key component of the program service support provided by the Foundation. The scholarship support for the fiscal year ended June 30, 2015 set a new record at \$5.95 million. Total athletic scholarship expense paid by the East Carolina University athletic department was \$7.4 million. The chart below indicates total scholarship cost and the portion funded by the Foundation (see Figure 8).



The Foundation is a vibrant, forward looking organization committed to playing a significant role in the future development of the University athletic program. The financial information that follows illustrates the Foundation is well positioned to fulfill its commitments both today and in the future.

If you have any questions, please contact us.

J. Batt
Executive Director

Frederick Niswander
Executive Treasurer
Vice Chancellor for Administration & Finance,
East Carolina University



INDEPENDENT AUDITORS' REPORT

Board of Directors
East Carolina University Educational Foundation, Inc.
Greenville, North Carolina

We have audited the accompanying financial statements of East Carolina University Educational Foundation, Inc. (the "Foundation"), which comprise the statements of financial position as of June 30, 2015 and 2014, and the related statements of activities and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Foundation as of June 30, 2015 and 2014, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.



Supplemental Information

Our audits were conducted for the purpose of forming an opinion on the basic financial statements as a whole. The Management's Discussion and Analysis on pages 1 to 5, which is the responsibility of management, is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has not been subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we do not express an opinion or provide any assurance on it.

Dixon Hughes Goodman LLP

Raleigh, North Carolina
November 30, 2015

EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

Statements of Financial Position

June 30, 2015 and 2014

<u>Assets</u>	<u>2015</u>	<u>2014</u>
Current assets:		
Cash	\$ 5,690,277	\$ 9,300,320
Current portion of unconditional promises to give, net (Note 2)	2,699,228	4,050,123
Prepaid expenses	-	2,400
Other receivables	<u>6,853</u>	<u>7,528</u>
Total current assets	<u>8,396,358</u>	<u>13,360,371</u>
Investments:		
Investments (Notes 3 and 4)	13,398,084	13,189,554
Real estate held for investment (Notes 4 and 5)	<u>221,252</u>	<u>221,252</u>
Total investments	<u>13,619,336</u>	<u>13,410,806</u>
Leasehold improvements, net of amortization of \$172,408 and \$150,966 for 2015 and 2014, respectively (Note 12)	<u>109,000</u>	<u>130,442</u>
Other assets:		
Life insurance policy - cash surrender value	408,520	358,696
Beneficial interest in charitable remainder trusts (Note 4)	636,212	684,210
Unconditional promises to give, net, less current portion (Note 2)	<u>1,945,562</u>	<u>3,455,931</u>
Total other assets	<u>2,990,294</u>	<u>4,498,837</u>
Total assets	<u>\$ 25,114,988</u>	<u>\$ 31,400,456</u>
<u>Liabilities and Net Assets</u>		
Current liabilities:		
Accounts payable	\$ 160,086	\$ 43,226
Accrued expenses	306,031	560,331
Deferred revenue	<u>3,474</u>	<u>2,581</u>
Total current liabilities	<u>469,591</u>	<u>606,138</u>
Net assets:		
Unrestricted	4,356,178	3,655,888
Temporarily restricted (Notes 6 and 7)	10,641,663	18,075,329
Permanently restricted (Notes 6, 7 and 8)	<u>9,647,556</u>	<u>9,063,101</u>
Total net assets	<u>24,645,397</u>	<u>30,794,318</u>
Total liabilities and net assets	<u>\$ 25,114,988</u>	<u>\$ 31,400,456</u>

EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

Statements of Activities

Year Ended June 30, 2015

	2015			
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains, and other support:				
Contributions	\$ 8,022,803	\$ 592,853	\$ 595,187	\$ 9,210,843
Gifts in kind	132,918	-	-	132,918
Contributed services and facilities (Note 9)	676,753	4,401	-	681,154
Return on investments:				
Interest and dividends	32,064	249,230	-	281,294
Net realized and unrealized gains on investments	3,450	165,917	12	169,379
Other income	517,604	-	-	517,604
Change in value of split interest agreements	-	-	(47,998)	(47,998)
Change in value of life insurance	233	-	49,591	49,824
Net assets released from restrictions (Note 6)	<u>8,232,964</u>	<u>(8,232,964)</u>	<u>-</u>	<u>-</u>
Total revenues, gains, and other support	<u>17,618,789</u>	<u>(7,220,563)</u>	<u>596,792</u>	<u>10,995,018</u>
Expenses (Note 10):				
Program services:				
Program development	910,717	-	-	910,717
Scholarships	5,945,715	-	-	5,945,715
Facility enhancement	<u>7,322,756</u>	<u>-</u>	<u>-</u>	<u>7,322,756</u>
Total program services	14,179,188	-	-	14,179,188
General and administrative	2,281,846	-	-	2,281,846
Fundraising	<u>457,465</u>	<u>-</u>	<u>-</u>	<u>457,465</u>
Total operating expenses	16,918,499	-	-	16,918,499
Bad debt losses	<u>-</u>	<u>213,103</u>	<u>12,337</u>	<u>225,440</u>
Total expenses	<u>16,918,499</u>	<u>213,103</u>	<u>12,337</u>	<u>17,143,939</u>
Changes in net assets	700,290	(7,433,666)	584,455	(6,148,921)
Net assets, beginning of year	<u>3,655,888</u>	<u>18,075,329</u>	<u>9,063,101</u>	<u>30,794,318</u>
Net assets, end of year	<u>\$ 4,356,178</u>	<u>\$ 10,641,663</u>	<u>\$ 9,647,556</u>	<u>\$ 24,645,397</u>

EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

Statements of Activities

Year Ended June 30, 2014

	2014			
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains, and other support:				
Contributions	\$ 7,173,536	\$ 2,349,879	\$ 160,547	\$ 9,683,962
Gifts in kind	115,862	53,769	-	169,631
Contributed services and facilities (Note 9)	571,301	-	-	571,301
Return on investments:				
Interest and dividends	25,505	239,095	-	264,600
Net realized and unrealized gains on investments	84,508	2,020,701	90	2,105,299
Other income	531,181	25	-	531,206
Gain on sales of property	3,006	-	-	3,006
Change in value of split interest agreements	-	-	48,910	48,910
Change in value of life insurance	271	-	92,767	93,038
Net assets released from restrictions (Note 6)	<u>4,849,356</u>	<u>(4,849,356)</u>	<u>-</u>	<u>-</u>
Total revenues, gains, and other support	<u>13,354,526</u>	<u>(185,887)</u>	<u>302,314</u>	<u>13,470,953</u>
Expenses (Note 10):				
Program services:				
Program development	804,605	-	-	804,605
Scholarships	5,898,300	-	-	5,898,300
Facility enhancement	<u>4,135,686</u>	<u>-</u>	<u>-</u>	<u>4,135,686</u>
Total program services	10,838,591	-	-	10,838,591
General and administrative	2,012,619	-	-	2,012,619
Fundraising	<u>430,560</u>	<u>-</u>	<u>-</u>	<u>430,560</u>
Total operating expenses	13,281,770	-	-	13,281,770
Bad debt losses	<u>129</u>	<u>91,004</u>	<u>21,619</u>	<u>112,752</u>
Total expenses	<u>13,281,899</u>	<u>91,004</u>	<u>21,619</u>	<u>13,394,522</u>
Changes in net assets	72,627	(276,891)	280,695	76,431
Net assets, beginning of year	<u>3,583,261</u>	<u>18,352,220</u>	<u>8,782,406</u>	<u>30,717,887</u>
Net assets, end of year	<u>\$ 3,655,888</u>	<u>\$ 18,075,329</u>	<u>\$ 9,063,101</u>	<u>\$ 30,794,318</u>

The accompanying notes are an integral part of these financial statements.

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EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

Statements of Cash Flows

Years Ended June 30, 2015 and 2014

	2015	2014
Cash flows from operating activities:		
Change in net assets	\$ (6,148,921)	\$ 76,431
Permanently restricted contributions	(595,187)	(160,547)
Adjustments to reconcile change in net assets to net cash used by operating activities:		
Amortization of leasehold improvements	21,442	23,768
Bad debt expense	225,440	112,752
Change in cash value of life insurance	(49,824)	(93,038)
Gifted common stock	-	(50,274)
Gain on sale of property	-	(3,006)
Change in value of split-interest agreement	47,998	(48,910)
Net realized and unrealized gain on investments	(169,379)	(2,105,299)
Effect of changes in operating assets and liabilities:		
Unconditional promises to give and other receivables	2,636,499	347,436
Prepaid expenses	2,400	(1,800)
Accounts payable	116,860	8,348
Accrued expenses	(254,300)	440,248
Deferred revenue	<u>893</u>	<u>-</u>
Net cash used by operating activities	<u>(4,166,079)</u>	<u>(1,453,891)</u>
Cash flows from investing activities:		
Purchases of investments	(4,570,506)	(4,824,719)
Proceeds from sale of investments, net	4,531,355	5,043,230
Proceeds from sale of property	<u>-</u>	<u>3,006</u>
Net cash provided (used) by investing activities	<u>(39,151)</u>	<u>221,517</u>
Cash flows from financing activities:		
Contributions for endowment	<u>595,187</u>	<u>160,547</u>
Net cash provided by financing activities	<u>595,187</u>	<u>160,547</u>
Change in cash and cash equivalents	(3,610,043)	(1,071,827)
Cash, beginning of year	<u>9,300,320</u>	<u>10,372,147</u>
Cash, end of year	<u>\$ 5,690,277</u>	<u>\$ 9,300,320</u>

EAST CAROLINA UNIVERSITY EDUCATIONAL FOUNDATION, INC.

Notes to Financial Statements

June 30, 2015 and 2014

1. Summary of Significant Accounting Policies

Nature of Activities

East Carolina University Educational Foundation, Inc. ("Foundation") is a non-profit corporation organized under the laws of the State of North Carolina. The primary purpose of the Foundation is to be the friend-raising and fund-raising arm of East Carolina University's Division I athletics program, representing the highest principles of honesty and integrity. By conducting annual fund, endowment, and capital campaigns in support of student-athlete scholarships, athletic facility enhancements and other programmatic needs, the Foundation seeks to bring positive recognition to East Carolina University and the region it serves through a competitive athletics program.

Basis of Presentation

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America for the non-profit industry. Net assets and revenues, expenses, gains, and losses are classified based on the existence or absence of donor-imposed restrictions. Accordingly, net assets of the Foundation and changes therein are classified and reported as follows:

- Unrestricted net assets – Net assets not subject to donor-imposed stipulations.
- Temporarily restricted net assets – Net assets subject to donor-imposed stipulations for specified purposes of the Foundation and/or the passage of time.
- Permanently restricted net assets – Net assets subject to donor-imposed stipulations that they be maintained permanently by the Foundation. Generally, the donors of these assets permit the Foundation to use all of, or part of, the income earned on related investments for general or specific purposes.

Revenues are reported as increases in unrestricted net assets unless use of the related assets is limited by donor-imposed restrictions. Expenses are reported as decreases in unrestricted net assets. Gains and losses on investments and other assets or liabilities are reported as increases or decreases in unrestricted net assets unless their use is restricted by explicit donor stipulation or by law. Expirations of temporary restrictions on net assets (i.e., the donor-stipulated purpose has been fulfilled and/or the stipulated time period has elapsed) are reported as reclassifications on the Statements of Activities between the applicable classes of net assets as "Net assets released from restrictions."

Use of Estimates in Preparation of Financial Statements

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America (GAAP) requires management to make estimates and assumptions that directly affect the results of reported amounts and disclosures. Accordingly, actual results may differ from these estimates.

1. Summary of Significant Accounting Policies (Continued)

Fair Value of Financial Instruments

The carrying amounts of cash, prepaid expenses, other receivables, accounts payable, and accrued expenses approximate fair value because of the short maturity of these instruments. The fair value of investments is described in Notes 3 and 4, and is in accordance with Financial Accounting Standards Board (“FASB”) Accounting Standards Codification (“ASC”) 820, *Disclosures About Fair Value of Instruments*, which defines fair value of a financial instrument as the amount at which the instrument could be exchanged in a current transaction between willing parties.

Cash and Cash Equivalents

Cash and cash equivalents include interest-bearing money market accounts and short-term investments with an original maturity of three months or less at the time of purchase. Amounts excluded from cash and cash equivalents include short-term investments that are held in the investment pool.

Unconditional Promises to Give

Unconditional promises to give are recorded as receivables in the year pledged and are recognized as revenues in the period when pledged. Conditional promises to give are not recognized until they become unconditional, that is when the conditions on which they depend are substantially met. Contributions of assets other than cash are recorded at their estimated fair value at the time of donation. Contributions to be received after one year are discounted at an appropriate discount rate commensurate with the risks involved. Amortization of discounts is recorded as additional contribution revenue in accordance with donor-imposed restrictions, if any, on the contributions. An allowance for uncollectible unconditional promises to give is provided based upon management’s judgment including such factors as prior collection history, the type of contribution, and the nature of fundraising activity.

Investments

Investments are reported at fair value with gains and losses included in the Statements of Activities. All temporarily and permanently restricted funds are combined with unrestricted funds into one investment pool. Once a year, the interest, dividends, realized and unrealized gains/losses, and investment fees are allocated to the funds based on the fund’s percentage of ownership interest in the pool of investments. Other investments, including real estate held for investment, are carried at fair value.

As explained in Note 3, the financial statements include alternative investments consisting of a hedge fund that is valued at \$647,808 (3% of net assets) and \$613,785 (2% of net assets) at June 30, 2015 and 2014, respectively. Management has estimated the fair value of this hedge fund using the methodology discussed in Note 4.

1. Summary of Significant Accounting Policies (Continued)

Allocation of Investment Income

Income and realized and unrealized net gains on investments of endowment and similar funds are reported as follows:

- As increases in permanently restricted net assets if the terms of the gift or the Foundation's interpretation of relevant state law require that they be added to the principal of a permanent endowment fund.
- As increases in temporarily restricted net assets if the terms of the gift impose restrictions on the use of the income.
- As increases in unrestricted net assets in all other cases.

In accordance with FASB ASC 958-205, any losses on the investments of a donor-restricted endowment fund reduce temporarily restricted net assets to the extent that donor-imposed temporary restrictions on net appreciation of the fund have not been met before a loss occurs. Any remaining loss reduces unrestricted net assets. If losses reduce the assets of a donor-restricted endowment fund below the level required by the donor stipulations or law, gains that restore the fair value of the assets of the endowment fund to the required level are classified as increases in temporarily restricted net assets.

Leasehold Improvements

Leasehold improvements to make properties suitable for the Foundation's intended use are amortized over the shorter of the estimated life of the asset or the remaining life of the lease, which ranges from 3 to 10 years.

Cash Surrender Value of Life Insurance

Life insurance policies owned by the Foundation are reported at the cash surrender value of the policy. Changes in cash surrender value of life insurance are reported as changes in value of life insurance under the revenues, gains, and other support section in the Statements of Activities.

Beneficial Interest in Charitable Remainder Trust

The Foundation has a beneficial interest in four charitable remainder trusts. A receivable has been recognized for the Foundation's beneficial interest in the remainder trusts at the present value of the estimated future distributions expected to be received. The Foundation is not the named trustee for any of the trusts. Adjustments to reflect revaluations of the present value of the estimated future payments and changes in actuarial assumptions are recognized in the Statements of Activities as a change in value of the split-interest agreements.

1. Summary of Significant Accounting Policies (Continued)

Income Taxes

The Foundation is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code, except on net income derived from unrelated business activities. At June 30, 2015 and 2014, the Foundation has not recorded any tax liabilities. The Foundation believes that it has appropriate support for any tax positions taken and, as such, does not have any uncertain tax positions that are material to the financial statements.

The Foundation's Return of Organization Exempt From Income Tax (Form 990) and Federal Exempt Organization Business Income Tax Returns (Form 990T) for fiscal years 2014, 2013, and 2012 are subject to examination by the IRS, generally for three years after they were filed.

Contributions

Unconditional contributions are considered available for unrestricted use unless specifically restricted by the donor. The gifts are reported as either temporarily or permanently restricted support if they are received with donor stipulations that limit the use of the donated assets. When a donor restriction expires, that is when a stipulated time restriction ends or purpose restriction is accomplished, temporarily restricted net assets are reclassified as unrestricted net assets and reported in the Statements of Activities as net assets released from restrictions. Donor contributions whose restrictions are met within the same year as received are reflected as unrestricted contributions in the accompanying financial statements.

Contractual Services

The staff of the Foundation is paid by East Carolina University (ECU) and they are employees of ECU for payroll and benefit purposes. The Foundation reimburses ECU for all payroll and benefit costs related to the Foundation staff. The reimbursement is recorded as contractual services.

Recent Accounting Pronouncements

The following is a summary of recent authoritative pronouncements that could impact the accounting, reporting, and/or disclosure of financial information by the Foundation.

Accounting Standards Update ("ASU") 2013-06 was issued in April 2013 to amend the *Not-for-Profit Entities* topic of the ASC to specify the guidance that not-for-profit entities apply for recognizing and measuring services received from personnel of an affiliate. The amendments were effective for the Foundation beginning July 1, 2014, and management believes that the Foundation is in compliance with the requirements outlined in the ASU regarding the recognition of services received from personnel of an affiliate (i.e., contributed services). Contributed services are recognized at the cost to the affiliate, including salaries/wages and benefits, at the time the cost by the affiliate is incurred. The impact of the adoption of ASU 2013-06 was not significant.

Subsequent Events

Management evaluated subsequent events through November 30, 2015, the date the financial statements were available to be issued. There were no events or transactions occurring after June 30, 2015, but prior to the date these financial statements were issued that provided additional evidence about conditions that existed at June 30, 2015.

2. Unconditional Promises to Give

Unconditional promises to give at June 30, 2015 and 2014 are summarized as follows:

	<u>2015</u>	<u>2014</u>
Receivables due in less than one year	\$ 4,170,674	\$ 5,238,094
Receivables due in one to five years	2,037,361	3,818,487
Receivables due in more than five years	<u>2,000</u>	<u>26,200</u>
	6,210,035	9,082,781
Less: Allowance for unamortized discount	(57,596)	(241,190)
Less: Allowance for uncollectible receivables	<u>(1,507,649)</u>	<u>(1,335,537)</u>
Net unconditional promises to give	<u>\$ 4,644,790</u>	<u>\$ 7,506,054</u>

Unconditional promises to give are discounted using a rate determined by management at the time the unconditional promises to give are initially recognized. Unconditional promises to give recognized during the years ended June 30, 2015 and 2014 are discounted at a rate of 2.0% and 2.2%, respectively, to estimate the present value of future payments.

3. Investments

The aggregate fair values of investments at June 30, 2015 and 2014, by type of investment, are as follows:

	<u>2015</u>	<u>2014</u>
Common stock	\$ 9,296,301	\$ 9,520,409
Corporate bonds	1,838,913	1,814,287
Government bonds	-	4,975
Mutual funds	825,123	761,943
Money market funds	<u>789,939</u>	<u>474,155</u>
Total marketable securities	12,750,276	12,575,769
Alternative investments	<u>647,808</u>	<u>613,785</u>
Total investments	<u>\$ 13,398,084</u>	<u>\$ 13,189,554</u>

4. Fair Value Measurements

Fair value as defined under GAAP is an exit price, representing the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. In determining fair value, the Foundation uses various valuation approaches within the FASB ASC 820 fair value measurement framework. Fair value measurements are determined based on the assumptions that market participants would use in pricing an asset or liability.

FASB ASC 820 establishes a hierarchy for inputs used in measuring fair value that maximizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that the most observable inputs be used when available.

4. Fair Value Measurements (Continued)

FASB ASC 820 defines levels within the hierarchy based on the reliability of inputs as follows:

- Level 1 – Valuations based on unadjusted quoted prices for identical assets or liabilities in active markets;
- Level 2 – Valuations based on quoted prices for similar assets or liabilities or identical assets or liabilities in less active markets, such as dealer or broker markets; and
- Level 3 – Valuations derived from valuation techniques in which one or more significant inputs or significant value drivers are unobservable, such as pricing models, discounted cash flow models and similar techniques not based on market, exchange, dealer or broker-traded transactions.

The following is a description of the valuation methodologies used for instruments measured at fair value and their classification in the valuation hierarchy. These valuation methodologies have not changed and are consistent with prior years.

Marketable securities, including common stock, corporate bonds, government bonds, mutual funds, and money market funds listed on a national market or exchange, are valued at the last sales price. If there is no sale, and the market is considered still active, they are valued at the last transaction price before year-end. Such securities are classified within Level 1 of the valuation hierarchy.

Investments in real estate are valued based on independent appraisals and county tax records and are classified within Level 2 of the valuation hierarchy.

Investments in hedge funds are valued at the estimated exit price as of June 30, 2015 and 2014. The Foundation's estimate of the exit price is based upon the net asset value of the Foundation's interest as reported by the investee. The net asset value is the amount the Foundation would expect to receive in liquidation after the satisfaction of all investee liabilities, which serves as a practical expedient to determine the fair value of the funds. These investments are classified as Level 3 of the valuation hierarchy.

Beneficial interest in charitable remainder trusts are valued at the market price of the investments and are classified as Level 3 of the valuation hierarchy. While the Foundation has access to a detailed listing of the underlying assets held in these trusts, the majority of which are publically traded and readily available in active markets, the beneficial interests are determined through discounted cash flow analysis.

The following tables present assets measured at fair value by classification within the fair value hierarchy as of June 30, 2015 and 2014, respectively:

	Financial Assets at Fair Market Value as of June 30, 2015			
	Level 1	Level 2	Level 3	Total
Investments in marketable securities	\$ 12,750,276	\$ -	\$ -	\$ 12,750,276
Investments in real estate	-	221,252	-	221,252
Investments in hedge funds	-	-	647,808	647,808
Total	\$ 12,750,276	\$ 221,252	\$ 647,808	\$ 13,619,336
Beneficial interest in charitable remainder trusts	\$ -	\$ -	\$ 636,212	\$ 636,212

4. Fair Value Measurements (Continued)

	Financial Assets at Fair Market Value as of June 30, 2014			
	Level 1	Level 2	Level 3	Total
Investments in marketable securities	\$ 12,575,769	\$ -	\$ -	\$ 12,575,769
Investments in real estate	-	221,252	-	221,252
Investments in hedge funds	-	-	613,785	613,785
Total	<u>\$ 12,575,769</u>	<u>\$ 221,252</u>	<u>\$ 613,785</u>	<u>\$ 13,410,806</u>
Beneficial interest in charitable remainder trusts	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 684,210</u>	<u>\$ 684,210</u>

Management determines the fair value measurement valuation policies and procedures, including those for Level 3 recurring and nonrecurring measurements. The Foundation's Board of Directors assesses and approves these policies and procedures. At least annually, management: (1) determines if the current valuation techniques used in fair value measurements are still appropriate, and (2) evaluates and adjusts the unobservable inputs used in the fair value measurements based on current market conditions and third-party information.

The following is a reconciliation of the beginning and ending balances of assets measured at fair value on a recurring basis using significant unobservable (Level 3) inputs during the years ended June 30, 2015 and 2014:

	2015	2014
Balance, beginning of year	\$ 1,297,995	\$ 1,206,202
Purchases	63,435	49,148
Net unrealized gains (losses)	(29,412)	(6,265)
Change in value of split interest agreements	<u>(47,998)</u>	<u>48,910</u>
Balance, end of year	<u>\$ 1,284,020</u>	<u>\$ 1,297,995</u>

Realized and unrealized gains and losses applicable to instruments valued using significant unobservable inputs (Level 3) shown above are included in the change in net assets for 2015 and 2014 reported in the Statements of Activities.

Quantitative Information about Significant Unobservable Inputs Used in Level 3 Fair Value Measurements

The following table represents the Foundation's Level 3 financial instruments, the valuation techniques used to measure the fair value of those financial instruments, and the significant unobservable inputs and ranges of values for those unobservable inputs.

4. Fair Value Measurements (Continued)

<u>Significant Unobservable Inputs at June 30, 2015</u>				
<u>Fair Value</u>	<u>Principal Valuation Technique</u>	<u>Unobservable Inputs</u>	<u>Range of Significant Input Values</u>	
Investments in hedge funds	\$ 647,808	Fundamental Analysis	NAV*	N/A
Beneficial interest in charitable remainder trusts	636,212	Discounted Cash Flows	Payout Rate Discount Rate	1-10% 1-13.1%

<u>Significant Unobservable Inputs at June 30, 2014</u>				
<u>Fair Value</u>	<u>Principal Valuation Technique</u>	<u>Unobservable Inputs</u>	<u>Range of Significant Input Values</u>	
Investments in hedge funds	\$ 613,785	Fundamental Analysis	NAV*	N/A
Beneficial interest in charitable remainder trusts	684,210	Discounted Cash Flows	Payout Rate Discount Rate	1-10% 1-9.7%

*Net asset value allocated to the fund

The following tables summarize the Foundation's alternative investments at June 30, 2015 and 2014, which consist solely of hedge funds:

<u>Alternative Investments at June 30, 2015</u>				
<u>Fair Value</u>	<u>Unfunded Commitments</u>	<u>Redemption Frequency (if currently available)</u>	<u>Redemption Notice Period</u>	
Hedge Funds:				
AIP Global	\$ <u>647,808</u>	\$ <u> </u> -	Monthly	30 days

<u>Alternative Investments at June 30, 2014</u>				
<u>Fair Value</u>	<u>Unfunded Commitments</u>	<u>Redemption Frequency (if currently available)</u>	<u>Redemption Notice Period</u>	
Hedge Funds:				
AIP Global	\$ <u>613,785</u>	\$ <u> </u> -	Monthly	30 days

The Foundation invests in alternative investment vehicles as a hedge against broader market risks by further diversifying the portfolio holdings. The hedge fund investments pursue a variety of hedging strategies.

4. Fair Value Measurements (Continued)

The Foundation invests in various types of investment securities which are exposed to various risks, such as interest rate, market, and credit risk. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term, and that such changes could materially affect the amounts reported in the Statements of Financial Position.

5. Real Estate Held for Investment

The real estate, recorded at appraised value on the dates received and adjusted for changes in fair value, consists of 164 acres in Carteret County; three residential lots in the Brook Valley subdivision, and one lot in the River Hills subdivision; two lots in the Rolling Pines subdivision in Washington County; and a time share located in Horry County, South Carolina.

	<u>2015</u>	<u>2014</u>
Carteret County, North Carolina	\$ 159,402	\$ 159,402
Pitt County, North Carolina	50,750	50,750
Washington County, North Carolina	10,600	10,600
Horry County, South Carolina	<u>500</u>	<u>500</u>
Total	<u>\$ 221,252</u>	<u>\$ 221,252</u>

6. Temporarily and Permanently Restricted Net Assets

Temporarily restricted net assets at June 30, 2015 and 2014 are available for the following purposes:

	<u>2015</u>	<u>2014</u>
Scholarships	\$ 4,853,093	\$ 5,151,753
Support of various programs	499,944	285,949
Facility enhancements	<u>5,288,626</u>	<u>12,637,627</u>
Total	<u>\$ 10,641,663</u>	<u>\$ 18,075,329</u>

Permanently restricted net assets at June 30, 2015 and 2014 are restricted to investment in perpetuity, the income from which is expendable to support:

	<u>2015</u>	<u>2014</u>
Scholarships	\$ 8,647,556	\$ 8,063,101
Student development	<u>1,000,000</u>	<u>1,000,000</u>
Total	<u>\$ 9,647,556</u>	<u>\$ 9,063,101</u>

6. Temporarily and Permanently Restricted Net Assets (Continued)

Net assets totaling \$8,232,964 and \$4,849,356 were released from donor restrictions in 2015 and 2014, respectively, by incurring expenses satisfying the restricted purposes, or by the passage of time.

	<u>2015</u>	<u>2014</u>
Facility enhancement	\$ 7,317,756	\$ 4,135,686
General and administrative	117,220	87,865
Program development	<u>797,988</u>	<u>625,805</u>
Total	<u>\$ 8,232,964</u>	<u>\$ 4,849,356</u>

7. Endowments

The Foundation follows the guidance for endowments of Not-For-Profit Organizations, which includes a requirement to classify the portion of a donor-restricted endowment fund that is not classified as permanently restricted net assets as temporarily restricted net assets until appropriated for expenditure. This guidance also requires expanded disclosures for all endowment funds.

The Foundation's endowment consists of twenty-six individual funds established for a variety of purposes. Endowments include donor-restricted endowment funds. As required by GAAP, net assets associated with endowment funds, including funds designated by the Board to function as endowments, are classified and reported based on the existence of donor-imposed restrictions.

Interpretation of Relevant Law

The Foundation's management has interpreted the Uniform Prudent Management of Institutional Funds Act (UPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Board classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure, by the Foundation, in a manner consistent with the standard of prudence prescribed by UPMIFA.

7. Endowments (Continued)

Interpretation of Relevant Law (Continued)

In accordance with UPMIFA, the Foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

- (1) The duration and preservation of the fund;
- (2) The purposes of the organization and the donor-restricted endowment fund;
- (3) General economic conditions;
- (4) The possible effect of inflation and deflation;
- (5) The expected total return from income and the application of investments;
- (6) Other resources of the institution; and
- (7) The investment policies of the organization.

Return Objectives and Risk Parameters

The Foundation has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowments while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Foundation must hold in perpetuity. Under this policy, as approved by the Foundation Board of Directors, the endowment assets are invested in a manner that is intended to produce results that exceed the rate of inflation as measured by the annual Consumer Price Index plus the annual spending distribution and fees as adopted by the Board. Actual returns in any given year may vary from this amount.

Strategies Employed for Achieving Objectives

To satisfy its long-term rate of return objectives, the Foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Foundation targets a diversified asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

Spending Policy and How the Investment Objectives Relate to Spending Policy

The Foundation has a policy of appropriating for distribution each year a five percent (5%) allocation based on its year-end endowment fund's twelve-month weighted average balance inclusive of the current year investment return. In establishing this policy, the Foundation considered the long-term expected return on its endowment.

7. **Endowments (Continued)**

Endowment net asset composition by fund type as of June 30:

	2015			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Donor-restricted funds	\$ -	\$ 4,853,092	\$ 9,011,344	\$ 13,864,436

	2014			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Donor-restricted funds	\$ -	\$ 5,151,754	\$ 8,378,891	\$ 13,530,645

Changes in endowment net assets for the fiscal years ended June 30:

	2015			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Endowment net assets, beginning of year	\$ -	\$ 5,151,754	\$ 8,378,891	\$ 13,530,645
Investments income (including realized and unrealized gains and losses)	-	311,785	-	311,785
Contributions	-	-	595,187	595,187
Change in value of life insurance	-	-	49,591	49,591
Scholarship expense	-	(610,447)	-	(610,447)
Other changes	-	-	(12,325)	(12,325)
Endowment net assets, end of year	\$ -	\$ 4,853,092	\$ 9,011,344	\$ 13,864,436

	2014			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Endowment net assets, beginning of year	\$ -	\$ 3,572,385	\$ 8,147,106	\$ 11,719,491
Investments income (including realized and unrealized gains and losses)	-	2,139,369	-	2,139,369
Contributions	-	-	160,547	160,547
Change in value of life insurance	-	-	92,767	92,767
Scholarship expense	-	(560,000)	-	(560,000)
Other changes	-	-	(21,529)	(21,529)
Endowment net assets, end of year	\$ -	\$ 5,151,754	\$ 8,378,891	\$ 13,530,645

7. Endowments (Continued)

In addition, the Foundation, under the direction of the Board of Directors, established quasi-endowments for scholarships within the board designated unrestricted net assets. The activity in the quasi-endowments is as follows:

	<u>2015</u>	<u>2014</u>
Quasi-endowment net assets, beginning of year	\$ 519,590	\$ 432,990
Investment income (including realized and unrealized gains and losses)	<u>14,205</u>	<u>86,600</u>
Quasi-endowment net assets, end of year	<u>\$ 533,795</u>	<u>\$ 519,590</u>

8. Permanently Restricted Net Assets

Permanently restricted net assets at June 30, 2015 and 2014 relate to the following:

	<u>2015</u>	<u>2014</u>
Endowments	\$ 9,011,344	\$ 8,378,891
Beneficial interest in charitable remainder trusts	<u>636,212</u>	<u>684,210</u>
Total permanently restricted net assets	<u>\$ 9,647,556</u>	<u>\$ 9,063,101</u>

Included in the endowment amounts above are net unconditional promises to give of \$392,937 and \$533,925 at June 30, 2015 and 2014, respectively.

9. Related Party Transactions**East Carolina University**

The University provides certain support such as accounting, fundraising, general administrative services, and the use of facilities and equipment for the benefit of the Foundation. These contributed services and facilities have been recognized in the accompanying Statements of Activities as contributions and expenses at their estimated value. The amount of these contributed services and facilities for the years ended June 30, 2015 and 2014 was \$244,738 of \$681,154 total contributed services, and \$200,684 of \$571,301 total contributed services, respectively.

The Foundation accrued expenses of \$304,162 and \$557,856 at June 30, 2015 and 2014, respectively, owed to the University.

East Carolina University Foundation, Inc.

The East Carolina University Foundation, Inc. leased a piece of property to the Foundation under a 3-month lease agreement, expiring July 31, 2013, for \$2,500 per month. The lease was extended for an additional three months expiring October 31, 2013, as allowed by the lease agreement.

At June 30, 2015 and 2014, the Foundation had accounts receivable from the East Carolina University Foundation, Inc. in the amount of \$43. These receivables are included in other receivables on the Statements of Financial Position.

10. Functional Expenses

The costs of providing the various programs and activities have been summarized on a functional basis in the Statements of Activities. The following summarizes these expenses based on their natural classification:

	2015			
	<u>Contributions to ECU</u>	<u>Management and General</u>	<u>Fund Raising</u>	<u>Total</u>
Personnel services	\$ -	\$ 1,422	\$ 4,382	\$ 5,804
Supplies and materials	316,997	182,982	67,659	567,638
Current services	161,912	1,862,532	361,436	2,385,880
Fixed charges	153,886	234,910	23,988	412,784
Aids and grants	256,479	-	-	256,479
Facility enhancement	7,322,756	-	-	7,322,756
Scholarships	5,945,715	-	-	5,945,715
Other expenses	21,443	-	-	21,443
Total expenses	<u>\$ 14,179,188</u>	<u>\$ 2,281,846</u>	<u>\$ 457,465</u>	<u>\$ 16,918,499</u>
	2014			
	<u>Contributions to ECU</u>	<u>Management and General</u>	<u>Fund Raising</u>	<u>Total</u>
Personnel services	\$ -	\$ -	\$ 6,084	\$ 6,084
Supplies and materials	150,920	138,108	62,537	351,565
Current services	211,114	1,643,592	336,491	2,191,197
Fixed charges	163,898	230,919	25,448	420,265
Aids and grants	254,905	-	-	254,905
Facility enhancement	4,135,686	-	-	4,135,686
Scholarships	5,898,300	-	-	5,898,300
Other expenses	23,768	-	-	23,768
Total expenses	<u>\$ 10,838,591</u>	<u>\$ 2,012,619</u>	<u>\$ 430,560</u>	<u>\$ 13,281,770</u>

Expenses of the Foundation reported in the Statements of Activities are categorized as relating to program services, general and administrative, and fund-raising. Under program services, expenses further categorized as expenses of the Foundation relating to program development, scholarships, and facility enhancements, relate to expenditures made by the Foundation or on behalf of the University's athletics program. General and administrative expenses relate to those expenditures incurred by the Foundation in its day-to-day operation. Lastly, expenses reported as fund-raising relate to expenses incurred by the Foundation or by its twenty-nine community chapter organizations in providing various friend-raising and fund-raising events. For the fiscal year ended June 30, 2015, \$83,467 of the \$457,465 in fund-raising expenditures reported was incurred by the twenty-nine community chapters. For the fiscal year ended June 30, 2014, \$94,182 of the \$430,560 in fund-raising expenditures reported was incurred by the twenty-nine community chapters.

11. Leases

The Foundation leases vehicles from non-related entities under operating leases with maturities ranging from September 2015 through May 2018 with monthly payments ranging from \$247 to \$618 at June 30, 2015.

On July 31, 2010, the Foundation began leasing real property from a non-related entity under an operating lease with a maturity of July 2020 and monthly payments ranging from \$7,000 to \$7,700 over the life of the lease.

The following is a schedule of future minimum rental lease payments at June 30, 2015:

<u>Year</u>	<u>Future Minimum Lease Payments</u>
2016	\$ 121,199
2017	102,749
2018	98,584
2019	92,400
2020	92,400
Thereafter	<u>7,700</u>
Total	<u>\$ 515,032</u>

12. Leasehold Improvements

Leasehold improvements for property leased consist of the following at June 30:

	<u>Estimated Useful Life</u>	<u>2015</u>	<u>2014</u>
Improvements	3-10 years	\$ 281,408	\$ 281,408
Less amortization		<u>172,408</u>	<u>150,966</u>
Total		<u>\$ 109,000</u>	<u>\$ 130,442</u>

13. Concentration of Credit Risk**Financial Institutions**

The Foundation has deposits with two financial institutions that, at times, may exceed federal depository insurance limits. Deposits at the financial institutions were \$40,373 and \$160,823 at June 30, 2015 and 2014, respectively. The Foundation has deposits with eleven different financial institutions that total \$53,796 and \$53,622 at June 30, 2015 and 2014, respectively.

13. Concentration of Credit Risk (Continued)

State of North Carolina Short-Term Investment Fund (STIF Account)

The Foundation deposits substantially all of its funds not otherwise invested, into the State of North Carolina Short-Term Investment Fund (“STIF account”) that is managed by the North Carolina State Treasurer. This portfolio fund is the primary cash management account for the State and is managed to allow funds to be readily convertible in cash. The North Carolina Administrative Code requires depositories to collateralize all balances that are not insured and must maintain specified security types in a third party escrow account designated by the State Treasurer. The securities collateral must be governmental in origin or the highest grade commercial paper and bankers’ acceptances. The market value of the collateral must not be less than the value of the uninsured deposits; therefore, as of June 30, 2015 and 2014, the Foundation’s STIF account deposits would not be exposed to custodial credit risk.

Investment Brokerage Accounts

The Securities Investor Protection Corporation (SIPC) insures investments with registered brokers up to \$500,000, of which \$250,000 may be cash. Insurance protects assets held in the case of broker-dealer insolvency and not against decline in market values. As of June 30, 2015 and 2014, the Foundation has investments in excess of the SIPC insurance amount.

**Operating Agreement
of
East Carolina University
and East Carolina University Educational Foundation, Inc.**

This Operating Agreement (Agreement) is made between East Carolina University (University) and the East Carolina University Educational Foundation, Inc. (Foundation).

RECITALS

University is an institution of higher education; and

Foundation is a North Carolina nonprofit corporation qualified under Section 501(c)(3) of the Internal Revenue Code and exists for the purposes of aiding and promoting educational and charitable purposes and lawful activities of University; and

University has officially recognized Foundation as satisfying the standards and eligibility requirements as a supporting associated entity set forth in University of North Carolina and University rules and regulations; and,

The parties previously executed an operating agreement on April 25, 2007 formalizing the relationship between University and Foundation by setting forth the manner in which University and Foundation were to provide support to each other, which relationship the parties desire to amend and extend under the terms provided in this Agreement.

TERMS

In consideration of the mutual covenants, promises and conditions herein contained, and for good and valuable consideration the adequacy of which is hereby acknowledged, University and Foundation agree as follows:

1.0 Foundation Support of University.

- 1.1 The Foundation's sole purpose is to provide support to University's Division I Varsity Athletics Program. In accordance with Foundation's governing documents, that support includes, but is not limited to:
 - 1.1.1 Raising, receiving, investing, and administering funds for University in support of its intercollegiate athletics program;
 - 1.1.2 Assisting the Office of University Advancement in its fundraising, marketing, public relations and alumni outreach activities and development programs with individuals, corporations, foundations, and other organizations;
 - 1.1.3 Soliciting funds for student-athlete scholarships, athletics facilities improvements, and other programmatic needs of University's Athletics program;
 - 1.1.4 Promoting the welfare and future development of University's Athletics Program;

- 1.1.5 Performing other acts as may be deemed appropriate in carrying out the purposes of University's Athletics Program, and
- 1.1.6 or other designated activities that are in furtherance of the mission of University's Athletics Program.

2.0 Use of University Name.

- 2.1 Foundation may, in connection with its lawful business and activities, use the name of University as well as University's logo, informal seal, and other symbols and marks of University, provided that Foundation clearly communicates that it is conducting business in its own name for the benefit of University. All correspondence, advertisements, and other communications by Foundation must clearly indicate that the communication is by Foundation and not from University. Foundation shall use the name of University as well as University's logo, informal seal, and other symbols and marks of University only in connection with the services rendered for the benefit of University and in accordance with the guidance and directions furnished to Foundation by University, or its representatives or agents, from time to time, and only if the nature and quality of the services in connection with which the aforesaid logo, seal, and other symbols and marks are used shall be satisfactory to University or as specified by it. University shall exercise control over and be the sole judge of whether or not Foundation has met or is meeting the standards of quality so established. The parties intend to execute a licensing agreement to establish more detailed parameters for Foundation's use of University's logo, seal, and other symbols and marks.
- 2.2 Foundation shall not delegate the authority to use University's name or symbols to any person or entity without the written approval of the Chancellor of East Carolina University (Chancellor).
- 2.3 Foundation agrees to cease using University's name and symbols in the event:
 - 2.3.1 Foundation dissolves;
 - 2.3.2 This Agreement is terminated as provided below (unless the parties agree otherwise); or,
 - 2.3.3 Foundation ceases to be a nonprofit corporation or ceases to be recognized by the Internal Revenue Service as described in section 501(c)(3) of the Internal Revenue Code.
 - 2.3.4 The Chancellor revokes such authority for failure to conform with the requirements of section 2.1, above. Such revocation shall not occur until after Foundation is provided notice of its failure to conform and a reasonable opportunity to cure such non-conformance.
- 2.4 Notwithstanding the provisions of section 2.1, Foundation agrees that it will not offer any course or seminar using University's name without first obtaining written permission from the Chancellor.

3.0 Relationship between Foundation and University.

- 3.1 University agrees to encourage and maintain the independence of Foundation and, at the same time, foster the cooperative relationship between University and Foundation.
- 3.2 The Chancellor shall be an ex officio voting member of Foundation's Executive Committee.
- 3.3 The Vice Chancellor for Administration and Finance, or the Vice Chancellor's designee, shall be an ex officio voting member of Foundation's Executive Committee, and shall serve as Executive Treasurer of the Foundation.
- 3.4 The University Director of Athletics shall be an ex officio voting member of Foundation's Executive Committee.
- 3.5 The Faculty Athletics Representative shall be an ex-officio voting member of Foundation's Executive Committee.
- 3.6 Other university employees may serve as ex-officio members of Foundation's governing board, with or without vote, as specified by Foundation's bylaws.
- 3.7 Foundation agrees to cooperate with the Chancellor and/or the Chancellor's designee to allow University to monitor the relationship between University and Foundation.
- 3.8 The Executive Committee of the Foundation shall be responsible for control and management of all assets of Foundation, including prudent management of all gifts to Foundation consistent with donor intent.
- 3.9 Foundation will maintain an audit committee which does not have any employees of University or of Foundation as a member. This committee will receive and review the annual audit of the Foundation and relevant annual tax forms to be submitted by the Foundation. If practical, the Foundation will ensure a financial expert is a member of the audit committee.

4.0 Foundation's Obligation to University.

- 4.1 Foundation agrees, before accepting gifts of real estate, or gifts with any restrictive terms and/or conditions that impose an obligation on the University or the State of North Carolina to expend resources in addition to the gift, to obtain written approval from the Vice Chancellor for Administration and Finance and the Director of Athletics unless such gift otherwise complies with University's gift acceptance policy which may then be in force and effect. In addition, Foundation agrees that it will not accept a gift that has any

restriction that is unlawful. In soliciting and accepting gifts in the name of the University, Foundation agrees to coordinate with University's Division of University Advancement.

- 4.2 Foundation agrees to advise prospective donors of restricted gifts that acceptance of such gifts is conditioned upon University's approval if the gift requires University approval under section 4.1.
- 4.3 Foundation agrees to coordinate with the University's Division of University Advancement comprehensive fund raising campaign efforts undertaken by University and its other approved associated entities.
- 4.4 Foundation shall make its donor records and other data reasonably available to University in accordance with existing University guidelines and UNC regulations and as otherwise required by applicable law. Notwithstanding the foregoing, Foundation shall maintain ownership of and control access to any prospect and donor information it collects and these records shall constitute a trade secret under N.C. Gen. Stat. § 132-1.2. Foundation shall appoint an officer or member of its governing board who is not employed by the University of North Carolina to be custodian of these records and employees of University will have access to them only for the purpose of providing services to the Foundation. Foundation agrees that it will establish and maintain a policy governing the retention and destruction of documents, including electronic files, and which prohibits destruction of documents if an investigation into wrongdoing or litigation is anticipated or underway.
- 4.5 Foundation shall administer its funds and make distributions to University's Athletics Program in accordance with policies and procedures established by the Foundation from time to time, with advice and counsel from University. Foundation agrees that all transfers of funds from Foundation to University's Athletics Program must be documented in writing or electronically in a form that has a retrievable transaction trail.

5.0 Limitations on the Foundation.

- 5.1 Foundation agrees to operate using sound fiscal and business principles, to ensure that sound internal control structures are in place, and to follow generally accepted accounting procedures.
- 5.2 Foundation will submit an annual operations and capital budget to the Executive Committee for its approval.
- 5.3 Foundation agrees not to make any payments to a University employee and not to accept or distribute a gift to be used for the personal benefit of any University employee, except for approved expense reimbursements, without prior approval from the Chancellor of the University or the Chancellor's designee. All salary

and non-salary compensation of employees of the Foundation will be approved in advance by the Executive Committee of the Foundation.

- 5.4 Foundation officers and employees who have check signing authority or who handle cash or negotiable instruments must be bonded in an amount determined to be reasonable by the Foundation board.
- 5.5 Foundation must obtain general liability and directors/officers insurance in an amount determined to be reasonable by the Foundation board.
- 5.6 Foundation must not engage in substantial lobbying activities and may not engage in any political activities.
- 5.7 Foundation may not acquire debt in excess of five hundred thousand dollars (\$500,000.00) before consulting with the University's Director of Athletics and the Chancellor and Vice Chancellor for Administration and Finance, who will consult the Vice President of Finance of the University of North Carolina.

6.0 University Support of and Obligations to Foundation.

- 6.1 University shall provide Foundation with office space under such terms and at such locations as are mutually acceptable, including utilities, janitorial service, facilities maintenance, furniture and fixtures, and use of campus mail service.
- 6.2 University shall provide an Employees Dishonesty bond in an amount determined from time to time by the parties for any University employee providing substantial services to Foundation.
- 6.3 University shall provide business systems to Foundation in a manner and form mutually acceptable to both parties. Business systems include all systems for: a) finance and accounting; b) the alumni database; c) gift records; and d) other business systems as deemed necessary between the parties to support Foundation. In providing business systems, University will provide all underlying supplies and services for provided systems, including but not limited to computer equipment (computer hardware/software/servers), IT services (programming/technical support/networking/internet access), and communication services (e-mail and telephone system). Foundation acknowledges that University may access any and all such systems and information thereon or generated thereby for repair, maintenance, upgrades, and other technological changes and for investigatory purposes when and to the extent consistent with University policy.
- 6.4 East Carolina University employees holding positions designated to serve the Foundation pursuant to N.C. Gen. Stats. Sec. 116-30.20 shall be subject to all applicable law and policies of East Carolina University, the University of North Carolina, and the State of North Carolina (collectively referred to as "Applicable

Law and Policies”). The University shall ensure that the scope of the duties for each employee in a position so designated to serve the Foundation and the manner in which those duties are performed meet or exceed the stated needs and performance standards established by the Executive Committee of the Foundation in consultation with the Chancellor. Whenever there is a conflict between the Foundation and the University, said employees shall be responsible for performing his or her duties in compliance with the Applicable Law and Policies.

- 6.5 All services provided to Foundation by University will be classified as either Reimbursed Services or Contributed Services. Reimbursed services are those to be reimbursed to University by Foundation and contributed services are those being contributed to Foundation by University. In consultation with University, Foundation will prepare an annual operating budget that identifies all services to be provided to Foundation by University, the respective value of those services, and, as mutually agreed upon between the parties, the classification of each service as either reimbursed or contributed.
- 6.6 University shall provide reasonable support to Foundation including personnel services consistent with the support outlined above and based upon an annual budget plan agreed to by the parties.
- 6.7 When University’s Athletics Program receives funds from Foundation for a specified or restricted purpose, University’s Athletics Program agrees to use such funds received for the specific or restricted purpose to the extent allowed by applicable law.
- 6.8 Foundation agrees that when University personnel provide services for the Foundation and there arises a conflict between University and the Foundation, the University employee must comply with the policies, regulations, and directives of the University; provided that said employee shall notify the Foundation in ample time to remedy the conflict or approve the intended action when feasible. If prior notification is not feasible, the Foundation shall be promptly notified in writing of the conflict and action taken.

7.0 Foundation Audits, Legal Representation, and Reporting.

- 7.1 Foundation agrees to select a certified public accounting (“CPA”) firm, to serve as Foundation’s independent auditor and to complete a full and complete annual audit of its finances and operations. Foundation agrees to notify University within thirty (30) days if it selects a different auditor. Foundation agrees that any CPA firm providing an annual audit of the Foundation will be used only for audit purposes and will not provide any non-auditing service to the Foundation except for tax preparation services that are approved in advance by the Foundation’s audit committee.

- 7.2 Foundation agrees to provide to the Chancellor:
- 7.2.1 Upon completion, the annual audit report, management letters and responses to management letters, and the Foundation's IRS Form 990;
 - 7.2.2 The list of Foundation governing board, officers, and employees immediately upon a change in membership, officers, or employment status;
 - 7.2.3 The names of the officers and governing board members of all Foundation associated or affiliated entities immediately upon a change in officers or in board membership;
 - 7.2.4 An annual report of operations that shows actual versus budgeted revenues and expenditures annually concurrent with the provision of the annual audit report referenced in subsection 7.2.1 of this section.
- 7.3 Foundation agrees to allow the Chancellor, the chair of the East Carolina University Board of Trustees, or the chair's or the Chancellor's designee, to inspect and audit all foundation books and records [that are relevant to an articulated legitimate reason] at reasonable times, and to provide timely such other reports of and information on its financial status and operations as required by the Chancellor.
- 7.4 North Carolina's State Auditor and ECU's internal auditor shall be provided access to persons and records that are generated as a result of, or are related to, the Agreement for the purposes of verifying accounts and data affecting fees or performance in accordance with N.C. General Statutes § 147-64.7 and N.C. Session Laws 2010-194, Section 21.

8.0 Conflicts of Interest.

Foundation will establish and maintain conflicts of interest policies pertaining to its relationship with University, members of the governing board and persons doing business with Foundation. Such policies shall provide that (a) all transactions (other than expense reimbursements set forth in 5.3), between Foundation and an officer, director, or employee of Foundation, must be approved by the Foundation Board; (b) no Foundation officer, director, or employee having a private business interest in a Foundation business transaction may be involved in the decision with respect to whether the Foundation should enter into such transaction; (c) no Foundation scholarship or fellowship award may be made to an officer, director, or employee of the Foundation or to a family member of such person unless the recipient of the award is approved by an independent awards committee established by Foundation according to Foundation by-laws.

9.0 Compliance with UNC and University policies and regulations and Foundation Bylaws.

Both University and Foundation agree to comply with the policies and regulations of the University of North Carolina Board of Governors, the East Carolina University Board of Trustees, the President of the University of North Carolina and the Chancellor pertaining to the relationship between University and associated entities, including amendments thereto. University shall provide Foundation with proposed amendments to such policies and regulations as soon as possible but, where practicable, not less than ninety (90) days prior to their effective date. Foundation agrees to provide University with a copy of its Bylaws and shall provide any proposed amendments as soon as possible but in no event less than ninety (90) days prior to the meeting of the Foundation at which they are considered for adoption.

Foundation agrees to abide by applicable bylaws, regulations, rules, and policies of the National Collegiate Athletic Association and any athletic conference in which University may be a member.

10. Effect of Agreement; Modification.

This Agreement (and its attachments, if any) contains all the terms between the parties and may be amended only in writing signed by an authorized representative of both parties.

11. Confidentiality.

Neither Foundation nor University shall disclose or use any private, confidential, proprietary, or trade secret information provided from one to the other except as required in and by the terms of this Agreement or as required by law. Foundation recognizes the obligation of University to comply with North Carolina Public Records laws.

12. Indemnification.

Foundation shall indemnify and hold harmless University, its governing board, officers, employees, agents, and students in their official and personal capacities, from and against any and all claim, damage, liability, injury, expense, demands, and judgments, including court costs and attorney's fees, arising out of Foundation's performance of this Agreement to the extent any such claim, damage, liability, injury, expense, demand or judgment is caused by the Foundation or any University employee acting at the direction of the Foundation Board or the Chair of the Foundation Board. This provision shall continue beyond termination or expiration of this Agreement.

University will be responsible for the conduct of its officers and employees arising out of the performance of this Agreement to the extent permitted and limited by the laws of North Carolina, including the North Carolina Tort Claims Act, the Defense of State Employees Act, and the Excess Liability Policy administered through the North Carolina Department of Insurance, subject to the availability of appropriations and in proportion to and to the extent that such liability for damages is caused by or results

from the acts of University, its officers or employees. This provision shall continue beyond termination or expiration of this Agreement.

13. Term and Termination.

13.1 The initial term of this Agreement shall be 5 years from the date of execution and shall be automatically renewed for successive 5 year terms, unless and until either party gives notice in writing to the other party of its intent not to renew the Agreement at least one hundred eighty (180) days prior to the beginning of a new term.

13.2 Either party shall have the continuing right to terminate this Agreement at any time without cause upon one hundred eighty (180) days written notice to the other party. Such termination of this agreement by the University must be approved by the Chancellor. Such termination of this agreement by the Foundation must be approved by the Executive Committee of the Foundation.

13.3 University may terminate this agreement at any time if the Foundation fails to abide by the policies or regulations of University or of the University of North Carolina which govern the relationship between University and the Foundation. Alternatively, Foundation may terminate this agreement at any time if University fails to abide by its own policies or regulations which govern the relationship or the terms of the Agreement. Notwithstanding the foregoing, the parties agree that the provisions of Section 12 and 14 of this Agreement shall survive the termination of this Agreement in any event and for any reason.

14. Dissolution.

It is the intent of the Foundation that it have perpetual existence. In the event of dissolution of the Foundation, either voluntary or involuntary, all assets and property which remain after the discharge of the Foundation's liabilities and unless otherwise designated by the donor of an asset shall be paid over or distributed by the Foundation's Executive Committee to University's Athletics Program or to any other nonprofit corporation or corporations organized to support University's Athletics Program as determined by the Executive Committee in its sole discretion, and shall be used or distributed for no other object or purpose whatsoever; provided, however, that any such organization must be exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code, as amended and be an associated entity approved by the University pursuant to regulations of the University of North Carolina. This provision shall continue beyond termination or expiration of this Agreement.

15. Compliance with Applicable Law and Non-Discrimination.

15.1 Foundation agrees to comply with all executive orders, federal, state and local rules, regulations, and laws, applicable to Foundation as currently in effect and as may be amended from time to time. Foundation further agrees not to discriminate

in any manner on the basis of sex, race, creed, age, color, national origin, religious belief, disability, veteran status, genetic information or sexual orientation, and to comply with all non-discriminatory laws and policies that University promulgates and to which Foundation is subject.

15.2 Foundation will maintain a confidential and anonymous mechanism to encourage employees to report any inappropriateness within the entity's financial or other management and will not punish or retaliate against any employee for reporting problems.

16. Notice.

Any notice to either party hereunder must be in writing signed by the party giving it, and shall be deemed given when mailed postage prepaid by U.S. Postal Service first class, certified mail, or other overnight mail service, or hand delivered, when addressed as follows:

To University:

East Carolina University
Attn: Vice Chancellor for University Advancement
2200 South Charles Boulevard
Greenville, NC 27858

East Carolina University
Attn: Chancellor
105 Spilman Building
East Fifth Street
Greenville, NC 27858

East Carolina University
Attn: Director of Athletics
365 Ward Sports Medicine Building
Greenville, NC 27858

East Carolina University
Attn: University Attorney
210 Spilman Building
East Fifth Street
Greenville, NC 27858

To Foundation:

The Executive President of Foundation as that person may be elected from time to time and as noticed to University pursuant to paragraph 7.2.2 of this Agreement

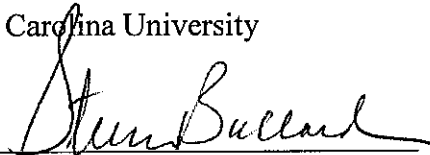
and

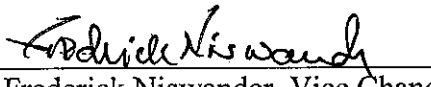
Walter L. Hinson
Counsel to the Foundation
Hinson & Rhyne, P.A.
Wilson, NC 27895

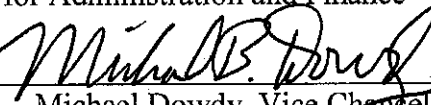
Or to such other addressee as may be hereafter designated by written notice.

IN WITNESS WHEREOF, East Carolina University and the authorized representative(s) of East Carolina University Educational Foundation, Inc., have executed this Agreement on this 30th day of March, 2012.

East Carolina University

By 
Steve Ballard, Chancellor

By 
Frederick Niswander, Vice Chancellor
for Administration and Finance

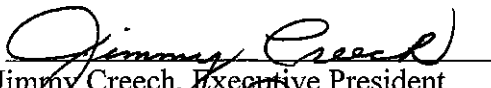
By 
Michael Dowdy, Vice Chancellor
For University Advancement

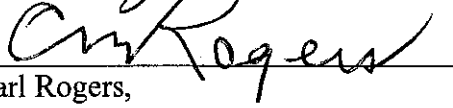
ATTEST:

BY: _____

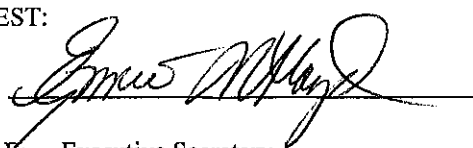
TITLE: _____

East Carolina University Educational
Foundation, Inc.

By 
Jimmy Creech, Executive President

By 
Carl Rogers,
Executive Vice President

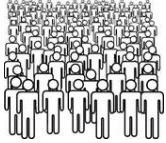
ATTEST:

BY: 

TITLE: Executive Secretary

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Dr. Ying Zhou
Agenda Item	II. D.
Item Description	Enrollment Update
Comments	
Action Requested	Information
Disposition	
Notes	



ECU CENSUS FALL 2016

- Total Headcount: 28,962 (up 2.4% from Fall 2015)
 - Undergraduate students: 22,969 (down from 23,039 in F15)
 - Graduate students: 5,993
 - Up 14%, with post-baccalaureate certificate students reclassified as graduate students
 - Up 8%, without post-baccalaureate certificate students

- New students
 - New first-time UG: 4,320 (up from 4,302 in F15)
 - Average ACT: 23
 - Average SAT: 1056
 - Average HS GPA, unweighted: 3.27
 - Average HS GPA, weighted: 3.79
 - New undergraduate transfers: 1,866 (up 7.5% from F15)
 - New graduate students: 2,341 (includes dental & medical)
 - Up 17% with post-baccalaureate certificate students reclassified as graduate students;
 - Up 4% without post-baccalaureate certificate students

- Total enrollment by gender
 - Female: 17,118 (59%)
 - Male: 11,844 (41%)

- Total enrollment by residence
 - In-state: 25,635 (88.5%)
 - Out-of-state: 3,327 (11.5%)

- By enrollment status
 - Full-time: 22,366 (77%)
 - Part-time: 6,596 (23%)

NOTES:

- Beginning Fall 2016, post-baccalaureate certificate students are classified at the graduate level.
- The number of out-of-state graduate students increased by 7% between F15 & F16.
- The number of BSUS majors increased by 30% between F15 & F16 and more than doubled in size between F14 & F15.

Athletics

East Carolina University

Student-Athlete Achievements

2016 American Athletic Conference Recognitions



Commissioner's Postgraduate Leadership Award

Julian Dodu:
Men's Swimming and Diving



Scholar-Athlete Sport Excellence Award

Bailie Monahan:
Women's Swimming and Diving



American Athletic Conference Team Academic Excellence Award

Baseball
Women's Golf

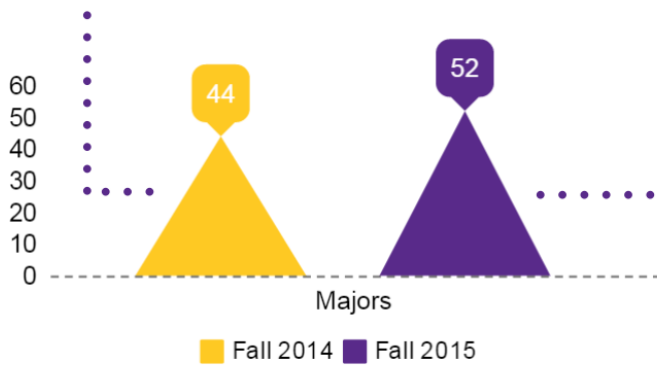


American Athletic Conference All-Academic Team

221 ECU Student-Athletes Named
Third-highest among conference schools

Student-Athlete Majors

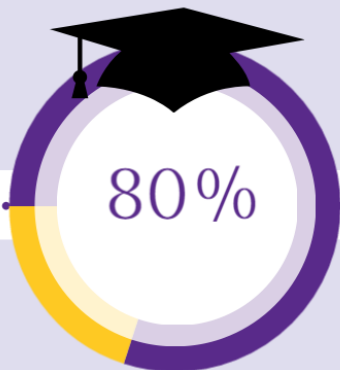
In Fall 2014, junior level and above recruited student-athletes were enrolled in majors across 44 different degree programs.



By Fall 2015, junior level and above recruited student-athletes were enrolled in majors across 52 different degree programs.

Graduation Rates

The Graduation Success Rate (GSR) for the 2005-2008 cohort of student-athletes was



Dashboards in this set:

- Graduation Rates
- Academic Progress Rates
- GPA
- Major Fields for Student-Athletes
- NCAA Financial Indicators



Please click on the tabs at the top of this page to access the student-athlete dashboards.



BEYOND TOMORROW

OUR COMMITMENT TO THE FUTURE

ECU STRATEGIC PLAN • 2014-2019

INTRODUCTION

GUIDING PRINCIPLES

OUR COMMITMENTS

OUR RESPONSIBILITIES

East Carolina University will be a national model for student success, public service, and regional transformation.



STUDENT SUCCESS



PUBLIC SERVICE



REGIONAL TRANSFORMATION

#1 MAXIMIZE STUDENT SUCCESS

The success of our students is the ultimate measure of our university. We will support excellence, expand opportunity, and celebrate achievement.

METRICS

STORIES

- **We will** aggressively support the ECU Honors College and build it into one of the top programs nationally. We will secure a naming endowment for the EC Scholars program and increase the funding for awards by 10 percent annually.
- **We will** be a national leader as a "best value" in undergraduate and graduate education. We will aggressively grow programs that support this goal. We will establish competency-based requirements for all degree programs while reducing the average debt carried by students who graduate within four years. We will be a leader in the assessment of learning outcomes and the use of innovative teaching strategies. Faculty will lead examination and pursue needed reforms of general education requirements that will be a model for others to follow.
- **We will** improve retention and graduation rates. We will retain and graduate students at a rate that is consistently higher than our peers.
- **We will** radically improve accessibility for key student populations. We will grow transfer enrollment by 5 percent each year. We will be the top university in North Carolina for active military and veterans. We will establish targeted programs supporting seamless transitions to ECU for active military, veterans, and transfers. We will encourage the return of "part-way home" students to complete their degrees.
- **We will** field athletic teams that lead in academic achievement, win conference championships, and compete on a national level.
- **We will** be a national model for campus safety and the safest campus in the UNC system.
- **We will** reflect a global workplace and society by diversifying our faculty, staff, and students. We will increase international students, provide U.S. students with more opportunities to study abroad, increase those with competency in a second language, and significantly expand the number of global classrooms to connect diverse cultures to instructional opportunities.



METRICS

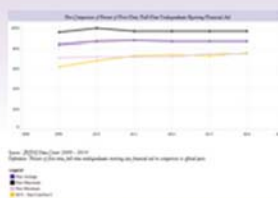
Click on the thumbnails below to access institutional data charts and graphs illustrating East Carolina University's commitment to student success.



ACADEMIC ENGAGEMENT



ACCESS



AFFORDABILITY



DIVERSITY

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Dr. Virginia Hardy, Vice Chancellor for Student Affairs
Agenda Item	III. A.
Item Description	Move In 2016
Comments	
Action Requested	Information
Disposition	
Notes	

East Carolina University – Move-In 2016

The start of a new academic year marks one of the most exciting and stressful times at any institution for faculty, staff, students as well as their parents/families. East Carolina University is no exception. This August, 5,437 new and returning students moved into to ECU's 14 residence halls within the three campus neighborhoods.

There are always challenges with moving in that many people in just a few days, but there were many extenuating circumstances that caused not just changes, but constant changes, to the planning process.

In January 2016, the entire Mendenhall Student Center, which served as the primary move-in location for the West End residence halls, closed due to construction of the new parking deck and student center project. That change alone meant more than 2,000 students would be moving into those halls with access to only 70 parking spaces.

However, a plan was created that would change the check-in process for move-in to the Smith-Williams Practice facility. According to the original plan, students would be able to check in, get their room key and a parking pass to move-in all at the practice facility from Wednesday through Saturday.

However, later in the spring, ECU Athletics signed on to host the Carolina Kickoff concert featuring Eric Church, Kid Rock and others. The concert was to be on the Saturday of move-in at Dowdy-Ficklen Stadium. This prompted changes to the original plan and reduced the number of move-in days from four to three. This coupled with the already loss of parking on main campus added to the challenge.

A plan was created where 1-2 halls from each neighborhood (West End, Central and College Hill) would move in on a certain day. Additionally, each high rise hall was broken up by floors with a corresponding time slot. For instance, Greene Hall would be the only hall to move in from the West End neighborhood on Wednesday. The lower floors would check in during the morning, the middle floors during the midday and the higher floors were scheduled for Wednesday afternoon, (See Tables 1 and 2).

A very detailed communication plan was developed and shared with all incoming students and their families throughout the summer. Weekly emails were sent notifying students of their assigned day and time for moving in as well as all the instructions for parking at Smith-Williams.

On Wednesday (August 17), the first official move-in day, more than 250 students had arrived at 7:00am at Smith-Williams despite the communications that the process began at 9:00am. Additionally, many of the students in line at 7:00am were actually scheduled to move in on Wednesday afternoon, and some were not scheduled for Wednesday at all. We were simply unable to adjust quickly enough during the day to ease the heavy congestion.

This backlogged the entire process, hampered parking options at Smith-Williams and near the halls for the better part of the day. Another factor contributing to the Wednesday backlog was

the hired parking attendants were altering the rules without approval and, in some cases, directing people to go directly to the residence hall first instead of checking in at Smith-Williams.

On Wednesday evening, a debrief meeting occurred with all the partners - Campus Living, Parking and Transportation, ECU Police, Athletics and others. The team was very concerned about the backlog, wait time, parking situation, and student/family non-compliance among other things. At the same time, they were committed to improving the process for the rest of the week.

The parking strategy was revamped with ECU parking and Campus Living personnel placed at the key locations and choke points instead of the hired parking attendants. Campus Living staff monitored parking lots near the residence halls to ensure people weren't staying longer than the one-hour time limit.

On Wednesday night, communications were sent to those students and families scheduled to move in Thursday and Friday to share that changes had been made to improve the process and to strongly encourage people to move in during their assigned day/time.

The quick changes and logistical overhaul proved very successful. On Thursday and Friday, no one waited more than 20 minutes to check in and the parking queues through the Minges lots flowed smoothly.

Chancellor Staton, Mrs. Staton and Vice Chancellor Hardy greeted new Pirates on Thursday and Friday, respectively, and by all accounts their experience with families was very positive. While we heard complaints related to the Wednesday move-in experience, the only feedback received during the last two days was complimentary and favorable about customer service and friendliness of our employees and about the process.

In fall 2017, we will again host a large concert on the Saturday of move-in, and there will still be a dearth of parking spaces at Mendenhall Student Center. Planning is already underway to improve on the processes for our next cohort of ECU Pirates.

Table 1. Move-In schedule provided to students and families.

Campus Living @ ECU
Move-In Fall 2016

Main Move-In Days (Wednesday-Friday) Scheduled Hours

- Main Check-In @ Minges "Hall of Fame" 9 am to 5PM - based in schedule below
- No Check-In Period 5 PM to 7 PM
- After Hours Check-In* @ Neighborhood Services Offices - 7 PM to 10 PM

* \$50 After Hours Check-In Fee

Neighborhood Services Offices Locations:
 Central/West- West End Dining Hall
 College Hill- Gateway East

	TUESDAY Aug. 16	WEDNESDAY Aug. 17	THURSDAY Aug. 18	FRIDAY Aug. 19	SATURDAY SUNDAY
Hill	<p>Early Check-In @ Neighborhood Services Offices</p> <p>12 Noon- 11 pm</p> <p>Early Check-In Fee \$100</p> <p><i>Early Gateway Move-In during evening hours for specific LLC Programs (eligible students will be notified)</i></p>	Legacy Hall			<p>Late Check-In @ Neighborhood Services Offices</p> <p>Saturday 9 am – 12 noon (new and returners)</p> <p>Sunday 9am – 11 pm (returners only)</p> <p>No additional check in fees.</p> <p><i>Move-In Window for students who could not move in during scheduled times.</i></p> <p>Limited Move-In Volunteers</p> <p>Limited Parking/ Directional Support</p>
Central		Gateway Hall LLC Programs	Tyler Hall- Scheduled by Floors- see page 2	Jones Hall	
West End		Jarvis Hall (Leadership LLC)	Scott Hall	College Hill Suites	
		Umstead Hall (Engineering LLC)	Cotten and Fleming Halls		
		Greene Hall- Scheduled by Floors- see page 2	Clement and White Halls- Scheduled by Floors - see page 2		
		Garrett Hall (Art LLC)	Fletcher Hall- Scheduled by Floors- see page 2		

Table 2. Day/Time/Floor breakdown for the high-rise halls

High-rise move-in by floor schedule

These windows to move-in are in position to maximize elevator use and volunteer placement. Please label all your boxes/items clearly, use boxes or containers whenever possible, and be aware of passenger use of elevators during these times may be limited.

Wednesday, Aug. 17

Greene Hall

- Floors 2-4: 9 am - 11 am
- Floors 5-7: 11 am - 2 pm
- Floors 8-10: 2 pm - 5 pm

Thursday, Aug. 18

Tyler Hall

- Floors: 1-4: 9 am - 11 am
- Floors: 5-7: 11 am - 2 pm
- Floors: 8-9: 2 pm - 5 pm

White Hall

- Floors: 2-4: 9 am - 11 am
- Floors: 5-7: 11 am - 2 pm
- Floors: 8-10: 2 pm - 5 pm

Clement Hall

- Floors 2-4: 9 am - 11 am
- Floors 5-7: 11 am - 2 pm
- Floors 8-10: 2 pm - 5 pm

Fletcher Hall

- Floors: 1-3: 9 am - 11 am
- Floors: 4-5: 11 am - 2 pm
- Floors: 6-7: 2 pm - 5 pm

Friday, Aug. 19

Tyler Hall

- Floors:1-4: 2 pm - 5 pm
- Floors:5-7: 9 am - 11 am
- Floors:8-9: 11 am - 2 pm

White Hall

- Floors:2-4: 2 pm - 5 pm
- Floors:5-7: 9 am - 11 am
- Floors:8-10:11 am - 2 pm

Clement Hall

- Floors: 2-4: 2 pm - 5 pm
- Floors:5-7: 9 am - 11 am
- Floors:8-10:11 am - 2 pm

Fletcher Hall

- Floors:1-3: 2 pm - 5 pm
- Floors:4-5: 9 am - 11 am
- Floors:6-7: 11 am - 2 pm

If these times don't work? We offer late Check-In @ Neighborhood Services Offices

Saturday 9 am – 12 noon
(new and returners)

Sunday 9am – 11 pm
(returners only)

No additional check in fees.

Move-In Window for students who could not move in during scheduled times.

Neighborhood Services Offices Locations: Central/West- West End Dining Hall; College Hill- Gateway East

Campus Living @ ECU
Move-In Fall 2016

East Carolina University
Board of Trustees
University Affairs
September 29, 2016

Session	University Affairs
Responsible Person	Dr. Virginia Hardy, Vice Chancellor for Student Affairs
Agenda Item	III. B.
Item Description	Safety Support Systems
Comments	
Action Requested	Information
Disposition	
Notes	



**AWARENESS OF AND RESPONSIVENESS TO
BEHAVIORAL CONCERNS TO ASSURE CAMPUS SAFETY AND
MAXIMIZE STUDENT SUCCESS**

BOARD OF TRUSTEES BRIEFING

**EAST CAROLINA UNIVERSITY
DIVISION OF STUDENT AFFAIRS**

Greenville, North Carolina
September 2016

Executive Briefing Purpose

As a strategy to maximize student success, East Carolina aims to be a national model for campus safety and the safest campus in the UNC system (2014-2019 ECU Strategic Plan). The Division of Student Affairs is contributing to achieving this institutional goal through development of a consistent response system that attends to the increasing number of behavioral concerns and assures the safety of the campus community.

The purpose of this briefing is to describe how the Division of Student Affairs, through leadership from the Dean of Student's Office, has implemented a coordination and communication process that:

1. mitigates concerns/risks to prevent dangerous incidents from happening in the campus community;
2. promotes student success by connecting students to appropriate support resources.

Creating an environment focused on awareness of and responsiveness to concerning behaviors is foundational to the campus community taking ownership of safety.

➤ **Awareness:** Our students at East Carolina, like all university students, face many stressors during their college tenure. Faculty, staff, and visitors to campus may also be experiencing stressors in their lives that impact their behavior in the workplace or during a campus event. The university encourages students, faculty, and staff to identify individuals on campus who are exhibiting signs of difficulty. Reporting concerning behaviors to professionals associated with the Dean of Student's Office can be a crucial first step to helping an individual improve and ensure the campus environment is a safe place for all individuals. Reporting can be initiated via direct communication, ECU LiveSafe App, or an online link via the ECU website.

➤ **Responsiveness:** The Dean of Student's (DOS) Office assists individuals in distress and connects them with the appropriate resources on or off campus. The Center for Counseling and Student Development, the Department for Disability Support Services, the Office of Student Rights and Responsibilities, ECU Police Department, and Student Health Services act as key partners with the Dean of Student's Office in this process through engagement in two coordination and communication teams that were established during the 2011-2012 academic year:

1. **Care Team** – Cases of concern are lower on a scale of risk and typically do not pose a threat to others.
2. **University Behavioral Concerns Team (UBCT)** – Cases of concern are higher on a scale of risk and pose a potential or imminent threat to others.

The Care Team

➤ **Definition:** The Care Team at East Carolina University is a **behavioral intervention team developed to assist students who are in crisis due to significant academic, personal, emotional, physical, psychological, or social stressors**. The Care Team operates to receive, collect, consider, assess and intervene upon information received that indicates a student is in significant distress and, as such, is not being successful in his or her development as a student at East Carolina University.

➤ **Intake to Intervention Implementation:** The Care Team reviews all available relevant information, speaks with the student of concern and other involved parties as appropriate, assesses the severity of the behavior of concern, develops a personalized plan of intervention, and coordinates the implementation of the plan of intervention through collaboration with relevant campus resources and affected University departments on the record of its proceedings.

➤ **Case Management and Monitoring:** Case management services are provided to support the student of concern and monitor the effects of the intervention plan. The plan may be reassessed and a new course of intervention chosen if the original intervention proves ineffective in addressing the behavior of concern.

➤ **Care Team membership (8 individuals):** University units represented include Dean of Students, Student Health Services, Disability and Support Services, Center for Counseling & Student Development, Student Rights & Responsibilities, and Residence Life.

➤ **Referral to University Behavioral Concerns Team:** Whenever the behavior of concern is assessed by the Care Team to indicate a potential threat of harm to other members of the campus community, the particular behavior is then referred to the University Behavioral Concerns Team for additional assessment and intervention to ensure the safety of the campus community at large.

University Behavioral Concerns Team (UBCT)

➤ **Definition:** The East Carolina University Behavioral Concerns Team (UBCT) works to maintain a safe University environment that is conducive to academic achievement while balancing its concern for individual students, faculty and staff. **UBCT specifically addresses concerning behavior exhibited by a student or group of students, a faculty or staff member, or a visitor to the campus that may indicate a potential for harm to others within the campus community.**

➤ **Intake to Intervention Implementation:** The team gathers and reviews all available relevant evidence; speaks with the individual of concern and other involved parties as appropriate; conducts a threat assessment based upon the information available; develops a personalized plan of intervention; coordinates the implementation of the plan of intervention through collaboration with relevant campus resources and affected University departments on the record of its proceedings; and provides case management to monitor the effectiveness of the intervention plan.

➤ **Continuum of UBCT Intervention Options:** UBCT develops a personalized plan of intervention for an individual after considering a full range of suitable options. The individual's plan is tailored to the circumstances of a particular case.

- **Student Cases:** Intervention plans for students may fall across a wide continuum in relation to the progressive level of concern the team might have regarding an individual student's behavior, safety, and the welfare of others. Plans developed may range from simply maintaining a confidential record of the reported student behavior or, in severe circumstances, may progress to an involuntary withdrawal of a student from the University or a referral for disciplinary action to the Office of Student Rights and Responsibilities.
- **Faculty and Staff Cases:** Intervention plans for faculty or staff are recommended to his/her supervisor and/or the appropriate administrative contact in Human Resources.

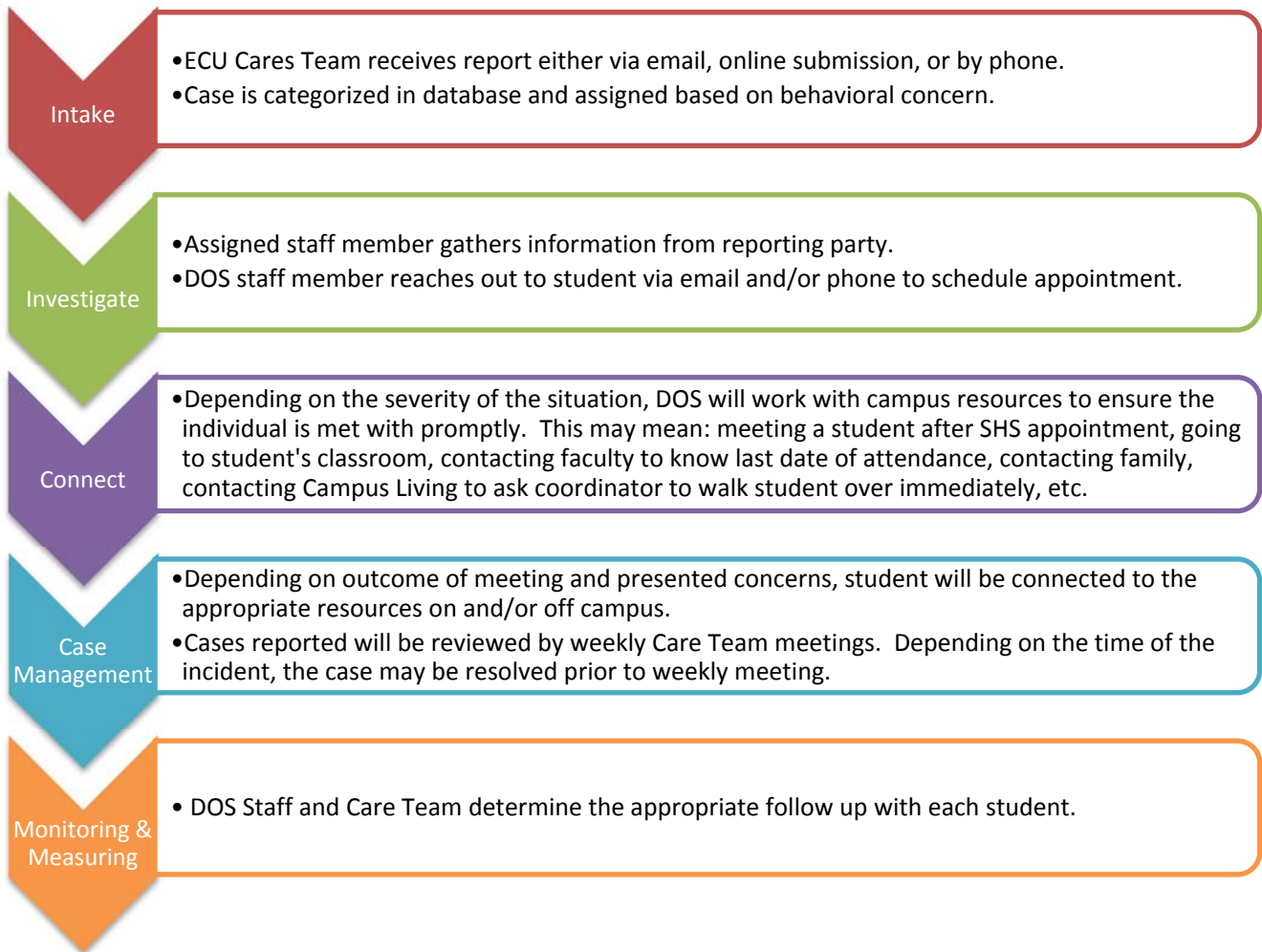
➤ **UBCT Membership for Student (14 individuals) and Faculty/Staff (16 individuals) Cases:** University units represented include Dean of Students, Student Health Services, Disability and Support Services, Center for Counseling & Student Development, Office of Student Rights & Responsibilities, Residence Life, ECU Police Department, University Attorney, Enterprise Risk Management, Human Resources, and the Office of Equity and Diversity.

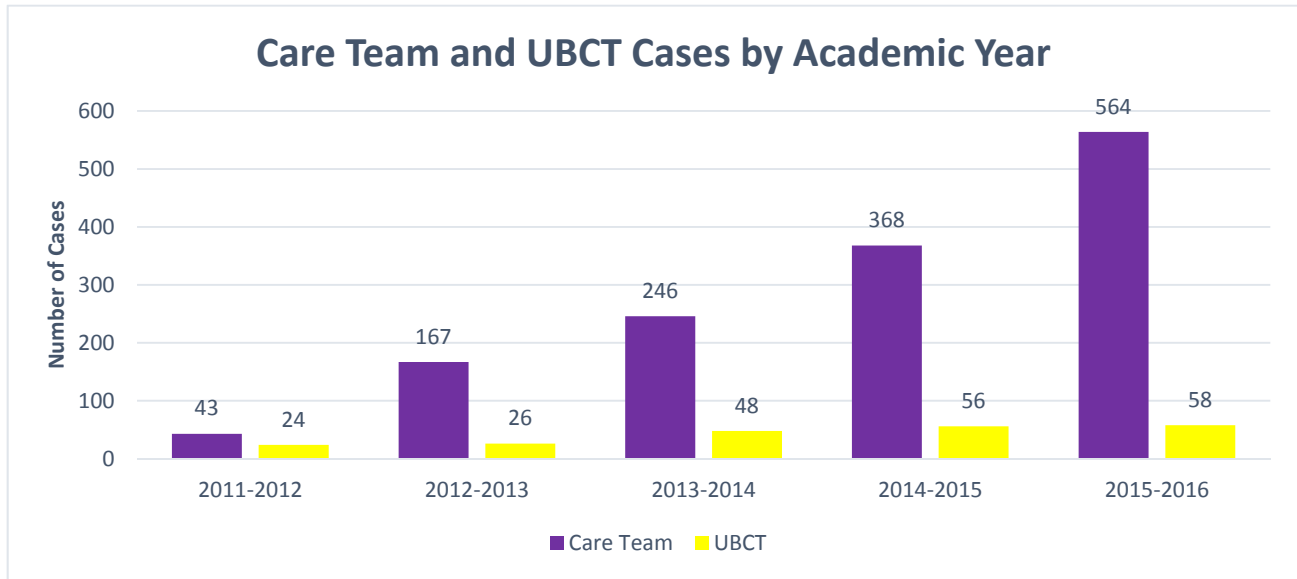
Privacy and Confidentiality

The Care Team and the University Behavioral Concerns Team do not release or share protected student information to any member of the campus community unless the recipient has a legitimate interest for the use of that protected information to perform a service or carryout a responsibility within that person's scope of employment. The teams' procedures for dealing with the disclosure of student educational records are in compliance with the Family Educational Rights and Privacy Act of 1974 (FERPA). Additionally, the teams

comply with all federal and state law in discussing sensitive and confidential information about students, faculty and staff.

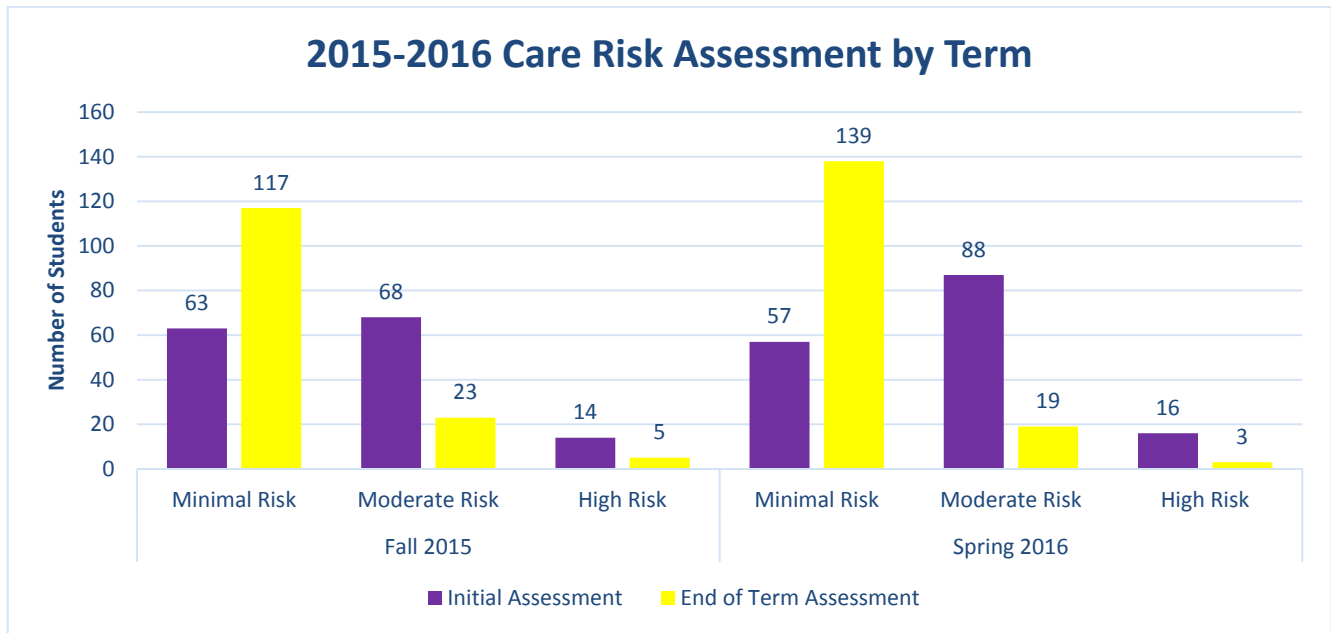
Care Team Case Review Process





2015-2016 Care Team Cases

- For the 2015-2016 academic year, 564 Care cases were reported.
 - A **risk assessment tool**, adapted from the WAVR-21 (Workplace Assessment of Violence Risk), provides criteria for rating 12 student behavioral indicators of concern as either absent/mild, present, or prominent. In addition, an overall rating of risk is assigned based on the level of behavioral factors present:
 - **Minimal Risk** - Usually not life-threatening but may be an indicator that the individual’s coping skills are being challenged.
 - **Moderate Risk** - Exhibiting clear distress, may be harmful to self but threat is vague and indirect.
 - **High Risk** - May indicate an imminent safety risk to self and/or community, and may require assistance from campus and community responders.
 - **Assessment sequence:** Each case is assessed twice, once upon case intake and again at the end of the academic term (by semester). The assessment tool provides insight on the appropriate course of action and measures change in behavior from the initial assessment to end of term assessment.
 - The Dean of Student’s staff resolved 258 cases without needing recommendations from the Care Team given a minimal risk rating upon intake assessment.
 - The Care Team addressed 306 cases that fell within all three levels of risk.



➤ During the 2015-2016 academic year, summary results from pre and post assessment of risk levels among students indicates that behavioral concerns risk was reduced through engagement in the Care Team intervention process. The goal is to improve a student’s behavioral risk by at least one level during a term.

- Initial Assessment Summary:
 - 39% (n=120) of student cases at minimal risk
 - 51% (n=156) of student cases at moderate risk
 - 10% (n=30) of student cases at high risk
- End of Term Summary:
 - 84% (n=256) of student cases at minimal risk
 - 14% (n=42) of student cases at moderate risk
 - 2% (n=8) of student cases at high risk

Examples of Case Success

➤ **Care Team Long Term Case:** A professor reported a student to the ECU Care Team because of concern about the student’s mental health, domestic violence and unplanned pregnancy. Dean of Students (DOS) staff met with the student and learned that she tried to overdose on Tylenol, her boyfriend was not supportive of the child, and her mother was pushing abortion. DOS staff suggested local resources and the student decided to keep the child but stated she would later give the baby up for adoption. The student ended the abusive relationship, started attending counseling, and continued her academic pursuits. The student decided to keep her child, who is now three months old, and is currently finishing her last semester of her senior year.

➤ **Care Team Short Term Case:** A student was referred by the Center for Counseling and Student Development (CCSD) to the ECU Care Team. She had been living out of a storage unit for three weeks; she had no books; her financial aid was unable to be disbursed due to an issue with her mother’s tax return; she had no family support and was a transfer student who was unable to connect with traditional students. DOS staff reached out to the Wesley Foundation for immediate shelter, but no housing was available. Campus Living (CL) was contacted to see if temporary housing was available, and CL executed a temporary contract to satisfy her needs. In order to reduce her expenses and because the student qualified for food stamps, Campus Dining

allowed her to purchase \$75 per week worth of food instead of requiring her to purchase a dining plan. Campus Living and Dining agreed to bill her cashier's account, so no immediate funds were needed. DOS staff reached out to Dowdy Student Stores for a temporary book loan until her financial aid situation was resolved, and the student received the books she needed for classes. The student was connected with CCSD and will continue to communicate with DOS staff for additional support, if needed.

➤ **UBCT Student Case:** The Dean of Student's Office received a vague report of concern stating that a student visited the Pirate Academic Success Center on the first day of class and exhibited concerning behaviors. DOS contacted the reporting party for more clarity and the reporting party said they were concerned about the student's comments; "The quiet ones are the ones you have to look out for" and other information about his past behavior relating to having a Columbine style plan in high school. UBCT reviewed the case inclusive of the student's transcripts, prior school history, and social media; then followed up with the reporting party again. UBCT recommended that immediate connection with the student was required. DOS tried to contact the student, who would not respond. Campus Living staff initially could not locate the student and upon eventual return to the residence hall, the student was immediately escorted to the DOS office. DOS discussed the concerning comments and determined the student was isolated and had experienced a traumatic childhood. Campus resources accommodated his needs as appropriate. The student transitioned from feeling isolated to joining student organizations and subsequently reports feeling connected and succeeding in the classroom. The student has maintained contact with DOS and expresses appreciation for the support received during his time of distress.

➤ **UBCT Employee Case:** The Dean of Student's Office received a report of concern about a staff member wishing to end her life. The staff member sent texts to her co-worker and supervisor stating she was thinking of harming herself. The case was immediately reported to UBCT and Human Resources, and the UBCT team immediately convened to discuss an intervention plan. Dean of Student's staff reached the staff member by phone and met with her the following day to offer support. DOS connected her to appropriate resources during a difficult time when her family was a main stressor (several issues with children and deceased spouse). UBCT intervened in a timely manner and addressed the needs of the individual. The concerns alarmed co-workers and the supervisor so DOS had to mitigate the "fear factor" in the shared office environment as well. ECU and off campus resources were provided, and the staff member was aware of emergency/crisis resources for future use. The staff member felt comfortable to continue reaching out to DOS when in need.

2016-2017 Improvement Implementation and Emerging Results

➤ **Implementation of New Assessment Tool:** After attending the National Behavioral Intervention Threat Assessment (NaBITA) and the Higher Education Case Management conferences, ECU administrators learned that the NaBITA Threat Assessment tool is utilized by many universities nationwide. The Care Team has adopted the new threat assessment rubric to address the level of risk a student poses to self, others, or the community. This tool involves a generalized risk rubric to categorize the identified behavioral concern, and provides an intervention tool to address the issue/risk. The intervention tool will be tailored to our institution and refined by the Care Team. There are five risk levels: mild, moderate, elevated, severe and extreme. This tool will help achieve better consistency in categorizing the level of risk to self, others, or the community by the nine levels of hostility and violence, and the mental and behavioral health categories included in this rubric. The University Behavioral Concerns Team will also use this assessment tool to address higher levels of threats/risks to campus.

➤ **Student Resilience Assessment:** In support of personal growth and development, student resilience will be measured and monitored before and after they have received Care Team services. The students will be asked to complete a very short questionnaire, the Connor-Davidson Resilience Scale 25 (CD-RISC-25), which is

designed to measure levels of resilience across multiple domains. These data will provide a clear indication of how helpful our Care Team services are for students in the progression of establishing resilience and positive coping skills. These data will also identify the most challenging areas of resilience where students need additional education and guidance.

➤ **Emerging Results:** The new intake assessment has been administered to a total of 49 students this academic semester (August 12 - September 7: four weeks).

- The largest proportion of students utilizing services from DOS is freshman (40%), juniors (24%) and seniors (20%).
- The 49 students were given an option to indicate if they were an international, non-traditional, first generation, veteran and/or transfer student. Of the 25 responses, the top two categories were first generation (64%), and transfer (36%).
- To date, 18% (n=9) of the 49 students have utilized DOS services prior to this year's appointment.
- Twelve percent (n=6) of the 49 students self-reported they had thoughts or concerns about harming self or others.
- Students were given an opportunity to rate their levels of stress in using the rating criteria of, not at all, slightly, moderately, very, and extremely. The ten categories being rated by students included: emotional/mental health, academic, relationships, physical health, financial, living environment/housing, food, safety, work and legal. Students indicated that the most concerning areas from slightly to extremely stressful are mental health (86%), academic (83%), and relationships (70%).
- Services on campus are very important to a student's emotional and academic well-being. From the results, students are currently using or have used in the past;
 - Center for Counseling and Student Development (69%)
 - Student Health Services (66%)
 - Financial Aid Office (46%)
 - Academic Advisor/Advising Center (41%)
 - Off-campus resources (12%)

Briefing Conclusions

This briefing described how the Division of Student Affairs, through leadership from the Dean of Student's Office, has implemented a coordination and communication process that mitigates concerns/risks to prevent dangerous incidents from happening in the campus community and promotes student success by connecting students to appropriate support resources.

Creating an environment focused on awareness of and responsiveness to concerning behaviors is foundational to the campus community taking ownership of safety.

Briefing Inquiries

This briefing for the September 2016 Board of Trustees meeting was generated on behalf of Vice Chancellor Hardy by the Student Affairs Assessment, Research and Retention staff: Kathleen Hill, and Jeremy Tuchmayer with informational support from the Dean of Students staff: Dr. Lynn Roeder, Patricia Barfield, and Karen Kus.

Questions about this briefing may be directed to: Kathleen Hill, Director (hillka@ecu.edu)
Student Affairs Assessment, Research and Retention; 23 Mendenhall Student Center, Mailstop 22.