



**East Carolina University | Board of Trustees
University Affairs Committee Meeting | April 7, 2016**

Agenda

- I. Approval of February 18, 2016 Minutes Action

- II. Academic Affairs
 - A. Conferral of Degrees
 - B. KPI - Student Survey Data

- III. Research, Economic Development and Engagement
 - A. Policies of Centers and Institutes Action
 - B. Pilot Temporary Variable Supplement Payment (Non-Salary and Deferred Compensation) Plan in the College of Allied Health Sciences Action

- IV. Student Affairs
 - A. Male Student Success
 - B. Clinton Global University Initiative Student Presentation
 - C. Title IX Update

- V. Policy
 - A. Policy Development at ECU
 - B. Interim Regulation on Sexual and Gender Based Harassment and Other Forms of Interpersonal Violence

- VI. Closed Session

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Kieran Shanahan, Chair
Agenda Item	I.
Item Description	Approval of minutes – February 18, 2016
Comments	
Action Requested	Approval
Disposition	
Notes	

Minutes of the Meeting of the
University Affairs Committee
East Carolina University Board of Trustees
February 18, 2016 at 10:30am
East Carolina Heart Institute

Board Members Attending: Keiren Shanahan (chair), Max Joyner, Bob Plybon, Terry Yeargan, Mark Matulewicz, Danny Scott, Leigh Fanning, Edwin Clark

Others in Attendance: Ron Mitchelson, Virginia Hardy, Michael Van Scott, Steve Ballard and John Stiller

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

The minutes from the previous meeting were approved.

- **Academic Affairs**

- **Creation of the Miller School of Entrepreneurship** - College of Business Dean Stan Eakins discussed the proposal of a new School of Entrepreneurship at ECU. It will offer a major and minor opportunity for students. The minor could be for students in Hospitality Leadership or Construction Management. This minor will connect better to these schools needs. There is also a certificate option (four courses) that is ongoing. This will help integrate campus activities to support the entrepreneur and innovator. There is also a great opportunity to be involved in meaningful service. There is \$5 million given by the Miller family and also \$1 million for a professorship that has been matched by the state. Alumni and donors continue to step to support this endeavor.
 - **Danny Scott made a motion to approve the School of Entrepreneurship, seconded by Deborah Davis and approved without dissent.**
- **Faculty Salary Equity Study – Dr. Ron Mitchelson**
 - Provost Mitchelson discussed some of the process that went into the Faculty Equity Study as well as some of the factors that went into whether or not bias existed in many areas. The good news is that there is no finding of ECU acting inappropriately for salaries. That doesn't mean we don't have some issues where there are equity problems. There were 97 faculty in Academic Affairs that were suggested to have a review of their salary done. The deans did the review and then recommendations were made to the Provost. Not all 97 will receive compensation increases because not all facts are included in the Equity analysis, such as workload and productivity. This study was for faculty only in Academic Affairs. Health Sciences' review is underway.
- **Virtual Heritage Hall – Mitchelson**
 - The Chancellor's Executive Council will review virtual Heritage Hall at its meeting on Feb. 29th and then it can be released publicly.
 - **Motion – Deborah Davis made a motion to have the University Affairs committee review virtual Heritage Hall at the next meeting. Motion was seconded and approved without dissent.**
- **KPI Update – Transfer and Military Students – Dr. Ying Zhou**
 - Two dashboards have been added to the university dashboard (military and transfer). We have had an increase in the number of transfer applications, including 200 female and 400 male students. We accepted 229 of them. All total 1,738 transfer students joined ECU. Dr. Zhou shared that the biggest community college feeders are Pitt Community College and Wake Tech. Others with larger numbers are Lenoir, Craven and Cape Fear Community College. We are trying to expand our footprint in the Charlotte area too. For military students, this data is very new (only the second year). We really didn't have a good way before 2013 to track a military student other than the manner in which they paid for school. Admissions changes nationwide now ask students to identify their military status. We have 124 new undergraduate students (87% male/13% female) that are military. We are also tracking age, ethnicity, race and branch of service in this dashboard as well as any military dependents (560 students are dependents).
 - Dr. Mary Beth Corbin, ECU Office of Student Transitions, talked about our Student Veterans Services and some details about our military students. She shared the history of the Student

Veterans Services Office, shared information about ECU Green Zone training and the Pirate Veterans Organization (student organization). ECU has a Vet Success Counselor housed on campus. We are the only school in the state and one of 72 nationwide to have this position. A major focus for Student Vet Services and ECU is to help our military students transition from military life to college life. In the future, we will be exploring an intensive three-day orientation process to help these students transition to ECU life. ECU has been receiving multiple national rankings by Military Times and Military Friendly schools. We have received recognition for military friendly for spouses as well.

- Jayne Geissler talked about the educational and tutoring opportunities for military students. The data is still new, but we are tracking GPA, resilience and retention. Regarding transfer students, ECU has been asked to go and provide some professional development for the community colleges and this has helped them to feel more free to reach out to ECU with questions, resources and services for transferring students. She shared some of the transfer student data for completion of degrees in four and six years. ECU's four-year graduation rate for transfer students is 60%. We regularly compare ourselves to UNC Charlotte and UNC Greensboro and our number is higher than both schools.
- **NC Gap**
 - Dr. Mitchelson shared that there is some uncertainty about a new bill (HB 97). One of the challenges is that institutions could be asked to reduce its enrollment for each academic year by the number of deferred admissions granted for that year. Depending on the implementation, this could have very minor or very significant impacts. The bill has already passed, but the implementation is still unknown right now. If we get a number like 25% deferred, that would be very bad for ECU.
- **SARA – State Authorization Reciprocity Agreement**
 - Every state regulates the activities of out-of-state post-secondary institutions. State regulations and requirements vary widely in complexity and cost. State Authorization affects all of ECU's distance education courses/programs and of resident campus programs that require supervised field experiences. Failure to comply exposes ECU to the risk of litigation by states and students. States can join SARA and those states can apply to participate in SARA. These operations can operate in other SARA states without seeking the individual authorization of those states. In 2015, UNC-GA formed a group to consider North Carolina's participation in SARA. North Carolina's membership will have positive effects on DE and resident campus enrollments for ECU and other UNC schools.
- **Research, Economic Development and Engagement – Dr. Michael Van Scott**
 - **Interim Policy on Centers and Institutes** – Dr. Van Scott is asking for approval of the interim policy.
 - **Motion – Danny Scott made a motion for approval of the interim policy, seconded by Max Joyner, and approved without dissent.**
 - The expectation is that the full policy will come back to the BOT at the April meeting for approval.
 - **Mid-Year Performance Numbers for Proposals, Grants and Expenditures**
 - We are tracking right now with awards from last year, but our research expenditures are going down. The latter will be a future discussion about why this is happening. Our total awards are tracking right now for previous years too.

Meeting ended at 11:54am

Respectfully submitted by Christopher Stansbury

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Ron Mitchelson, Provost
Agenda Item	II.A.
Item Description	Conferral of Degrees
Comments	
Action Requested	Approval
Disposition	
Notes	

**Board of Trustees
University Affairs Committee
April 7-8, 2016**

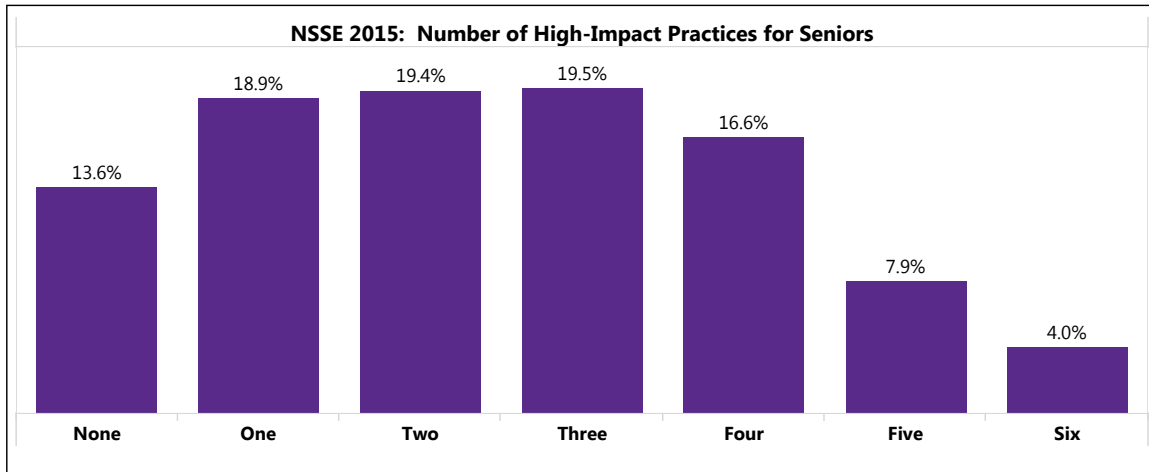
Conferral of Degrees

I move that the candidates for degrees, as approved by the Chancellor and Faculty Senate, be authorized for conferral at the annual Spring commencement on Friday, May 6, 2016.

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Ying Zhou, Associate Provost for Institutional Planning, Assessment and Research
Agenda Item	II. B.
Item Description	KPI Update – Student Survey Data
Comments	
Action Requested	Information only
Disposition	
Notes	

High-Impact Practices



Class
 ○ Freshman (1st year)
 ● Senior (4th year)

Gender
 All

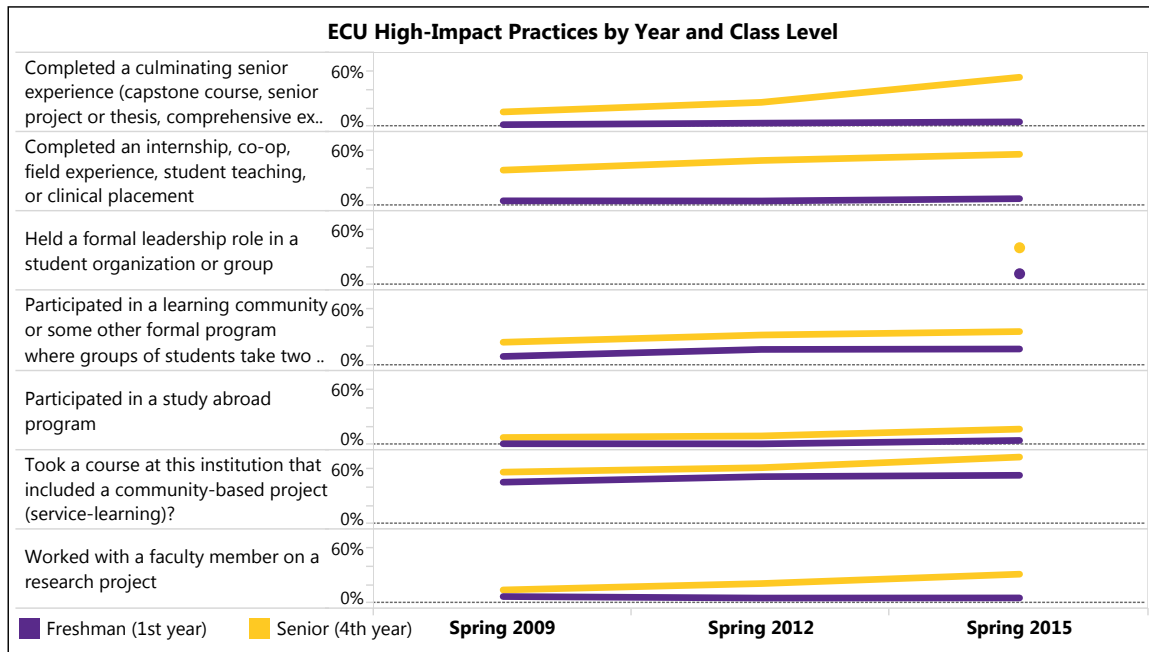
Race/Ethnicity
 All

Entry Status
 All

First Generation Student
 All

**First Generation Student Status is only available in the NSSE 2015 dataset.*

College
 All

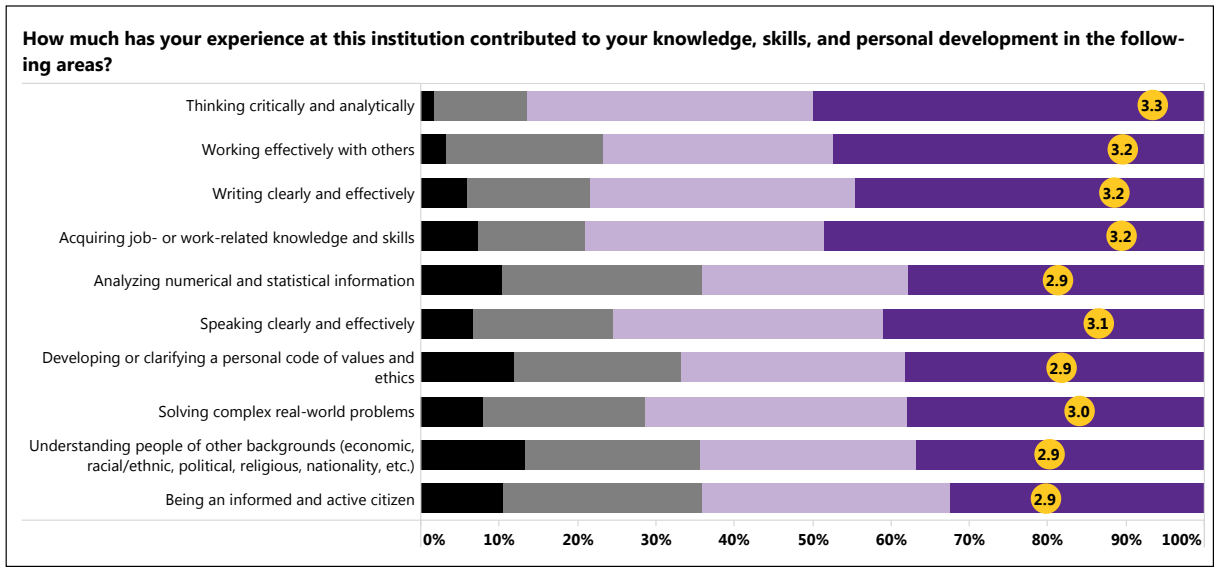


Source: National Survey of Student Engagement 2009, 2012, 2015

Definition: High-Impact Practices (HIPs) have positive associations with student learning and retention. According to NSSE, they "demand considerable time and effort, facilitate learning outside of the classroom, require meaningful interactions with faculty and students, encourage collaboration with diverse others, and provide frequent and substantive feedback. For first-year students, NSSE provides information for three HIPs; for seniors, NSSE provides data for six HIPs.

Notes: Due to changes in the NSSE survey instrument, questions may vary by year, and some data are not available for all years. Because of rounding and potential differences in methodology, calculations on the NSSE Statistical Reports may vary from what is reported here.

Perceived Gains and Satisfaction with ECU



Legend

- Very much
- Quite a bit
- Some
- Very little

Term

- Spring 2009
- Spring 2012
- Spring 2015

Class

- Freshman (1st year)
- Senior (4th year)

Gender

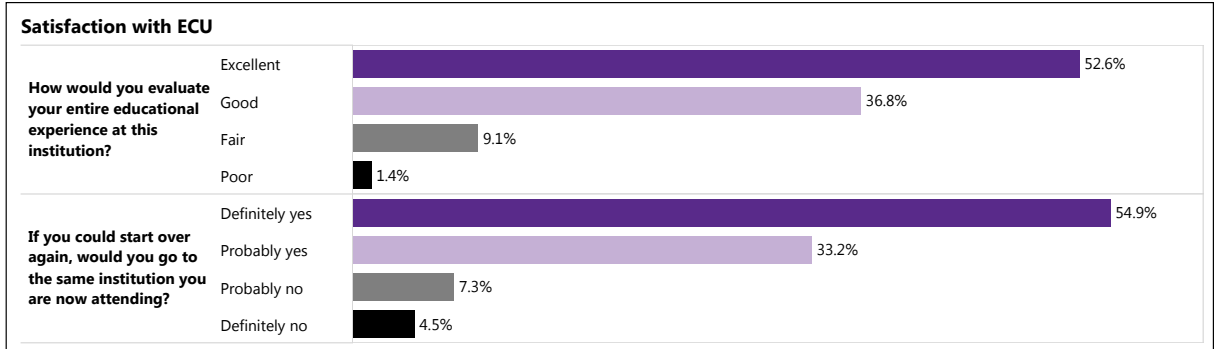
All

Race/Ethnicity

All

Entry Status

- First-Time
- New Transfer



First Generation Student

All

**First Generation Student Status is only available in the NSSE 2015 dataset.*

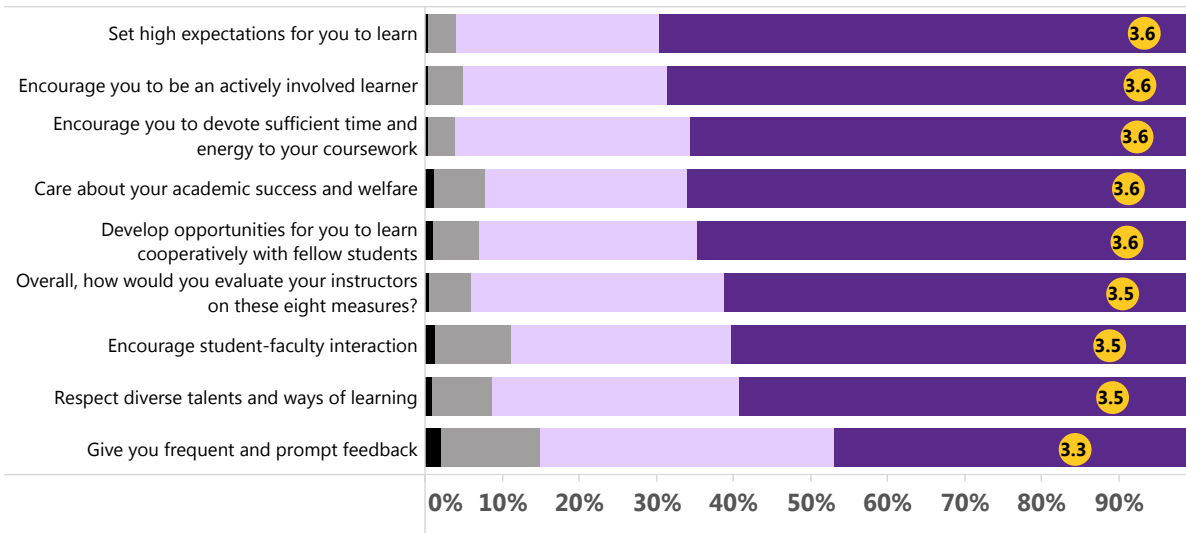
College

All

Source: National Survey of Student Engagement 2009, 2012, 2015
Definition: The top chart illustrates perceived gains from the institution in the areas of knowledge, skills, and personal development. The bottom chart examines satisfaction with ECU.
Notes: Due to changes in the NSSE survey instrument, questions may vary by year, and some data are not available for all years. Because of rounding and potential differences in methodology, calculations on the NSSE Statistical Reports may vary from what is reported here.

GSES Dashboard

Please evaluate how well faculty members in your graduate program do each of the following:



Response

- 4: Excellent
- 3: Good
- 2: Fair
- 1: Poor

Year

- 2012-2013
- 2013-2014
- 2014-2015

Gender

All

Race/Ethnicity

All

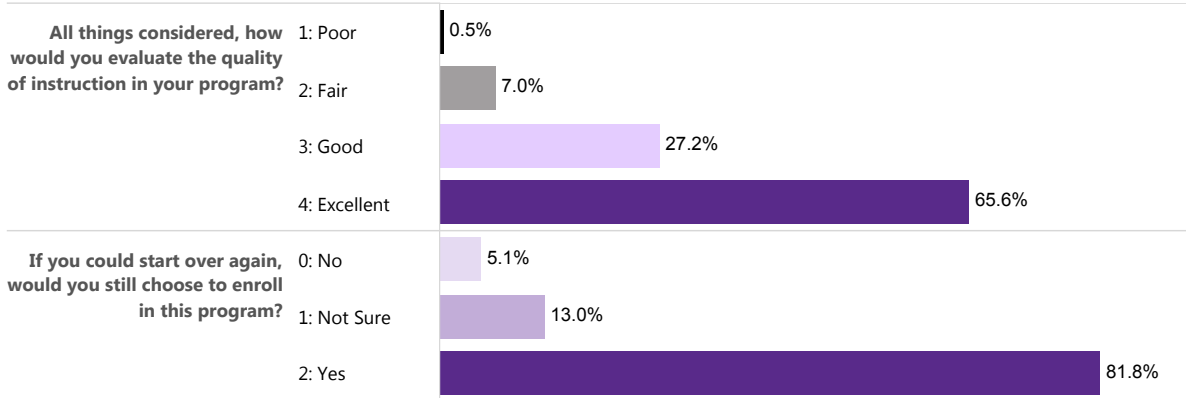
College

All

Degree

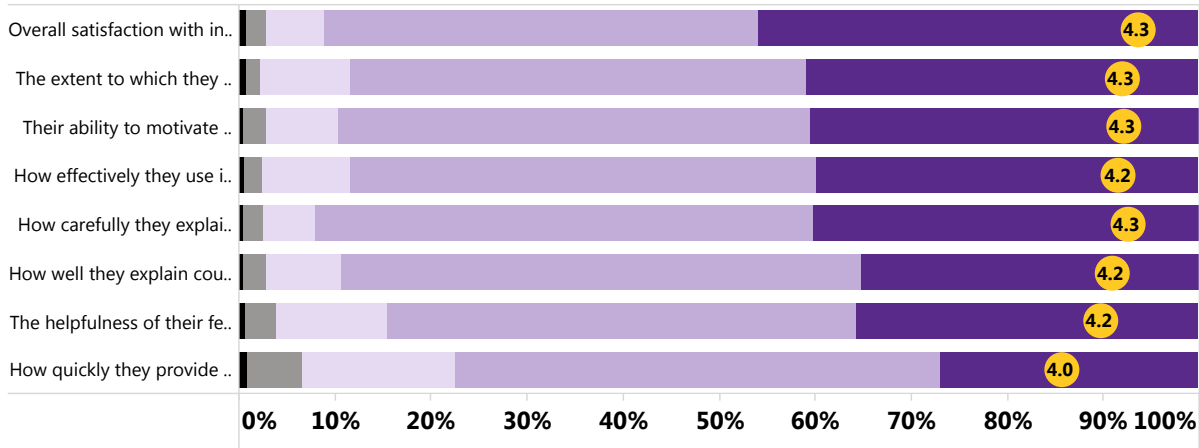
All

Your conclusions



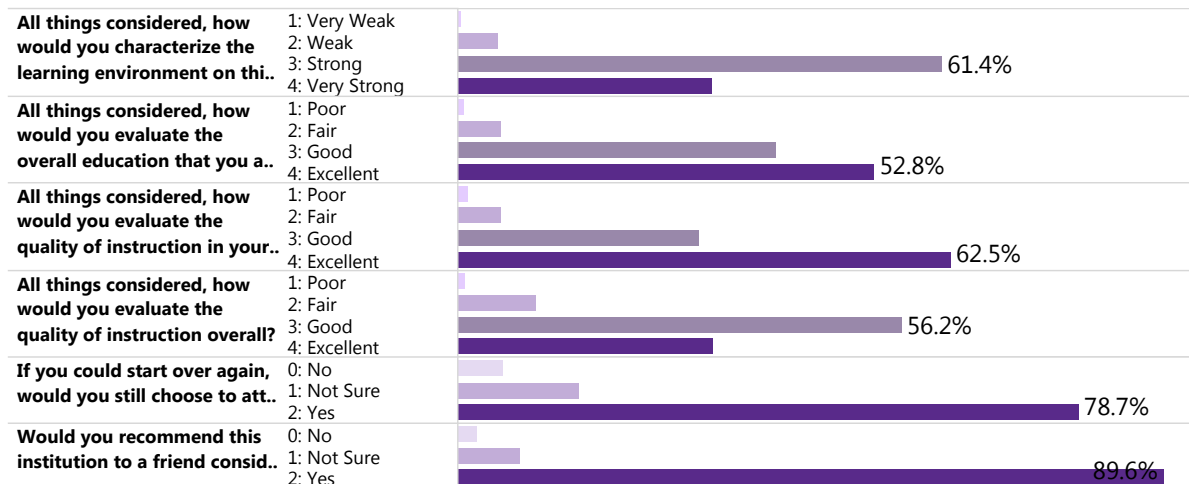
GSS Dashboard

Please rate your overall satisfaction with the instructors in your major department on each of the following:



- Response**
- 5: Very Satisfied
 - 4: Satisfied
 - 3: Neither Satisfied ..
 - 2: Dissatisfied
 - 1: Very Dissatisfied
- Year**
- 2012-2013
 - 2013-2014
 - 2014-2015
- Age (group)**
- All
- Sex**
- All
- Race**
- All

Conclusions



East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Michael Van Scott, Interim Vice Chancellor for Research, Economic Development and Innovation
Agenda Item	III. A.
Item Description	Policy on Centers and Institutes
Comments	
Action Requested	Approval
Disposition	
Notes	

East Carolina University Centers and Institutes Policy

PRR Classification: Policy

PRR General Subject Matter: Research and Graduate Studies

Authority: Board of Trustees

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

Related Policies: UNC Policy Manual 400.5[R]: <http://www.ecu.edu/cs-acad/fsonline/customcf/fsminute/fsm1109gactr.pdf>.

Additional References: ECU Centers and Institutes: <http://www.ecu.edu/cs-acad/rgs/upload/ECU-centers-and-institutes-updated-08-13-2014.pdf>.

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

1. Introduction, Purpose, and Definitions

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

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

1.1. Purpose

- 1.1.1. Providing guidelines for planning, establishment, management, and discontinuation of institutional centers and institutes;
- 1.1.2. Providing guidelines for management and oversight of centers and institutes at East Carolina University (ECU); and
- 1.1.3. Setting forth requirements for management oversight and reporting on centers and institutes.

1.2. Definitions

- 1.2.1. “Center or Institute.” For purposes of classification, there is no technical distinction between the terms *center* and *institute*. In practice, an institute frequently refers to an entity having a broader scope of activity than a center. For example, an institute may create centers as separate units within its administrative structure. Centers and institutes may require new infrastructures to facilitate administration, fiscal management, and on-going activities. Centers and institutes may involve only units within the institution, or may include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies. Centers and institutes do not have jurisdiction over academic curricula, although they may offer courses in cooperation with academic units.
- 1.2.2. “General Fund sources” means financial resources originating from the State’s General Fund, including state appropriations and tuition receipts.
- 1.2.3. “Non-General Fund sources” means financial resources originating from sources other than the State’s General Fund, including fee receipts, endowment income, institutional trust funds, and outside grants.
- 1.2.4. “In-Kind sources” means support that one or more constituent institutions provides to a center or institute in the form of space, services, graduate assistantships, faculty course buyout, or use of equipment or other materials, and for which it does not receive cash payment.
- 1.2.5. “Political activity” means, as described in Section 300.5.1 of the UNC Policy Manual, actions directed toward the success or failure of a candidate for public office, political party, or partisan political group including, but not limited to, campaigning, political management, and soliciting financial contributions for political purposes.

2. Policy Provisions for Centers and Institutes

- 2.1. The following provisions apply to centers and institutes with ECU as their administrative home.
 - 2.1.1. Authority
 - 2.1.1.1. Board of Trustees. The Board of Trustees approves campus level policies on centers and institutes and authorizes establishment and discontinuation of institutional centers and

institutes consistent with regulations and the directions of the president or the Board of Governors. The Board of Trustees may delegate to the Chancellor the authority to approve the discontinuation of centers and institutes.

- 2.1.1.2. **Chancellor.** The Chancellor is ultimately responsible for the oversight and management of all centers and institutes at ECU. The Chancellor is responsible for carrying out the requirements of the applicable policies of the Board of Governors and Board of Trustees with respect to centers and institutes, and for ensuring that all requirements of this Policy are implemented and followed. The Chancellor delegates authority for division-level administration of centers and institutes to the Academic Council (Provost, Vice Chancellor for Health Sciences, and Vice Chancellor for Research, Economic Development, and Engagement).
- 2.1.1.3. **Centers and Institutes Committee.** The Centers and Institutes Committee oversees all centers and institutes at ECU and ensures operations are in compliance with the established policies and procedures. The Committee reports to Academic Council. It is charged with carrying out the following duties:
 - 2.1.1.3.1. Establish the composition and membership of the Committee;
 - 2.1.1.3.2. Ensure alignment between the University's Centers and Institutes Policies and Procedures and the UNC Policy Manual, and advise the Academic Council on changes to the institution's policies and procedures to rectify discrepancies;
 - 2.1.1.3.3. Authorize permission to plan for new centers and institutes;
 - 2.1.1.3.4. Authorize or recommend, as appropriate, establishment of new centers and institutes;
 - 2.1.1.3.5. Establish the processes for periodic review of centers and institutes and their directors for performance relative to their stated objectives, goals, and mission;
 - 2.1.1.3.6. Oversee conduct of periodic reviews of the established centers and institutes and their directors;
 - 2.1.1.3.7. Recommend discontinuation of centers and institutes when warranted; and
 - 2.1.1.3.8. Liaise with UNCGA on issues related to centers and institutes.
- 2.1.1.4. **Directors.** Each center or institute must have a director, with a direct report to a senior academic officer appointed by the Chancellor. Directors are responsible for the day-to-day programmatic, fiscal, and personnel decisions associated with the center and institute mission and core personnel.
- 2.1.1.5. **Boards and advisory committees.** Each center and institute with ECU as its administrative home will maintain a board or advisory committee of at least four members that represent the primary constituents. The boards or advisory committees will report to the directors, providing advice and guidance, and helping coordinate. The board and advisory committees do not have authority to make hiring offers or to discontinue directors or other staff or to access, use, or otherwise control funds associated with the center or institute.

- 2.1.1.6. **Bylaws, memoranda of understanding, and other governing documents. Commitments, responsibilities, and interactions of the constituent departments, colleges, schools, divisions, and institutions involved in activities of centers and institutes with their administrative home at ECU must be defined by bylaws, memoranda of understanding (MOUs), or other governing documents such as the original proposal that is signed by all parties. All documents defining the commitments, responsibilities, and working relationships of the above-referenced entities must be approved by the Chancellor or the Chancellor's Designee. Centers and institutes that involve multiple campuses, but without such documents, are considered under the full authority of the administrative campus.**

3. Obtaining Authorization to Plan Centers and Institutes

- 3.1. **Units seeking permission to plan a center or institute will develop and submit a written proposal which includes the following required information:**
 - 3.1.1. **Name of the proposed center or institute;**
 - 3.1.2. **Relevance of the proposed center or institute to the mission of ECU and UNC;**
 - 3.1.3. **Specific objectives and goals of the proposed center or institute and why the objectives and goals cannot be achieved within existing institutional or UNC structures, including individual schools, departments, and/or programs;**
 - 3.1.4. **Discussion of differentiation from similar centers, institutes or units (if any) within ECU, UNC and the State, and proposed relationship with them;**
 - 3.1.5. **Center/institute's relevance to ECU's mission, including a statement on the impact upon academic, research, and outreach programs of existing academic departments, schools, institutes and centers;**
 - 3.1.6. **Names and credentials of participants in the proposed institute/center and criteria for inclusion of future participants/members;**
 - 3.1.7. **Description of the expected benefit/value added to the campus or community anticipated within five years due to the existence of the center or institute;**
 - 3.1.8. **Budget estimates for the first year of operation, and projections for the following four years, including the amount to be derived from General Funds, non-General Funds and in kind support, and the source of the required funds (i.e., department, institution, sponsor, etc.);**
 - 3.1.9. **Statement of capital needs such as equipment and library resources and documentation of how these needs will be met, such as MOU's, award notices, and letters of commitment from the sources of the resources;**
 - 3.1.10. **Description of immediate space needs, projections of future space needs, and documentation of commitments from the parties committing the space for center and institute activities;**
 - 3.1.11. **Plan for becoming self-sustaining and independent of General Funds and ongoing in-kind support including course buyouts and release time for center and institute directors, faculty, and staff; and graduate assistantships used to support operations. Any requirement for ongoing support from General Funds and in-kind support must be justified by the benefits derived from the activities of the center or institute;**
 - 3.1.12. **When relevant, statements on the inter-institutional nature of the**

proposed center or institute, whether it be mission, leadership, activities, funding or other aspects;

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

3.1.14. Any additional supporting information; and

3.1.15. Signatures of administrators of all participating units.

3.2. Submission of Proposal to Plan

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

3.3. Obtaining Authorization to Establish Centers and Institutes

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

3.3.1.1. Name of the proposed center or institute;

3.3.1.2. Identification of the proposed center or institute as either primarily research, service or instructional

3.3.1.3. Statement on the anticipated effects of the proposed unit on the instructional, research and/or public service programs of the administrative campus; and, when inter-institutional arrangements are involved, a statement on the impact upon academic, research, and outreach programs of existing academic departments, schools, institutes and centers of all participating campuses;

3.3.1.4. Organizational structure, including name of the proposed director, description of the membership, proposed organizational structure, and a description of proposed advisory or policy boards;

3.3.1.5. Statement on immediate financial needs, including the amount of General Fund, non-General Fund, and in kind support that will be required;

3.3.1.6. Statement on immediate operating needs, such as equipment, library resources, and space needs, and five-year projections of future space needs;

3.3.1.7. An accountability plan that complies with the policy of the home campus, noting specific dates for the initial director and center or institute reviews;

3.3.1.8. A schedule of milestones, timeliness, and responsible parties associated with establishment; and

3.3.1.9. When relevant, evidence that inter-institutional arrangements regarding leadership, governance, activities, or funding of other aspects have been reached by the cooperating chancellors or

designees.

3.4. Submission of Proposal to Establish

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

3.5. Reporting and Reviews

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

- 3.5.1.1. Performance against the stated objectives;**
- 3.5.1.2. Annual expenditures from General Funds, non-General Funds and in kind support;**
- 3.5.1.3. Source of the expended funds (i.e., department, institution, and/or sponsor); and**
- 3.5.1.4. Progress on the plan to become self-sustaining and independent of General Funds and ongoing in-kind support including course buyouts and release time for center and institute directors, faculty, and staff; and graduate assistantships used to support operations. For centers and institutes that require ongoing support from General Funds and in-kind support the benefits derived from the activities of the center or institute relative to the funds expended must be clearly stated.**

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

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

3.7.1. Performance against specific objectives and goals as reported in annual reports;

- 3.7.2. Quality and quantity of scholarly activity (as appropriate per mission), teaching and other instructional activity (as appropriate per mission), and service (as appropriate per mission);
 - 3.7.3. Budget required to continue operation, including the amount and proportion of funds received from General Fund and non-General Fund sources as well as in kind support;
 - 3.7.4. Fiscal oversight;
 - 3.7.5. Analysis and assurance that the entity does not duplicate other institutional, UNC, or State entities;
 - 3.7.6. Analysis and consideration as to whether the entity's work can be effectively accomplished by a single department or program;
 - 3.7.7. Facilities, personnel, and operational needs;
 - 3.7.8. Stakeholder feedback (stakeholder defined as appropriate per the unit's mission)
 - 3.7.9. Director performance, to include at a minimum:
 - 3.7.9.1. Performance against individual objectives and goals;
 - 3.7.9.2. Feedback on leadership and communication from center/institute staff, partners and/or clients; and
 - 3.7.9.3. Management of fiscal and human resources.
 - 3.7.10. Standard practices and procedures for involving other UNC constituent institutions in review processes, when relevant; and
 - 3.7.11. Clear plans for occasions when centers, institutes or directors do not meet minimum review expectations, including process, milestones, and responsible parties.
- 3.8. Results of the reviews will be reported to Academic Council and forwarded to the Chancellor.
- 3.9. Discontinuing
- 3.9.1. A center or institute may be discontinued for a variety of reasons, including but not limited to request by its director, its administrative unit, Academic Council, or Chancellor; lack of fiscal resources for sustainability; incompatibility with departmental, college, or institutional missions or objectives; failure to meet performance expectations; unsatisfactory performance as documented in the annual review process and confirmed in the 5 year comprehensive review; and completion of the mission. The Centers and Institutes Committee will make recommendations for discontinuation to the Academic Council for approval by the Chancellor. The Office of Research at UNC General Administration must be notified prior to discontinuation. A center or institute shall be considered discontinued if the discontinuation is approved by the Board of Trustees.
 - 3.9.2. For those centers and institutes that require significant and sustained cooperation among more than one UNC campus, agreement must be reached and documented by the partner Chancellors or designee before the recommendation to discontinue goes before the Board of Trustees of the administrative campus. If such an agreement cannot be reached by partner Chancellors or designees, then UNC General Administration, through the Office of Research, will convene partners and determine an acceptable solution.
 - 3.9.3. The "phase-out" period for centers and institutes that are to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and to allow an effort to find

alternative employment for full-time staff. Normally, the “phase-out” period shall be no more than one year after the end of the academic year in which final approval is given to discontinue the center or institute.

4. Other Entities

- 4.1 Other coordinating entities, such as networks, partnerships, consortia, collaboratives, or centers that form within existing centers or single departments, are exempt from this Policy. For example, faculty within a department may decide to form a collaborative in order to more intentionally connect their research projects and professional networks. While such a group may prove a valuable resource to external partners or other disciplinary contacts, it would likely require little to no structure, funds, or management to function. A final determination will be left to the discretion of the Centers and Institutes Committee as to whether such entities will be governed under institution level processes.
- 4.2 University System Multi-Campus Centers and Institutes
 - 4.2.1 Some centers and institutes are established either to represent North Carolina in a federally funded and formula-based program, many of which require state matching funds, or through legislative action with requirements of multiple campus engagement. These entities, known as University System Multi-Campus Centers and Institutes, will maintain varying levels of involvement from UNC General Administration throughout their life cycle.
 - 4.2.2 Centers and institutes that are established via a federally funded and formula-based program and designate ECU as the administrative campus require a reporting line to UNC General Administration through the UNC Office of Research and Sponsored Programs to ensure appropriate system level involvement in the center mission and the federal review processes for these centers, institutes, and their directors. These entities shall reach agreements with their administrative campuses to have any regularly occurring and extensive federal review meet the requirement for periodic external review. A center or institute participating in a federally-funded and formula- based matching program may be discontinued if the sponsoring unit of the federal government terminates funding for the program. When it becomes necessary to discontinue one of these centers or institutes, the Centers and Institutes Committee, in consultation with the other participating constituent institutions, will prepare and forward a written request to the UNC President, with copy to the Vice President for Research. The President will then make such recommendations as are necessary to the Board of Governors for approval of the discontinuation. The “phase out” period considerations noted above will apply to these centers and institutes.
 - 4.2.3 Centers and institutes that function as part of one or more constituent institutions of the UNC system are subject to the administrative management, oversight, and control of the chancellor of the administrative campus (or the chancellor’s designee(s)) as to all activities undertaken by the center or institute, including with respect to the use of funds, services, supplies, equipment, information technology resources, vehicles or other University property.

5. Political Activity and Legislative Activity

- 5.1. **University employees assigned to centers and institutes are subject to UNC Policy Manual Section 300.5.1, concerning Political Activities of Employees, which includes prohibitions against engaging in political activity while on duty and using the authority of one's position or University or center or institute funds, services, supplies, equipment, information technology resources, vehicles or other resources for such activities, as described in the policy.**
- 5.2. **The Internal Revenue Code (IRC) limits the extent to which charitable organizations that are tax-exempt pursuant to Section 501(c)(3) of the IRC may engage in activities directed towards influencing legislation (lobbying), subject to applicable exceptions. The University is a tax-exempt body, and each center or institute remains subject to the direction of its administrative campus when engaging in legislative (lobbying) activities, which shall be conducted in compliance with all State and federal laws, including regulations adopted by the U.S. Department of Treasury and the Internal Revenue Service. Each center or institute shall adhere to the IRC Section 501(c)(3) limits on lobbying activities to the same extent that such limits would apply if it were an independent charitable organization described in IRC Section 501(c)(3).**
- 5.3. **The Chancellor (or Chancellor's designee) is responsible for overseeing and exercising control over the activities of each center or institute, and for ensuring that the director and professional staff of each center or institute receive comprehensive annual training concerning Internal Revenue Code restrictions on political and legislative activities by section 501(c)(3) organizations.**

In May 2004, UNC-GA established new policies that authorize each campus to develop procedures for establishing new **institutional** centers and institutes.

Institutions may establish a center or institute on an individual campus without the authorization of the Board of Governors. Each institution will implement policies for the campus to follow when planning and establishing a new center or institute. Such policies shall include approval by the Board of Trustees.

[http://intranet.northcarolina.edu/docs/legal/policymanual/400.5\[r\].pdf](http://intranet.northcarolina.edu/docs/legal/policymanual/400.5[r].pdf)

According to the new policies, UNC-GA approval is now required only for **inter-institutional** centers and institutes.

The ECU Board of Trustees approved the following Centers and Institutes Policy and Procedures on February 24, 2006, effective immediately.

Planning a New Institute or Center

- A. Units interested in developing a new center or institute will develop a proposal which includes the following required information:
- Name of the proposed institute or center
 - Specific objectives and goals of the proposed center or institute
 - Center/institute's relevance to ECU's mission, including the impact upon the existing academic departments, schools, institutes and centers
 - Description of anticipated effects of the proposed center/institute on the instructional programs of ECU
 - Justification that the proposed center or institute meets a need currently not being met elsewhere within the university
 - Name of the proposed director, and a description of any proposed advisor or policy boards
 - Names and credentials of participants in the proposed institute/center and criteria for inclusion of future participants/members
 - Description of the proposed center/institute's structure, including an organizational chart showing a) the relationship of the proposed center/institute to the existing organization and b) the internal organization of the proposed center/institute
 - Description of the expected benefit/value added to the campus or community in five years due to the approval of this center of institute
 - If funding is needed, budget estimates for the first year of operation, projections for the following four years, and anticipated sources of funding [template provided by IPRE] are requested.
 - Statement of capital needs such as equipment and library resources
 - Description of immediate space needs and projections of future space needs
 - Any additional supporting information
 - Signatures of administrators of all participating units

- B. Procedures for Approval/Review of Proposals to Establish Centers and Institutes at ECU:
1. Notice of center establishment. Immediate notification of the establishment of a center within an academic unit shall be sent to the Centers and Institutes Review Committee and to the Office of Academic Programs. This notification will suffice under the following conditions:
 - A. The new center will be housed completely within one college (Division of Academic Affairs) or school (Division of Health Sciences).
 - B. There is no request for funding beyond that currently provided by the creating college or school.
If there is the intent to secure external funding, please specify the sources being explored.
 - C. There is no request for space beyond that currently available through the creating college or school.
 - D. The newly established center will provide a one-year report of its functioning and funding to the Centers and Institutes Review Committee.
 - E. Should external funding be secured, the center will immediately submit a formal proposal to the Centers and Institutes Review Committee for permanent establishment of an institutional center.
 2. The proposing team will present the proposal for a permanent center to the following:
 - Centers and Institutes Review Committee
 - The Chancellor's Executive Council
 3. The Centers and Institutes Review Committee will forward its recommendations to the Provost, who will recommend new centers/institutes to the Chancellor's Executive Council.
 4. The chancellor will consider recommendations from the Executive Council and provide final approval of institutional centers and institutes.
 5. Requests to establish interinstitutional centers will be forwarded from the Office of the Chancellor to UNC-GA.

EXCEPTION: In cases of immediate need, proposals may be submitted directly to the Academic Council with a stated justification of the need for immediate action on the request. In response to the request for expedited review, the Academic Council may endorse the proposal and recommend the new center/institute to the Chancellor's Executive Council, or it may return the proposal for campus review as stated above.

Please send all proposals for University centers and institutes to Linner Griffin, Office of Academic Programs, for referral to the Committee.

Centers and Institutes Review Committee

• Composition/Membership

Because all university centers (those organized beyond single departments or schools) report to either the Vice Chancellor for Research and Graduate Studies or to deans in the Divisions of Academic Affairs and Health Sciences, three persons representing these divisions serve as permanent members of the committee as well. In addition, four other persons serve on the committee. The four others are (1) a representative of the deans, (2) Chair of the Faculty representative, (3) the chairperson of the Education Policies and Planning Committee, and (4) a faculty representative from the Graduate School Administrative Board.

Centers and Institutes Review Committee Membership:

Permanent Committee Members

- Vice Chancellor for Research and Graduate Studies (or designee)
- Associate Vice Chancellor for Academic Affairs
- Vice Chancellor for Health Sciences (or designee)

Rotating Committee Members thru 6/30/07

- Representative of the deans
- Chair of the Faculty representative
- EPPC Chair
- Faculty representative of the Graduate School Administrative Board

• Committee Functions:

The committee has three functions.

First, the Committee will evaluate the merit of proposals for new University-wide centers and institutes to ensure they serve an appropriate purpose and would not overlap with existing units. The committee also will consider resources available to the proposed center or institute.

Second, the Committee will conduct reviews of centers' and institutes' annual reports during the first three years of the center or institute's operation. After three years of successful operation, review of University-wide centers and their directors become part of the regular five-year academic program review process and will be the responsibility of the academic officers to whom they report.

Third, the Committee may from time to time be asked by the Academic Council to review the continued viability of existing centers.

Definitions for Specific Categories of Centers and Institutes
([http://intranet.northcarolina.edu/docs/legal/policymanual/400.5\[r\].pdf](http://intranet.northcarolina.edu/docs/legal/policymanual/400.5[r].pdf))

1. Centers Versus Institutes

For the purposes of classification within UNC, there is no technical distinction made between the terms "center" and "institute." Both typically offer interdisciplinary programs attracting faculty, students, and staff from various academic departments or other structured units. In practice, an "institute" frequently refers to an activity with a broader scope than a "center." For example, an institute may create centers as separate units within its administrative structure.

2. Institutional Versus Interinstitutional Centers and Institutes

Centers and institutes may be either institutional or interinstitutional in nature, and may be designated as research, public service, or instructional units. They may include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies.

Institutional

Institutional centers and institutes report to only a single campus within the UNC system. These centers or institutes may collaborate with units or departments from other institutions for specific activities or projects, but fiscal and administrative oversight is limited to a single institution. Institutional centers do not submit planning, establishment, or discontinuation requests to the Board of Governors, but are subject to the policies and procedures for establishment and review that are established by their respective campus.

Interinstitutional

Interinstitutional centers and institutes involve more than one campus within the UNC system for participation, including shared administrative and fiscal oversight or substantial involvement of more than one UNC institution in ongoing activities. Centers are also considered interinstitutional if UNC-GA provides fiscal and/or administrative oversight. Each interinstitutional center must designate the unit to provide administrative and/or fiscal oversight. In some cases these responsibilities may be assigned to two separate institutions or assumed by UNC-GA. The UNC Board of Governors provides oversight for all interinstitutional centers and institutes in accordance with these regulations.

Interinstitutional centers serve to promote collaboration and to minimize duplication within the University. They increase the opportunities for external funding by enhancing interdisciplinary collaborations and by facilitating access to a wider range of facilities, faculty, students, and other resources. Interinstitutional centers may also enhance outreach and public service to the citizens of North Carolina by providing a coordination of "regional sites" in fields such as small business and economic development, cooperative extension, public health, the environment, and teacher training.

3. Types of Centers and Institutes

Research

A research center or institute has research as its primary mission. Both institutional and interinstitutional centers may be designated for research. Although classified as a research center or institute, such a unit may also provide instruction, training, technical assistance, or public service programs. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

Public Service

A public service center or institute has public service or technical assistance as its primary mission. Both institutional and interinstitutional centers may be designated for public service. Research, instruction, and training activities may also be conducted as secondary components of the mission. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

Instructional

An instructional center or institute has training or instruction as its primary mission. Both institutional and interinstitutional centers may be designated for instruction, and these units may also conduct research and public service activities. Although instructional centers and institutes do not have primary jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

C. Purpose and Scope of Centers and Institutes

Centers and institutes are established within the University to strengthen and enrich multidisciplinary programs of research, public service, or instruction conducted by the faculty and staff. They also may provide undergraduate, graduate, and postdoctoral students with added research opportunities, facilities, and assistance, as well as enhance their involvement in public service and educational activities...

Centers and institutes must avoid unnecessary duplication within UNC. Each unit seeks to differentiate its mission, activities, and/or clientele from other UNC units, and to make its facilities available to other constituent institutions for cooperative activities as appropriate.

In May 2004, UNC-GA established new policies that authorize each campus to develop

East Carolina University Centers and Institutes Policy

East Carolina University (ECU) encourages multidisciplinary and multi-institutional partnerships that maximize ability to address complex problems of importance to North Carolina, the nation, and the world. Such partnerships may take the form of centers and institutes. Centers and institutes are particularly effective structures when efforts require cross-disciplinary or cross-unit coordination. Centers and institutes, when formed, should result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff and students; heightened economic impact and societal well-being in Eastern NC and the State; increased efficiency; and reduced duplication of effort.

UNC Policy Manual 400.5[R] provides guidelines for establishing and managing institutional centers and institutes; defines University System Multi-Campus Centers or Institutes and the oversight role of UNC General Administration (UNC-GA); and outlines expectations for reporting on centers and institutes. In accordance with these guidelines, the ECU Board of Trustees approved the following Policy governing operational procedures for Centers and Institutes with ECU as their administrative home.

I. Introduction, Purpose, and Definitions

Centers and institutes, when formed, should result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff and students; heightened economic impact in the state; and a reduction in duplication across the UNC System. Centers and institutes are expected to consolidate and coordinate activities across multiple entities or disciplines, or catalyze implementation of new multi-disciplinary initiatives, and therefore will encompass more than one department, office, or institution.

A. Purpose. This regulation defines the following:

1. Guidelines for planning, establishment, management, and discontinuation of institutional centers and institutes;

2. Management and oversight of centers and institutes at East Carolina University (ECU);

3. Requirements for management oversight and reporting on centers and institutes.

B. Definitions

1. "Center or Institute." For purposes of classification, there is no technical distinction between the terms *center* and *institute*. In practice, an institute frequently refers to an entity having a broader scope of activity than a center. For example, an institute may create centers as separate units within its administrative structure. Centers and institutes may require new infrastructures to facilitate administration, fiscal management, and on-going activities. Centers and institutes may involve only units within the institution, or may include the participation of other institutions, agencies,

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In May 2004, UNC-GA established new policies that authorize each campus to develop or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies. Centers and institutes do not have jurisdiction over academic curricula, although they may offer courses in cooperation with academic units.

2. "General Fund sources" means financial resources originating from the State's General Fund, including state appropriations and tuition receipts.

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

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

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

II. Regulations for Centers and Institutes

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

A. Authority.

1. Board of Trustees. The Board of Trustees approves campus level policies on centers and institutes and authorizes establishment and discontinuation of institutional centers and institutes consistent with regulations and the directions of the president or the Board of Governors.

2. procedures for establishing new institutional centers and institutes.

Institutions may establish a center or institute on an individual campus without the authorization of the Board of Governors. Each institution will implement policies for the campus to follow when planning and establishing a new center or institute. Such policies shall include approval by the Board of Trustees.
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According to the new policies, UNC-GA approval is now required only for ~~inter-~~ institutional centers and institutes.

Chancellor. The Chancellor is responsible for the oversight and management of all centers and institutes at ECU. The Chancellor is responsible for carrying out the requirements of the applicable policies of the Board of Governors and board of trustees with respect to centers and institutes, and for ensuring that all requirements of this regulation are implemented and followed. The Chancellor delegates authority for

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In May 2004, UNC-GA established new policies that authorize each campus to develop division-level administration of centers and institutes to Academic Council.

3. Centers and Institutes Committee. The Centers and Institutes Committee oversees all centers and institutes at ECU and insures operations are in compliance with the established policies and procedures. The Committee reports to Academic Council and is charged with making recommendations on planning, establishing, and discontinuing centers and institutes; reviewing centers, institutes, and directors for performance relative to their stated objectives, goals, and mission.

4. Directors. Each center or institute must have a director, with a direct report to a dean, vice chancellor, or the provost. Directors are responsible for the day-to-day programmatic, fiscal, and personnel decisions associated with the center and institute mission and core personnel.

5. Boards and advisory committees. Each center and institute with ECU as its administrative home will maintain a board or advisory committee of at least four members that represent the primary constituents. The boards or advisory committees will report to the directors, providing advice and guidance, and helping coordinate. The board and advisory committees but do not have authority to make hiring offers to directors or other staff or to access, use, or otherwise control funds associated with the center or institute.

6. Bylaws, memoranda of understanding, and other governing documents. Commitments, responsibilities, and interactions of the constituent departments, colleges, schools, divisions, and institutions involved in activities of centers and institutes with their administrative home at ECU must be defined by bylaws, memoranda of understanding (MOUs), or other governing documents such as the original proposal that is signed by all parties. All documents defining the commitments, responsibilities, and working relationships of the constituents must be approved by the Chancellor or the Chancellor's Designee. Centers and institutes that involve multiple campuses, but without such documents, are considered under the full authority of the ECU as the administrative campus.

The ECU Board of Trustees approved the following Centers and Institutes Policy and

B. Procedures on February 24, 2006, effective immediately.

The Centers and Institutes Committee is charged with oversight of all centers and institutes at ECU and insuring compliance with the University's Centers and Institutes Policies and Procedures. The Committee reports to Academic Council and is charged with carrying out the following duties:

1. Establish the composition and membership of the Committee
2. Insure alignment between the University's Centers and Institutes Policies and Procedures and the UNC Policy Manual, and advise Academic Council on changes to the institution's policies and procedures to rectify discrepancies
3. Authorize permission to plan for new centers and institutes
4. Authorize or recommend, as appropriate, establishment of new centers and institutes
5. Establish the processes for periodic review of centers and institutes and

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- In May 2004, UNC-GA established new policies that authorize each campus to develop their directors for performance relative to their stated objectives, goals, and mission
6. Oversee conduct of periodic reviews of the established centers and institutes and their directors.
 7. Recommend discontinuation of centers and institutes when warranted
 8. Liaise with UNCGA on issues related to centers and institutes.

C. Planning a New Institute or Center

A.

Units interested in developing a new center or institute must submit a request to plan through the Vice Chancellor of Research and Graduate Studies and receive written approval from Academic Council and the Educational Policies and Planning Committee prior to engaging in the planning process. Subsequent to approval, the units will develop a proposal which includes the following required information:

1. Name of the proposed institute or center
2. Specific objectives and goals of the proposed center or institute
3. Center/institute's relevance to ECU's mission, including the impact upon the academic, research, and outreach programs of existing academic departments, schools, institutes and centers
4. Description of anticipated effects of the proposed center/institute on the instructional programs of ECU
5. Justification that the proposed center or institute meets a need currently not being met elsewhere within ECU and the university UNC system.
6. Name of the proposed director, and a description of any proposed advisor/advisory or policy boards
7. Names and credentials of participants in the proposed institute/center and criteria for inclusion of future participants/members
8. Description of the proposed center/institute's structure, including an organizational chart showing a) the relationship of the proposed center/institute to the existing organization and b) the internal organization of the proposed center/institute
9. Description of the expected benefit/value added to the campus or community in anticipated within five years due to the approval/existence of this center or institute
10. If funding is needed, budget/Budget estimates for the first year of operation, projections for the following four years, including the amount derived from General Funds, non-General Funds and anticipated sources of funding [template provided by IPRE] are requested in kind support, and the source of the required funds (i.e., department, institution, sponsor, etc.).
11. Statement of capital needs such as equipment and library resources and documentation of how these needs will be met, such as MOU's, award notices, and letters of commitment from the sources of the resources.
12. Description of immediate space needs and, projections of future space needs, and documentation of commitments from the parties committing the space for center and institute activities.

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

13. Any additional supporting information

14. Signatures of administrators of all participating units.

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B. Procedures for Approval/Review of Proposals to Establish Centers and Institutes at ECU:

1. Notice of center establishment. Immediate notification of the establishment of a center within an academic unit shall be sent to the Centers and Institutes Review Committee and to the Office of Academic Programs. This notification will suffice under the following conditions:
 - A. The new center will be housed completely within one college (Division of Academic Affairs) or school (Division of Health Sciences).
 - B. There is no request for funding beyond that currently provided by the creating college or school.
If there is the intent to secure external funding, please specify the sources being explored.
 - C. There is no request for space beyond that currently available through the creating college or school.
 - D. The newly established center will provide a one-year report of its functioning and funding to the Centers and Institutes Review Committee.
 - E. Should external funding be secured, the center will immediately submit a formal proposal to the Centers and Institutes Review Committee for permanent establishment of an institutional center.

D. Establishing Centers and Institutes

Proposals

2. The proposing team will present the proposal for a permanent center to the following:
 - ▲Centers and Institutes Review Committee
 - ▲The Chancellor's Executive Council
3. The Centers and Institutes Review Committee will forward its recommendations to the Provost, who will recommend new centers/institutes to the Chancellor's Executive Council.
4. The chancellor will consider recommendations from the Executive Council and provide final approval of institutional centers and institutes.
5. Requests to establish interinstitutional centers will be forwarded from the Office of the Chancellor to UNC-GA.

EXCEPTION: In cases of immediate need, proposals may and institutes must be submitted directly to the Academic Council with a stated justification of the need for immediate action on the request. In response to the request for expedited review, the Academic Council may endorse the proposal and recommend the new center/institute to the Chancellor's Executive Council, or it may return the proposal for campus review as stated above.

Please send all proposals for University centers and institutes to Linner Griffin, Office of Academic Programs, for referral to the Committee.

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Centers and Institutes Review Committee

Composition/Membership

Because all university centers (those organized beyond single departments or schools) report to either the to the Vice Chancellor for Research and Graduate Studies or to deans in the Divisions of Academic Affairs and Health Sciences, three persons representing these divisions serve as permanent members of the committee as

well. In addition, four other persons serve on the committee. The four others are (1) a representative of the deans, (2) Chair of the Faculty representative, (3) the chairperson of the Education for referral to the Educational Policies and Planning Committee, and (4) a faculty representative from the Graduate School Administrative Board and the Centers and Institutes Committee. The Centers and Institutes Committee reviews the proposals, considers input from the Educational Policies and Planning Committee, and recommends approval to Academic Council, the Chancellor, and Board of Trustees. The Board of Trustees notifies the Office of Research and Graduate Education at UNC General Administration prior to establishment.

E. Reporting and Reviews

All centers and institutes must submit an annual report of activities to the Centers and Institutes Review Committee Membership: Permanent Committee Members

- via the Vice Chancellor for Research and Graduate Studies (or designee)
- Associate Vice for archiving and transmission to the Academic Council and the Chancellor for Academic Affairs
- Vice Chancellor for Health Sciences (or designee)

Rotating Committee Members thru 6/30/07

- Representative of the deans
- Chair of the Faculty representative
- EPPC Chair
- Faculty representative of the Graduate School Administrative Board

Committee Functions:

The committee has three functions.

- First, the Committee will evaluate the merit of proposals for new University wide centers and institutes to ensure they serve an appropriate purpose and would not overlap with existing units. The committee also will consider resources available to the proposed center or institute.
- Second, the Committee will conduct reviews of centers' and institutes' annual. Annual reports during the first three years of the center or institute's operation. After three years of successful operation, review of University wide centers and their directors become part of the regular five year academic program review process and will be the responsibility of the academic officers to whom they report.
- Third, the Committee may from time to time be asked by the Academic Council to review the continued viability of existing centers.

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Definitions for Specific Categories of Centers and Institutes
([http://intranet.northcarolina.edu/docs/legal/policymanual/400.5\[r\].pdf](http://intranet.northcarolina.edu/docs/legal/policymanual/400.5[r].pdf))

1. Centers Versus Institutes

~~For the purposes of classification within UNC, there is no technical distinction made between the terms "center" and "institute." Both typically offer interdisciplinary programs attracting faculty, students, and staff from various academic departments or other structured units. In practice, an "institute" frequently refers to an activity with a broader scope than a "center." For example, an institute may create centers as separate units within its administrative structure, must~~

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2. Institutional Versus Interinstitutional Centers and Institutes

~~Centers and institutes may be either institutional or interinstitutional in nature, and may be designated as research, public service, or instructional units. They may include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies.~~

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Institutional

1. Institutional Performance against the stated objectives;
2. Annual expenditures from General Funds, non-General Funds and in kind support;
3. Source of the expended funds (i.e., department, institution, and/or sponsor);
4. Progress on the plan to self-sustaining and independent of General Funds and ongoing in-kind support including course buyouts and release time for center and institute directors, faculty, and staff; and graduate assistantships used to support operations. For centers and institutes that require ongoing support from General Funds and in-kind support the benefits derived from the activities of the center or institute relative to the funds expended must be clearly stated.

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

Each center and institute must undergo a comprehensive review every 5 years, to include a self-study that is critically evaluated by reviewers not affiliated with the center or institute. Reviews of centers and institutes that receive more than \$100,000 in General Funds plus in-kind support annually, or that are authorized to receive distributions of indirect costs through the Division of Research and Graduate Studies, must include reviewers from outside the institution and onsite visits. The Centers and Institutes Committee will schedule, orchestrate, and document results of the reviews. Review criteria will include, but not limited to, the following:

1. Performance against specific objectives and goals as reported in annual reports;
2. Quality and quantity of scholarly activity (as appropriate per mission), teaching and other instructional activity (as appropriate per mission), and service (as appropriate per mission);
3. Budget required to continue operation, including the amount and proportion of funds received from General Fund and non-General Fund sources as well as in kind support;

4. Fiscal oversight
5. Analysis and assurance that the entity does not duplicate other institutional, UNC, or State entities;
6. Analysis and consideration as to whether the entity's work can be effectively accomplished by a single department or program;
7. Facilities, personnel, and operational needs;
8. Stakeholder feedback (stakeholder defined as appropriate per the unit's mission)
9. Director performance
10. Performance against individual objectives and goals;
11. Feedback on leadership and communication from center/institute staff, partners and/or clients; and
12. Management of fiscal and human resources;
13. Standard practices and procedures for involving other UNC constituent institutions in review processes, when relevant;

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Results of the reviews will be reported to Academic Council and forwarded to the Chancellor. Unsatisfactory performance as documented in the annual review process and confirmed in the 5 year comprehensive review may result in a recommendation from the Centers and Institutes Committee to Academic Council and the Chancellor for discontinuation of a center or institute, or replacement of a director. The Chancellor's approval for discontinuation of centers and institutes will be approved by the Board of Trustees and reported to the UNC General Administration Office of Research and Graduate Education.

E. Discontinuing

A center or institute may be discontinued for a variety of reasons, including but not limited to request by its director, its administrative unit, Academic Council, or Chancellor; lack of fiscal resources for sustainability; incompatibility with departmental, college, or institutional missions or objectives; failure to meet performance expectations; and completion of the mission. The Centers and Institutes Committee will make recommendations for discontinuation to Academic Council for approval by the Chancellor and Board of Trustees. The Board of Trustees must notify UNC GA Office of Research and Graduate Education prior to discontinuation.

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

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

G. Other Entities

Other coordinating entities, such as networks, partnerships, consortia, collaboratives, or centers that form within the UNC system. These existing centers or institutes may collaborate with units or single departments from other institutions for specific activities or, are exempt from these regulations. For example, faculty within a

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~~department may decide to form a collaborative in order to more intentionally connect their research projects, but fiscal and administrative oversight is limited to a single institution. Institutional centers do not submit planning, establishment, or discontinuation requests and professional networks. While such a group may prove a valuable resource to external partners or other disciplinary contacts, it would likely require little to no structure, funds, or management to function. A final determination will be left to the discretion of the Centers and Institutes Committee as to whether such entities will be governed under institution level processes.~~

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H. University System Multi-Campus Centers and Institutes

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

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

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~~Centers and institutes functions as part of one or more constituent institutions of the University and is subject to the policies and procedures for establishment and review that are established by their respective campus administrative management, oversight, and control of the chancellor of the administrative campus (or the chancellor's designee(s)) as to all activities undertaken by the center or institute, including with respect to the use of funds, services, supplies, equipment, information technology resources, vehicles or other University property.~~

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Interinstitutional

~~Interinstitutional centers and institutes involve more than one campus within the UNC system for participation, including shared administrative and fiscal oversight or substantial involvement of more than one UNC institution in ongoing activities. Centers are also considered interinstitutional if UNC GA provides fiscal and/or administrative oversight. Each interinstitutional center must designate the unit to provide administrative and/or fiscal oversight. In some cases these responsibilities may be assigned to two separate institutions or assumed by UNC GA. The UNC Board of Governors provides oversight for all interinstitutional centers and institutes in accordance with these regulations.~~

~~Interinstitutional centers serve to promote collaboration and to minimize duplication within the University. They increase the opportunities for external funding by enhancing interdisciplinary collaborations and by facilitating access to a wider range of facilities, faculty, students, and other resources. Interinstitutional centers may also enhance outreach and public service to the citizens of North Carolina by providing a coordination of "regional sites" in fields such as small business and economic development, cooperative extension, public health, the environment, and teacher training.~~

3. Types of Centers and Institutes

Research

~~A research center or institute has research as its primary mission. Both institutional and interinstitutional centers may be designated for research. Although classified as a research center or institute, such a unit may also provide instruction, training, technical assistance, or public service programs. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.~~

Public Service

~~A public service center or institute has public service or technical assistance as its primary mission. Both institutional and interinstitutional centers may be designated for public service. Research, instruction, and training activities may also be conducted as secondary components of the mission. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.~~

Instructional

~~An instructional center or institute has training or instruction as its primary mission. Both institutional and interinstitutional centers may be designated for instruction, and these units may also conduct research and public service activities. Although instructional centers and institutes do not have primary jurisdiction over academic curricula, they may offer courses in cooperation with academic units.~~

C. Purpose and Scope of Centers and Institutes

~~Centers and institutes are established within the University to strengthen and enrich multidisciplinary programs of research, public service, or instruction conducted by the faculty and staff. They also may provide undergraduate, graduate, and postdoctoral students with added research opportunities, facilities, and assistance, as well as enhance their involvement in public service and educational activities...~~

~~Centers and institutes must avoid unnecessary duplication within UNC. Each unit seeks to differentiate its mission, activities, and/or clientele from other UNC units, and to make its facilities available to other constituent institutions for cooperative activities as appropriate.~~

I. Political activity and legislative activity

University employees assigned to centers and institutes are subject to UNC Policy Manual Section 300.5.I, concerning Political Activities of Employees, which includes prohibitions against engaging in political activity while on duty and using the authority of one's position or University or center or institute funds, services, supplies, equipment, information technology resources, vehicles or other resources for such activities, as described in the policy.

The Internal Revenue Code (IRC) limits the extent to which charitable organizations that are tax-exempt pursuant to Section 501(c)(3) of the IRC may engage in activities directed towards influencing legislation (lobbying), subject to applicable exceptions. The University is a tax-exempt body, and each center or institute remains subject to the direction of its administrative campus when engaging in legislative (lobbying)

activities, which shall be conducted in compliance with all State and federal laws, including regulations adopted by the U.S. Department of Treasury and the Internal Revenue Service. Each center or institute shall adhere to the IRC Section 501(c)(3) limits on lobbying activities to the same extent that such limits would apply if it were an independent charitable organization described in IRC Section 501(c)(3).

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

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East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Michael Van Scott, Interim Vice Chancellor for Research, Economic Development and Innovation
Agenda Item	III. B.
Item Description	Pilot Temporary Variable Supplement Payment Plan in the College of Allied Health Sciences
Comments	
Action Requested	Approval
Disposition	
Notes	

**Request to Board of Trustees for
Approval of a Pilot Temporary
Variable Supplement (Non-Salary and
Deferred Compensation) Plan in the
College of Allied Health Sciences**

The Board of Trustees is asked to consider approval for performance-based Temporary Variable Supplement payments for select EHRA employees in the College of Allied Health Sciences during FY16. UNC Policy Manual 300.2.14, “Non-Salary and Deferred Compensation”, and ECU Policy on Non-Salary and Deferred Compensation for Employees Exempt from the State Personnel Act authorizes the Board of Trustees to approve temporary non-salary compensation for EHRA employees. In 2012, the Board of Trustees approved a non-salary compensation plan for Brody School of Medicine Basic Science Faculty that included a provision for temporary increases in non-salary compensation based on the amount of state appropriated salary funds released when a faculty member assigns a portion of her/his effort to extramurally-funded grants and contracts. The BSOM plan has been an important factor in retaining research productive faculty in the medical school, and we seek approval to expand the program to include a pilot program in the College of Allied Health Sciences for FY16.

UNC’s 2013-2018 strategic plan entitled “Our Time, Our Future: The UNC Compact with North Carolina” that UNC will “Serve the People of North Carolina.” The first of four strategies for serving the state is to “Invest in game-changing research that has the potential to create value and solve significant problems in North Carolina,” and the associated action items including “Hire, reward, and retain critical faculty in areas of excellence.” Likewise, the ECU strategic plan, “Beyond Tomorrow”, calls for increasing research in mission-relevant areas defined at least in part by regional needs; and the UNC President, Margaret Spellings, has prioritize affordable access to higher education. Implementation of a TVS plan is intended to align with these strategic initiatives by providing financial incentive for the faculty to seek extramural funding in support of salaries and program costs.

In addition, with declining government support for higher education, it is essential that ECU diversify its revenue streams and become less dependent on state sources of funding. Accordingly, in Moody’s recently provided a healthy Aa2 credit rating (“outlook stable”) for ECU, but also cited “limited diversity from grants for a large university with a medical school and limited scope of activity for a university with a \$718 million expense base” as a concern. As conceived, the TVS plan will provide incentive for faculty to pursue extramural funding that will offset state appropriated salary. Increased extramural funding will cover some of the direct programmatic costs, recover a portion indirect (i.e., Facilities and Administration (F&A)) costs, and offset state appropriated salary that can be converted to operating funds (i.e., Grant and Contract Reassign Time (GCRT) funds). In this way, expansion of the TVS plan will leverage state appropriations and diversify funding for the institution’s programs.

College of Allied Health Sciences Temporary Variable Supplement Plan

I. INTRODUCTION

In accordance with The UNC Policy Manual 300.2.14, “Non-Salary and Deferred Compensation”, this document delineates the Temporary Variable Supplement (“TVS”) criteria and process for awarding such compensation to full-time tenured, tenure track, and fixed-term faculty in the ECU College of Allied Health Sciences (the “CAHS”). This TVS Plan (the “Plan”) is a mechanism to attract and retain the highest possible quality faculty who are particularly productive at obtaining external grant awards. Hiring new and retaining current grant-producing faculty have become difficult and costly due to constricting state resources. In order to recruit and retain such faculty, a system that recognizes and values their grant-producing talents must be implemented. Such a system also supports one of ECU’s Guiding Principles, as described in its 2014-2019 Strategic Plan, “Discover and innovate”, which states that “East Carolina will champion mission-driven research and innovation...[and] increase research funding and strengthen our research infrastructure to address the region’s challenges and opportunities.” Thus, the CAHS is committed to creating and managing a TVS process that invests in grant-productive faculty members, their departments, the college, university, community, and state.

II. SUMMARY

For faculty participating in TVS, his/her total annual compensation will consist of (1) the **Academic Base Salary** and (2) a **Temporary Variable Supplement**. The total annual compensation may increase or decrease from year to year, based upon the individual’s grant productivity, and must be consistent with Board of Governors and applicable ECU salary policies. The actual funding sources used to pay the individual components of a faculty member’s total compensation may vary in any given year.

III. DEFINITIONS AND PROCEDURES

Academic Base Salary: The Academic Base Salary is a stable component of the total annual salary. This Plan does not permit the Academic Base Salary to be adjusted downward, but it may be increased using departmental funds when available. For most departments, these funds are provided through increases in state EHRA funds accessible to the department through legislative increases. Increases in departmental EHRA state funds are awarded to individual faculty members by the chair as part of the annual evaluation and adjustments to faculty pay. Any changes in Academic Base Salary for a faculty member recommended by the chair must be approved by the Dean and Vice Chancellor, and must be in accordance with applicable ECU and University of North Carolina (UNC) guidelines.

Temporary Variable Supplement: Excellence in teaching, research, and service is expected from all faculty members. However, recognition of exceptional performance in achieving productivity targets in the area of scholarly activity/research including but not limited to assignment of effort on sponsored projects, is available through a Temporary Variable Supplement. The Temporary Variable Supplements are paid from non-state funds available in the College.

Process: Funds for the Temporary Variable Supplements and associated fringe benefits will be derived from non-state funds made available by the college and department for that purpose. The Temporary Variable Supplement for an individual faculty member will be paid quarterly, after the quarter has ended, and will be based on the faculty member's percent effort assigned to sponsored projects during that quarter. Faculty must have been paid from the applicable grant(s) for the entire quarter in order to be eligible to receive the Supplement. The Temporary Variable Supplement will be consistent with any applicable regulations and guidelines provided by the granting agency, ECU and/or UNC.

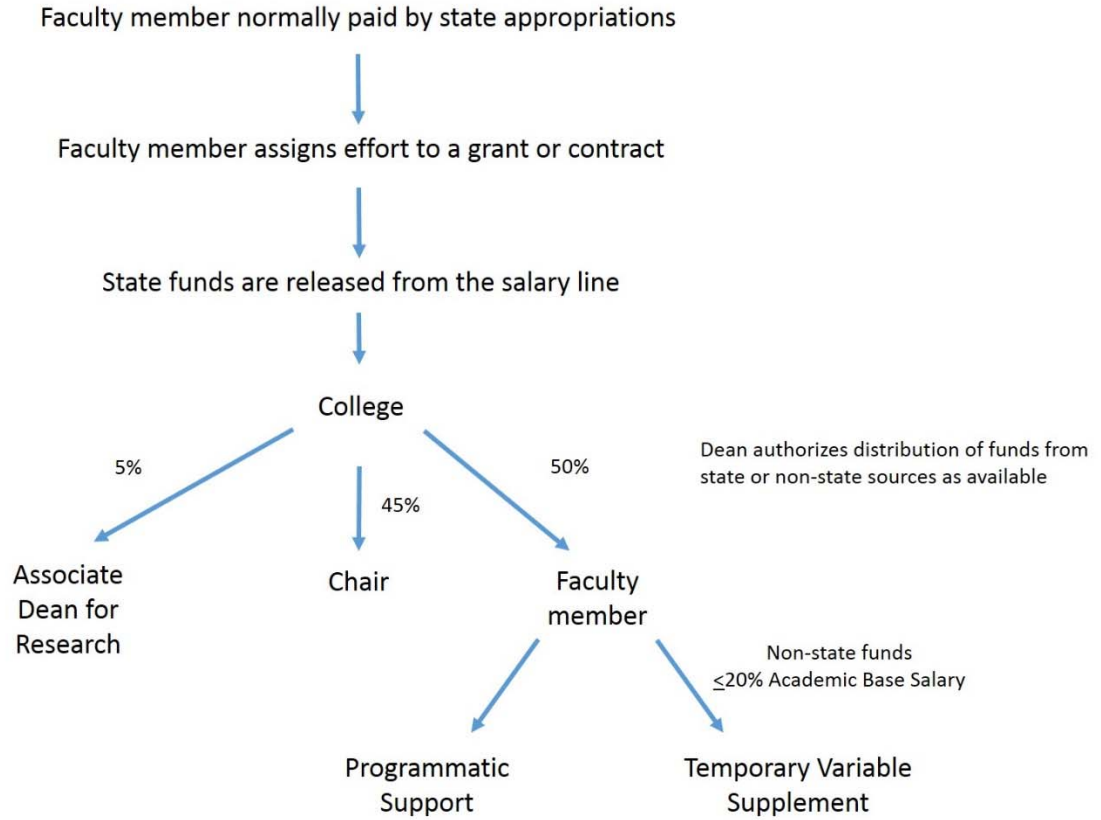
Temporary Variable Supplements are temporary adjustments in compensation and are not a modification to the individual's Academic Base Salary. It is also subject to the availability of non-state funds generated through the College and made available to the department in support of the TVS program. To receive a Temporary Variable Supplement, a faculty member must be a full-time employee of ECU and reside in the same academic department where the outstanding performance was achieved at the time of payment.

Eligibility for Participation in the Program: Faculty covered by this plan include full-time tenured, tenure track, and fixed term CAHS faculty. Faculty members who are eligible participants may elect to enroll in this Plan; participation is not compulsory. Faculty members must indicate no later than the start of each fiscal year quarter (i.e., first day of the month) if they plan to participate in the Plan for the respective quarter.

Implementation Plan: Based upon current applicable guidelines, individual faculty can receive Temporary Variable Supplements using non-state funds made available to the department for that purpose. The funds cannot be used to increase the Academic Base Salary. The generation of external grant funding is considered a part of a faculty member's university full-time duties and it is not treated as an overload activity.

The purpose of the TVS plan is to incentivize both the department and the faculty in the development and maintenance of successful grant-funded programs in research. Accordingly, it is expected that when a faculty member assigns effort to an extramural funding source and releases state funds that would normally be paid as salary to the faculty member, that the amount of funds released will be made available to the College, department, and faculty member in the following proportion: 5% to the College, 45% to the department, and 50% to the faculty member. The actual funds distributed to the department and faculty member will be from either state or non-state sources, as determined and authorized by the Dean of CAHS. Only non-state funds distributed to the faculty member may be used to pay a TVS. Thus, the total dollar amount of a TVS cannot exceed 50% of the total amount of state salary released by the faculty member's externally funded activity. In addition, a maximum of 20% of a faculty member's Academic Base Salary may be earned through TVS disbursements.

Schematic of Temporary Variable Supplement (Non-salary and Deferred Compensation) Plan



College of Allied Health Faculty Requesting Eligibility for Pilot TVS Plan in FY16

Physical Therapy:

Sonja Bareiss

- Recipient of ECU scholar teacher 2015 and outstanding honors college mentor 2015
- mentoring numerous undergraduate and research students
- Recipient of competitive international award for studying pain post spinal injury
- Invited to present at society national meetings and serves a reviewer for leading journals on pain
- Anticipating promotion and tenure this year

Biostatistics:

Xiangming Fang, (last three years)

- 4.3 peer reviewed publications per year
- 4 funded grants per year
- 8.3 student thesis/dissertation committees per year

Qiang Wu, (last three years)

- 3.3 peer reviewed publications per year
- 2 funded grants per year
- developed and maintains teaching applets that are housed on a departmental server that he set up

Paul Vos, (last three years)

- 6.3 peer reviewed publications per year
- 1.7 funded grants per year
- 8.7 student/dissertation committees per year

Physician Assistant:

Alan Gindoff

- As department chair, has supported the involvement of his faculty on several grant proposal submissions.
- Collaborating with Family medicine and nursing on Geriatric Workforce Enhancement Program

Kim Stokes

- Generation of GWEP Lunch and Learn series for Roanoke Chowan Community Health Center (RCCHC)
- Interprofessional development of virtual clinic case for multidiscipline students
- Collaboration and implementation of Virtual Clinic Experiences for M3, PA, FNP, AGNP and DNP students
-

Department of Addictions and Rehabilitation Studies:

Steve Leierer

- As director of the PhD in Rehabilitation Counseling and Administration, he has led to significant improvement in the number of students who have graduated.
- Serves as the department's Graduate Program Director,
- Teaches across the masters and PhD programs,
- Serves on university, college, and departmental committees.
- Serves as the research methodologist on students' dissertations as well as methodologist on grants – this is part and parcel of his national reputation as a research methodologist.

Steve Sligar

- National reputation as a pioneer of and expert in vocational evaluation has made his role and contribution on recently funded grants indispensable.
- His workload over the years has typically been one of the highest, quantity and quality, in the department. This includes a full teaching load, publications beyond grant participation, service, as well as coordinating a graduate certificate in vocational evaluation.
- Editor of a national level, peer-reviewed journal.

Paul Toriello

- As Department Chair, has supported the department mission in obtaining over \$1 million in grants.
- These grants have not only supported operations and students in the Department of Addictions and Rehabilitation Studies but operations/students in other departments have been supported as well.
- Interdisciplinary projects have resulted in the provision of evidence-based services to the poor and underserved in eastern NC.
- Incredibly grant productive while leading department operations (including the submission of two self-studies for national accreditation), maintaining a teaching load, and exceeding publication and service expectations.

Leigh Atherton

- A "rising star" in the academy.
- Prior to moving into a tenure track position in the department, he was in a Clinical Assistant Professor position with no research expectations. Nevertheless, he published, and pursued and participated in grants activities over and above the allocation of his effort.
- As a junior, tenure track faculty, he continues to exceed expectations of teaching, research, and service, making him one of the most productive faculty in the department.

Communication and Speech Disorders:

Jamie Perry

- Dr. Perry has published 24 peer review publications, 2 book chapters, and over 40 presentations in the past 5 years since joining ECU. She is a recognized national leader in the field of MRI and cleft palate research.
- Dr. Perry has submitted 16 grants since joining ECU 5 years ago with 7 being funded (total cumulative direct costs of \$596,400, *one grant carried over in part from her prior university) and 3 of the 16 grants are currently under review. Dr. Perry has demonstrated success with internal grant support (interdisciplinary grant), foundation (cleft palate foundation), and external NIH support.
- In addition to demonstrated research success, Dr. Perry currently mentors 4 PHD students, 3 Graduate student thesis projects, and carries a 4 classes (fall), 1 class (spring), and 2 classes (summer) teaching load and is serving as PhD director and interim department chair.

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Virginia Hardy
Agenda Item	IV. A.
Item Description	Male Student Success
Comments	
Action Requested	Information
Disposition	
Notes	



Proposed Male Student Success Action Plan: Improving Engagement, Persistence, and Completion Outcomes

Charge and Process

During the September 2015 ECU Board of Trustees meeting, the University Affairs Committee discussed lower retention and graduation rates as well as overall engagement among ECU male students. Dr. Virginia Hardy, Vice Chancellor for Student Affairs, was charged with preparing a “Male Student Success Action Plan” for improving engagement, persistence, and completion outcomes with presentation to the University Affairs Committee at the April 2016 meeting. The proposed action plan was developed based on synthesis of institutional data, student success conference evaluation data, and institutional practice.

Context and Current Efforts Summary

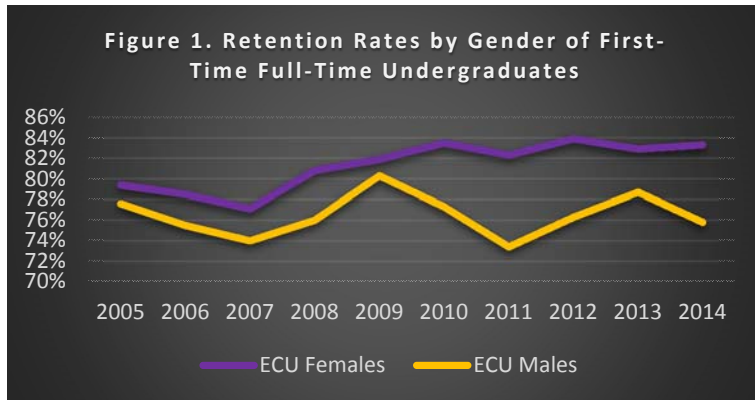
Nationally, there is a gender gap in college enrollments and degree attainment. For much of the past decade, national focus has been directed toward under-represented populations; African American males in particular. In recent years, a shift has become more pronounced to include all males. Gender shifts are also visible in reduced levels of participation in classroom engagement, student organization leadership, and high impact educational experiences such as first year seminars, diversity/global learning, connection to academic support services, and community engagement.

The most troubling trend cited and reported widely in the national media are reports of college men making poor decisions; e.g. alcohol and drug abuse, violence, and high numbers of campus judicial offenses.

These often cited trends have merit in terms of the “numbers.” Unfortunately public discourse and a sizable body of scholarship have focused on a “deficit orientation” in which stereotypes are perpetuated. “The most pressing problems affecting male student outcomes would persist regardless of how many or how few are enrolled” (Harper & Harris, 2010, p. xvii). Greater understanding is needed specific to who men are in the college environment, their complex developmental journeys, and identification of ways to build on models of student success. This understanding effectively addresses experiential and learning outcomes gaps; e.g., improve persistence & completion outcomes, reduce destructive behaviors & health risks, facilitate healthy identities...,” how some men develop into mature adults who responsibly enter society as healthy citizens, ethical leaders and professionals, principled parents, and unwavering agents for social justice (Harper & Harris, p. 12).

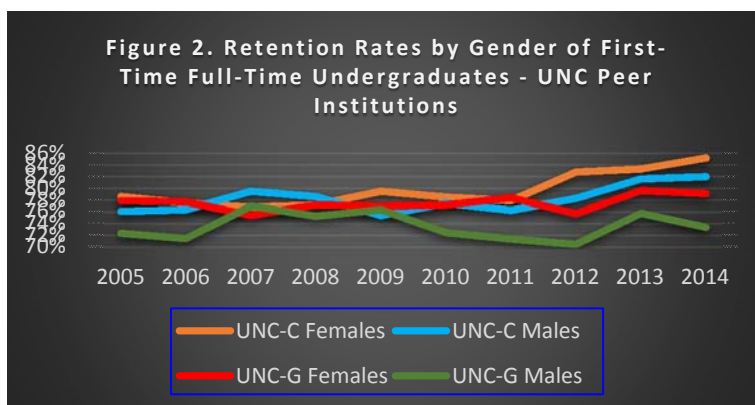
In the context of college, greater understanding of “men as men” should include a multidimensional exploration with a focus on implications for practice specific to functional areas of student support programs and services as well as the academic setting: socio-psychological-political influences, gender identity development and gender socialization, sexualities and orientations, student development theory, health and wellness, campus culture and localized gendered norms. **During the past year ECU has begun this multidimensional exploration through collection of institutional data and campus-spanning discussions to better understand our current context.**

The Gender Gap at ECU and Comparison to Peer UNC Institutions: Retention and Graduation Rates



Ten year tracking of first to second year retention rates by gender among first-time full-time (FTFT) undergraduate students provides several important insights:

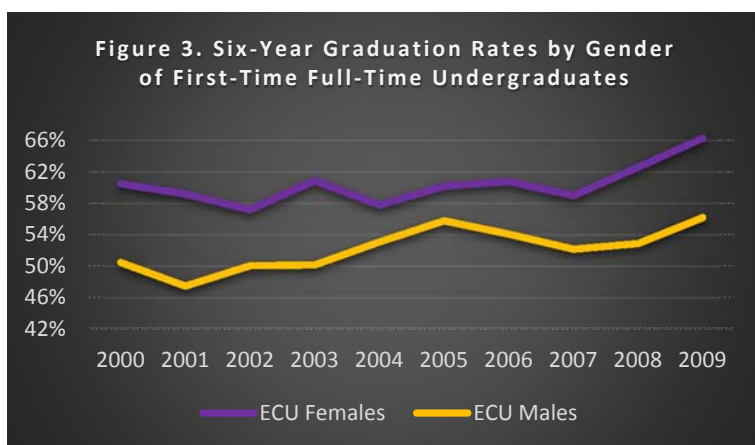
- ECU male retention has consistently been lower than female retention during the past decade.
- The FTFT retention gap between ECU female and male cohorts grew from 1.8% (female=79.4%, male=77.6%) in 2005 to 7.5% (female=83.3, male=75.8%) in 2014.



- A similar gender gap in FTFT retention rates exists at our two most closely aligned UNC system institutions: UNC-Charlotte and UNC-Greensboro

Retention Gap Comparison 2014 Cohort:

ECU: F = 83.3 M = 75.8 Gap = 7.5
 UNCC: F = 85.2 M = 82.0 Gap = 3.2
 UNCG: F = 79.1 M = 73.4 Gap = 5.7

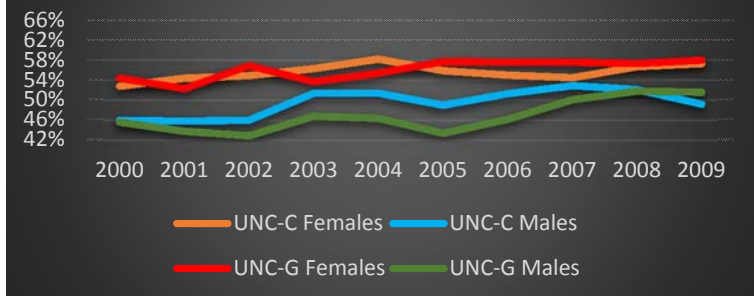


- From 2000-2009, the six-year graduation rates between females and males by cohort also show a consistent gap in which men are graduating at a lower rate.

➤ The FTFT 6-year graduation gap between ECU females and males was 10.0% (female=60.5%, male=50.5%) in 2000. The gap fluctuated as high as 11.7% for the 2001 cohort and as low as 4.4% for the 2004 cohort.

➤ The 2009 FTFT cohort gap was 10.1% (female=66.3%, male=56.2%)

Figure 4. Six-Year Graduation Rates by Gender of First-Time Full-Time Undergraduates - UNC Peer Institutions



➤ A similar gender gap in FTFT graduation rates exists at our two most closely aligned UNC system institutions: UNC-Charlotte and UNC-Greensboro

Graduation Gap Comparison for 2009 Cohort:

ECU: F = 66.3 M = 56.2 Gap = 10.1

UNCC: F = 57.3 M = 49.2 Gap = 8.1

UNCG: F = 58.0 M = 51.6 Gap = 6.4

➤ Although our graduation gap is greater, ECU’s graduation rates are higher in comparison to UNCC and UNCG.

Identification of Male Student Success Support at ECU

ECU offers a comprehensive option of programs, services, and special initiatives supporting student success in general. The following efforts have been recognized as effective in supporting male student success at ECU:

- **Support for the whole student:** Focus on development and learning attending to the intellectual, social, emotional, and physical needs of students with recent attention directed toward specific needs of males.
- **IPAR and research professionals:** Campus expertise and infrastructure to collect and analyze institutional data disaggregated by gender
- **Early alert system (STARFISH):** Ability to identify individual students early in their college career.
- **Specialized support services and programs:**
 - Pirate Academic Student Success Center: Tutoring, mentoring, and support services have been reframed to attract and engage male students.
 - Campus Recreation and Wellness: Male targeted programming and wellness initiatives
 - 470+ Student Organizations: Organized around special interests
 - Male mentoring and coaching initiatives
- **Learning Communities:** Make a larger university feel small and create a sense of belonging while encouraging engagement (learning-academic, social, accountability, deepen engagement)
 - Freshman Immersion Program (FIP) Scholars: designated male community
 - COAD 1000: Currently have 1 section populated solely by males
 - Athletics and club sports that are male focused in membership

Action Recommendations

As the Action Plan Working Group discussed prospective action recommendations it became clear that improving engagement, persistence and completion outcomes among male students would require a “systems change” strategy. The focus of certain actions will address the “male experience” in specific ways but will also require more systemic thinking relative to infrastructure, programs and practice. Another point of concern is making sure that actions keep legal and policy parameters in mind to assure we meet institutional requirements specific to equity. Ultimately, these actions are suggested to narrow the achievement and engagement gaps as well as positively support both men and women in ways that are relevant to their college experience.

1. **Implement a comprehensive institutional approach in data collection and use to effectively address male student engagement, persistence, and completion gaps.**
 In general, we need to be more collaborative and creative in conceptualizing and practicing data collection, manipulation, analysis and use.
Action Step 1: Review current institutional data and define a focused institutional research agenda
Action Step 2: Implement the predictive analytics initiative to focus on gender differentiation (and race/ethnicity).
Action Step 3: Implement a comprehensive focus group inquiry to explore experiences of ECU male students

2. **Develop new and enhance existing learning communities that ensure high impact practice and improve student engagement, persistence, and completion outcomes.**
 ECU has a wide range of programs and services designed to support student success. There are no general laws or standards that apply to all programs and services meaning that context and individuals must be taken into consideration. It has also been noted that incoming or new students are better served with structures in place to guide development of effective success behaviors. Using knowledge from national research, particularly on high-impact practice and effective learning communities, we recommend developing new and enhancing existing programs and services would meet the goal of engaging our male students both in and out of the classroom.

Action Step 1: Continue practice of special topic sections of First Year Seminar (COAD 1000) for male students and expand the number of offerings.
Action Step 2: Develop living learning community for male students.
Action Step 3: Expand Freshmen Immersion Program (FIP) to match ECU gender ratio.
Action Step 4: Fully develop Project M.O.R.E. (Male Outreach, Retention and Enrichment). Project M.O.R.E. focuses on personal development as well as coordinates programs and services to assist male students where needed. Project M.O.R.E. piloted one male COAD section in spring semester 2016.

3. **Empower faculty and staff with resources to support, facilitate and evaluate male student success.**
 The university community at large should have a clear understanding of the importance of student engagement in and out of the classroom specific to what it looks like, how to support and facilitate, and how to evaluate support system effectiveness.
Action Step 1: Develop a campus-wide resource “guide” featuring high impact practice and the “basics” of supporting student engagement.
Action Step 2: Create a communities of practice initiative to bring together faculty and staff with common student success interests to facilitate discussion, planning, sharing of resources, and evaluation methods.

4. **Develop and target outreach and educational messaging to male students that conveys keys to student success, campus resources, personal responsibilities, and self-efficacy.**
Action Step 1: Hold an annual Male Student Success Summit for students. The inaugural conference is scheduled for April 9, 2016.
Action Step 2: Develop a student advisory group to inform messaging and outreach processes.
Action Step 3: Develop a communications strategy that includes website, digital, and social media mechanisms.

Implementation Considerations

As with all action plan implementation, there are considerations that will need to be addressed to be successful in achieving our intended engagement, persistence and completion outcomes. Key considerations include:

- **Consistent institutional commitment and support** inclusive of senior administration, faculty and staff, and organizational units.
- **Male student “buy-in”** to see value and engage in actions supporting their success at ECU.
- **Adequate resources** (time, human capital, physical, fiscal) allocated to support implementation efforts and address emerging questions and issues.
- **Institutional grant seeking** to fund action implementation.

Conclusion

Careful consideration was given to the analysis of data and institutional information informing the action recommendations outlined in this draft plan. These actions were identified as key elements comprising an integrated action plan that should be an institutional effort across all divisions. Overall, the implementation of recommended actions are intended to produce the following outcomes and improvements:

- Close the persistence to completion gap.
- Male students will report the positive value and impact of their ECU engagement.
- ECU will demonstrate effective best practice.
- ECU will generate new scholarship regarding student success in general, and male student success in particular.

2015-2016 Leadership Collaboration

ECU personnel have been aware of and attending to issues associated with the male student success achievement and engagement gaps.

Male Student Success Action Plan Working Group

- Elizabeth Coghill, Pirate Academic Success Center
- Mary Beth Corbin, Ed.D., Office of Student Transitions
- Mary Farwell, Ph.D., Biology; and Division of Research, Economic Development and Engagement
- Jayne Geissler, Ph.D., Retention Programs and Undergraduate Studies
- Kathleen Hill, Student Affairs Assessment, Research and Retention
- David Holder, M.D., College of Medicine
- Beverly King, Ph.D., Institutional Planning, Assessment, and Research
- Margot Neverett, Ph.D., Institutional Planning, Assessment, and Research
- Jeremy Tuchmayer, Student Affairs Assessment, Research, and Retention

A student success conference was planned in collaboration between the divisions of Student Affairs and Academic Affairs to broaden the campus conversation about creating an institution-wide vision for male student success. The two teams below have helped to inform the ad hoc working group.

Male Student Success Ad Hoc Working Group (initial symposium concept development)

- Mary Beth Corbin, Ed.D., Office of Student Transitions
- Todd Fraley, Ph.D., Honors College
- Jake Jenson, Ph.D., Human Development and Family Science
- Melinda Kane, Ph.D., Sociology
- Aaron Lucier, Campus Living
- William McCartney, Campus Living
- Keith Tingley, Student Involvement and Leadership

- Jeremy Tuckmayer, Student Affairs Assessment, Research and Retention
- Lathan Turner, Ed.D., Office of Student Transitions
- Daniel Wilson, Ph.D., Advisor for College of Engineering and Technology

Student Success Conference Committee

- Lathan Turner, Ed.D., Office of Student Transitions (Chair)
- Elizabeth Coghil, Pirate Academic Success Center
- Mary Beth Corbin, Ed.D., Office of Student Transitions
- Todd Fraley, Ph.D., Honors College
- Jayne Geissler, Ph.D., Retention Programs and Undergraduate Studies
- Melinda Kane, Ph.D., Sociology
- Aaron Lucier, Campus Living
- Angela Marshall, Office of Student Transitions
- Daniel Wilson, Ph.D., Advisor for College of Engineering and Technology

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Virginia Hardy
Agenda Item	IV. B.
Item Description	Clinton Global University Initiative Student Presentation
Comments	
Action Requested	Information
Disposition	
Notes	



**MAXIMIZING STUDENT SUCCESS AND SERVING THE PUBLIC
THROUGH ENGAGEMENT IN HIGH-IMPACT PRACTICES**

BOARD OF TRUSTEES BRIEFING

**EAST CAROLINA UNIVERSITY
DIVISION OF STUDENT AFFAIRS**

Greenville, North Carolina
April 2016

Executive Briefing Purpose

In the Division of Student Affairs we view student success as the overall picture of how students thrive. Thriving students are deeply engaged – intellectually, socially, and emotionally – in learning experiences both in and out of the classroom (Schreiner, 2010). Our focus on thriving as a holistic approach to student success extends beyond grades and graduation rates to supporting students in making the most of their college experience. This includes attention to key factors such as positive energy invested in one’s own learning, achieving important goals, positive perspective on present choices and the future, relating in healthy ways with other people, and commitment to making positive contributions to one’s community and society (Schriener, 2013). **The purpose of this briefing is to highlight how the Division of Student Affairs champions student engagement efforts inclusive of high-impact practices that positively contribute to maximizing student success and serving the public.**

Supporting Student Engagement

Student engagement is the time and energy students devote to educationally purposeful activities, or those practices shown to be related to desired educational outcomes (Kinzie, 2013). Important indicators of student engagement include the degree to which a campus creates a supportive environment and emphasizes high quality interactions between students and their peers, staff, academic advisors, faculty and administrative offices. To that end, the Division of Student Affairs provides programs and services that optimize student learning and leadership, builds a safe supportive and welcoming campus community, fosters the emotional growth and personal development of students, and makes a positive contribution to the overall student experience.

Student engagement on ECU’s campus has never been higher. The following is a sampling of the Division’s educationally purposeful activities and student engagement:

- ECU offers membership in **470 official student organizations producing over ONE MILLION engagement hours** in programs, activities and service annually. A majority of these engagement experiences are student-led initiatives, thus deepening the learning and leadership experience.
- **Campus Recreation and Wellness** utilizes the Eight Dimensions of Wellness model in all programs, which encompasses Physical, Occupational, Spiritual, Financial, Social, Intellectual, Emotional, and Environmental wellness. Notably, over 70% of students utilize the Student Recreation Center and more than 50% of students participate in structured programs and events (unduplicated numbers).
- The **ECU Collegiate Recovery Community** provides a supportive environment within our campus culture to help students who have made a commitment to lead sober, healthy lives. It is designed to provide social and educational opportunities where recovering students can thrive academically and socially while actively pursuing their recovery.
- The Division of Student Affairs **employs over 1400 students with compensation in excess of \$3.2 million.** Students benefit by having employment that can be coordinated around course schedules while also defraying educational costs. More importantly, student employment is designed to develop competencies such as leadership, communication and integrity, which are vital to one’s career.
- ECU’s **fall and spring career fairs** offer students the chance to interact with about 200 hiring employers and corporations each semester. In 2015, 53% of students attending the career fairs were hired upon graduation for full-time positions and more than two-thirds of attendees garnered one or more internships or part-time jobs, or created a professional business relationship.

High-Impact Practices in Student Affairs

High-Impact Practices (HIPs) are techniques and interventions proven through research to be beneficial for student engagement and successful learning among college students from many backgrounds (Kuh, 2008). HIPs also represent enriching educational experiences that can be life-changing. It is suggested that college students engage in at least two high-impact practice experiences during their college education, preferably one in the first year and the second later in the college experience (Kuh, 2009; Kuh et al., 2010). **The Division of Student Affairs has systematically implemented HIPs as a strategy to positively impact student persistence to completion as well as enhance student engagement.**

First-Year Seminar: COAD 1000

- The purpose of COAD 1000 is to support first-year students in making a successful transition to higher education, both academically and personally. The course aims to foster a sense of belonging, promote engagement in the curricular and co-curricular life of the university, articulate to students the expectations of the University and its faculty, help students develop and apply critical thinking skills, and help students continue to clarify their purpose, meaning, and direction.
- COAD 1000 engages more than 40% of first-year students annually and uses approximately 7000 hours of employee time, mainly from staff members in Student Affairs and the Academic Advising Collaborative. During fall 2015, 1322 students enrolled in 62 sections of COAD 1000.

Common Intellectual Experiences: Pirate Read

- Pirate Read facilitates a common reading experience with incoming classmates, faculty and staff. The experience is designed to orient students to the academic community by encouraging intellectual dialogue and critical thinking, prepare students for the college-level environment, and explore ideas from the book across the university curriculum.
- The 2015-2016 book selection was *Enrique's Journey* by Sonia Nazario, who visited campus on March 31, 2016. The non-fiction book chronicles the dangerous quest of a Honduran boy looking for his mother, eleven years after she is forced to leave her starving family to find work in the United States. Key issues applicable across disciplines include immigration, family dynamics, law and ethics, acculturation, and social justice.

Learning Communities: Living Learning Community Program

- Living Learning Communities (LLCs) were created to provide students with the opportunity to experience the transition to a larger university in smaller, more personal groups. They are designed to assist in the academic transition to university instruction, to support the student-faculty interaction beyond the classroom, and to encourage positive student connections within East Carolina University. Students who reside in a learning community take at least two classes together in the fall semester.
- Student Affairs' commitment to student success has contributed to unprecedented growth from two LLC's to 17 since the 2011-12 academic year. LLCs include: Honors, Biology, Chemistry & Physics, Wellness, Future Pirate Nurses, Education, Transfer Students, Music, Explorers, Kinesiology, Business, Dance, Athletics, Art & Design, Engineering, Jarvis Leadership, and Camp PIRATES. The new Gateway Hall is home to 14 of 17 LLCs. More than 830 students are members of an LLC in 2015-2016, representing 15% of on-campus residents. New LLCs continue to be added with Anchors (first generation students) starting in fall 2016 and the Languages LLC being planning for fall 2017.
- While each LLC at East Carolina University is unique in its focus and theme, all share the same major goals for students: 1) achieve academic success, 2) be actively engaged in academic, local, and/or global communities, and 3) have opportunities to discover their leadership potential. Emerging assessment results demonstrate that residing in an LLC positively impacts first to second year retention and intended student learning outcomes.

Diversity/Global Learning: Cultivating Cultural Competence and Inclusive Excellence

- Student Affairs emphasizes programs that help students explore cultures, life experiences, and worldviews different from their own. Such experiences often explore differences such as racial, ethnic, and gender inequality, or struggles around the globe for human rights, freedom, and power. It should be noted that cultural competency is an essential intersection between inclusion and safety.
- A 2015 inventory of Divisional “diversity” efforts revealed there are more than 100 sustained events, programs, and campus resources directed toward cultivating cultural competence and inclusive excellence. While many of these experiences are awareness raising efforts, the majority are designed to facilitate in-depth discussions with diverse others relating to economic background, political views, religious beliefs, race or ethnicity, etc. Examples of engagement experiences include social justice education seminars, documentary series discussions, cultural student organizations, and safe zone training. A majority of these programs are offered through the Ledonia Wright Cultural Center and the LGBT Resource Office. Notably, these units are purposeful in developing collaborative partnerships across the university community to maximize program and service impact.
- Campus climate is a reflection on the extent to which the environment is perceived to be safe and inclusive. A multi-year focus group project has been launched to explore how students experience campus climate specific to civility and intersections with various social identities and issues. Findings from this inquiry will be used to inform the Division’s cultural competence and inclusive excellence engagement efforts.

Community-Based Learning: Continuum of Leadership and Civic Engagement

- The newly re-organized Center for Leadership and Civic Engagement (CLCE) fosters an environment where individuals learn about themselves and their community, take action through service, and advocate for lasting social change. The continuum of service and leadership opportunities, signature programs, and Alternative Break Experiences (ABE) gives students direct experience with specific societal issues in a co-curricular environment with ongoing efforts to analyze and solve problems in the community; in essence, application of learning and reflecting on their experience.
- More than 7,000 students record service hours through CLCE on an annual basis. Total student service hours recorded during 2014-2015 was 36,700.
- Community-based learning promotes that idea that engagement with the community is an important college outcome and that working with community partners is good preparation for citizenship, work, and life. Community service partnerships have been established with 238 local and regional organizations. Top 10 community partners where our students serve, according to recorded service hours include:
 1. Campus Kitchen (hunger)
 2. Vidant Medical Center (health/medical)
 3. ECU Writes (literacy)
 4. Adapted Physical Recreation (developmental/intellectual disabilities)
 5. Alternative Break Experiences (variety of issues)
 6. Food Bank of ENC (hunger)
 7. Pirate Playtime (youth development)
 8. Humane Society of ENC (animal care)
 9. Golden Living Center (seniors)
 10. Habitat for Humanity (housing)

Collaborative Projects: Transformative Student Engagement Through Collaboration Projects

- Collaborative learning combines two key goals: learning to work and solve problems in the company of others, and sharpening one’s own understanding by listening seriously to the insights of others, especially those with different backgrounds and life experiences. Student Affairs has identified collaborative projects as a major strategic direction. During the past year, more than a dozen collaboration projects have engaged students from conceptualization through implementation. Project topics have focused on food insecurity,

emergency and opportunity funding for students, violence against women, interfaith understanding, and campus services improvement along with a variety of small group leadership initiatives.

➤ Composing Change is a new co-curricular collaboration initiated by the Division of Student Affairs, faculty members from the University Writing Program, and students with formalized activities to be launched during the 2016-2017 academic year. The intent of this initiative is to engage college students (and community members) in real world problem solving activities that can help them develop their voices and passion for issues that matter to them as citizens. Students will work together on issues of their own choosing – analyze options, develop action plans, discover solutions, and reflect on their work. Composing will involve a variety of multimedia technologies, spaces, and processes.

Internships or Field Experiences: Cooperative Education (CO-OP)

➤ Career Services, academic programs, and employer - partner in CO-OP to provide students with direct experience in a work setting – usually related to their career interests – and to give them the benefit of supervision and coaching from professionals in the field. A sampling of employers includes: BSH, Cisco, Disney, Patheon, BMW, Altec, Dixon Hughes Goodman, Freedom Industries, Sequence Inc., Crown Equipment, Northern Southern, Danaher, Babcock & Wilcox, UTC Aerospace, and Flanders Corporation.

➤ During the past year, 126 students have participated in CO-OP (range of 26 to 39 students per semester). All students (100%) maintained active student status and worked in full-time paid positions.

➤ Summer and fall semester 2015 evaluation data from employers and students (n=61) is positive across all rating measures with a few examples below:

- **Employer evaluation on students:**
 - Students relations with colleagues – 94% works well or exceptionally well with others
 - Students ability to adapt and learn in work environment – 96% average or above average
- **Student evaluation on experience:**
 - Was the work performed of professional value? 91% agree or strongly agree
 - Overall rating of experience to career goals? 87% experience was relatable or exceptional

Maximizing Student Success and Serving the Public: Integration and Innovation

The three high impact practice profiles that follow personify engagement strategies that integrate ECU's commitments to maximize student success and serve the public. Furthermore, the profiles illuminate how collaborations between departments, staff, and students generate innovations in high impact practice engagement.



PROMOTES DIVERSITY AND GLOBAL UNDERSTANDING:

The concept of the NC Civility Summit developed from conversations between major student organizations (Student Government Association, the Black Student Union and Student Activities Board) and Student Affairs staff. ECU students wanted to engage their peers and the greater university and Greenville communities in open dialogue on issues ranging from human trafficking to civil discourse across social media.

In February, nearly 200 students, faculty and staff from six states converged on ECU's campus to start a conversation that has since received local and state attention resulting in East Carolina University and Greenville, NC being identified as leaders in student empowerment, community involvement, and civil discourse educators. Participant evaluation of the summit was overwhelmingly positive with great value placed on the opportunity to engage in constructive, civil dialogue across differing perspectives on issues that are often controversial. The NC Civility Summit launched and will continue to foster student-led, community-involved programs to build student leaders that enact positive change in our society.

COMMUNITY-BASED LEARNING IN ALTERNATIVE BREAK EXPERIENCES:

In March ECU students hit the beach for spring break, but for these students it was all in the name of service. Student Affairs units offer service opportunities, through Alternative Break Experiences, to tackle important social change issues such as hunger, homelessness, poverty, rural health access, and environmental sustainability.



Students learn through the exchange of ideas, personal reflection, critical thinking and by applying academic concepts outside the classroom through hands-on service in North Carolina, Virginia, Maryland, Georgia and Florida. During this one week, 62 students on six trips contributed more than 3,000 hours of direct service while deepening community partnerships. This direct service represents over \$50,000 in economic wage impact across the six communities. Furthermore, students developed a deeper commitment to civic engagement and leading positive social change while improving effectiveness in building community with others. ECU plans to significantly increase the number of trips offered, which opens opportunities to more student participants and larger community impact.



COLLABORATIVE PROJECTS: That Big Idea Challenge is part of the Clinton Global Initiative program for universities. The Clinton Global Initiative University (CGIU) is a conference that allows students to present their ideas to world leaders and innovators centered on solving one of five global challenges: education, environment and climate change, poverty alleviation, peace and human rights, and public health. **Current ECU students, Mona Amin, a 2014 CGIU participant, and Zach Evans provide leadership for the That Big Idea Challenge team.** The team assists students, across disciplines, in the incubation of their ideas. During fall semester 2015, over 30 students collaborated within 15 project groups on their ideas. By the end of the semester, 12 groups submitted their completed applications to the CGIU conference.

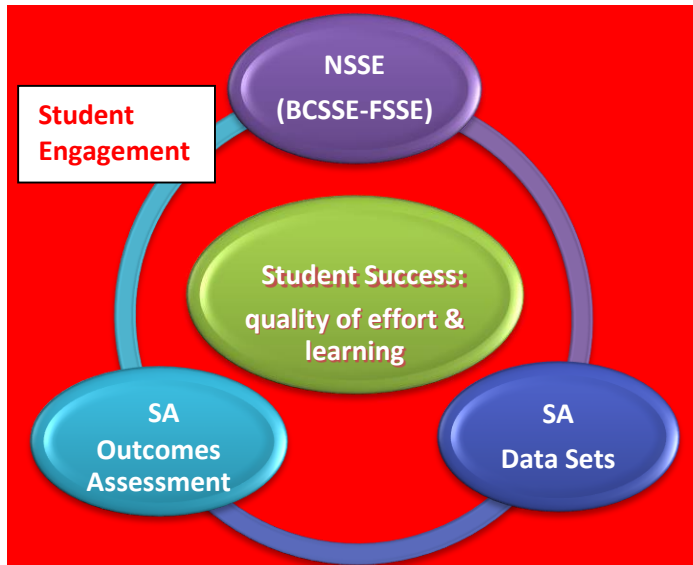
That Big Idea Challenge is proud to announce that two project teams have been accepted to CGIU.

- Team **Free Man Beyond Me** is led by ECU junior **Roderick Hall**. *Free Man Beyond Me* is a program that is centered on college and career preparation for youth in rural North Carolina.
- Team **ReGift** is a joint project between East Carolina University and the University of North Carolina Chapel Hill and led by ECU Freshman **Bina Amin** and UNC Freshman **Garima Tomar**. *ReGift* is a non-profit organization that aims to take used or partial used gift cards in the form of donations to assist hunger non-profits.

Students with both projects are attending CGIU April 1st through 3rd at the University of California – Berkeley.

Measures of Success

Institutions need information about students' experiences to deploy resources appropriately and encourage success behaviors (Kinzie, 2013; Kuh et al., 2015). The Division of Student Affairs has implemented two specific strategies for informing student success: 1) Engagement Evidence Model, and 2) Targeted Research to Practice Initiatives.



Engagement Evidence Model:

Student engagement is a rich concept to base evidence-driven practice.

1. Specific student engagement measures are collected through **Student Affairs program outcomes assessment**. Such measures are typically focused on defined knowledge, skill, and competency outcomes.
2. **Student Affairs data sets** are being developed throughout engagement focused programs for purposes of tracking breadth and depth of involvement. This approach is also allowing us to analyze engagement in connection with background characteristics and key institutional metrics such as retention and graduation rates.

This area of measurement also supports institutional efforts in building appropriate predictive analytics.

3. The **National Survey for Student Engagement (NSSE)** gathers valid, reliable information on the extent to which first-year and senior students are exposed to proven educational practices (HIPs) that correspond to desirable learning outcomes. Results provide estimates of how students spend their time and what they gain. We are particularly interested in engagement indicators associated with the supportive campus environment as well as HIPs. The NSSE is administered every three years with the last administration occurring in spring 2015. We collaborate with IPAR in use of NSSE data in our engagement evidence model.

The integration of these three data sources will provide a stronger basis for documenting and improving learning processes and outcomes. The current year's assessment reporting cycle to be completed August 1 will result in our first pilot of the integrative approach to engagement evidence, which will inform our understanding of both quality of effort and learning in targeted program areas.

Targeted Research to Practice Initiatives:

Student Affairs continues to be proactive in addressing the developmental complexities and unique background characteristics that accompany today's student. The two research profiles that follow provide insight regarding the Division's efforts to increase the institution's knowledge about students, the educational environment, and institutional effectiveness in support of student success.

Student Resilience Research Project

Student resilience, the positive and adaptive response to facing significant adversity and/or stress, is an important competency students must develop in order to succeed in college. However, an increasing percentage of our students struggle with many of the basic coping skills necessary to manage the stressful

situations affecting their lives. Furthermore, **such difficulties can have a negative influence on student engagement and desired educational outcomes.**

The Student Resilience Research Project is an interdisciplinary inquiry exploring the following questions:

- (1) Are the number of ECU students who experience conduct problems and/or utilize student services such as disability services, the counseling center, and the student health center increasing over time? Whether their numbers are increasing or not, are these difficulties associated with their college success (retention and/or graduation)? This question is being addressed through use of departmental data sets, institutional data collected via the universities Operational Data Store (ODS), and key student background/characteristic variables.
- (2) Are students who are high in resilience more likely to be retained (or graduate) than students low in resilience? This component of the research utilizes a resilience self-assessment (CD-RISC).

This is a multi-year collaborative project engaging Student Affairs staff, Institutional Research, and faculty members from Psychology, Counselor Education, and Health Education.

Exploration of the First Generation Engagement Experience

Approximately one-third of ECU's undergraduate population are students identified as first generation college attendees (no parents/guardians have any post-secondary education). First generation students are at higher risk for departure from college. This research project was launched in fall semester 2015 to explore:

1. Who are our first-year, first generation students based on the BCSSE/NSSE data set? What was the first year experience like specific to engagement and general transition to college?
2. How have junior and senior level first generation students experienced ECU (focus group inquiry)?
 - o Barriers / resources
 - o Expectations
 - o Support structures/networks
 - o Cultural context (rural vs urban; race; gender)
 - o Family dynamics
 - o Identity (do they see themselves as first generation, etc.)

Results from the first year of this inquiry will inform first generation outreach efforts as well as long-term planning for improving first generation engagement and support resources. It is anticipated that this first year of inquiry will lead to new research questions.

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East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Dr. Virginia Hardy
Agenda Item	IV. C.
Item Description	Title IX Update
Comments	
Action Requested	Information
Disposition	
Notes	

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Donna Payne, Vice Chancellor for Legal Affairs
Agenda Item	V. A.
Item Description	Policy Development at ECU
Comments	
Action Requested	Information
Disposition	
Notes	

Formatting, Adopting, and Publishing Policies, Regulations, and Rules

Version 2 (Current Version)

Policy	REG01.15.01
Title	Formatting, Adopting, and Publishing Policies, Regulations, and Rules
Category	Governance and Administration
Sub-category	Governance - General
Authority	Chancellor
History	First Issued: November, 2009 Last Revised: August, 2012
Contact	University Attorney (252-328-6940)
Related Policies	UNC Code
Additional References	Guidelines for Drafting Policies, Regulations, and Rules (PRRs) PRR Approval Process (Flowchart) PRR Template PRR Representatives

1. PURPOSE:

The University of North Carolina has delegated various powers and duties to the Boards of Trustees and Chancellors of its constituent institutions, including the authority to establish policies and regulations for the efficient and orderly administration of the institution. This Regulation addresses the sources of authority for Policies, Regulations, and Rules (PRRs) at East Carolina University and the procedures for their adoption and publication. PRRs adopted in substantial compliance with this regulation are valid and may not be grieved for procedural error.

2. DEFINITIONS AND SOURCES OF AUTHORITY:

For the purpose of this regulation, these terms have the following meanings:

2.1. Policy: A "Policy" is any standard, statement, or procedure of general applicability adopted by the Board of Trustees pursuant to authority delegated by law or the Board of Governors.

2.2. Regulation: A "Regulation" is any standard, statement (which may refer to a policy statement), or procedure of general applicability adopted by the Chancellor or the Chancellor's delegee that addresses any of the following matters:

2.2.1. Compliance with fiscal, academic, research, human relations, or administrative requirements imposed by federal or state laws or implementing regulations.

2.2.2. Procedures and reporting requirements related to implementation or compliance with policies of the Board of Governors or Board of Trustees, or regulations of the General Administration.

2.2.3. Matters not specifically addressed in Board of Governors or Board of Trustees policies or regulations of the General Administration that are within the general nature of the chancellor's delegated responsibilities to administer the institution.

2.2.4. In Section 502D of The Code of UNC, the UNC Board of Governors ("BOG") has established that, subject to its policies and those of the president and the Board of Trustees ("BOT"), the Chancellor: shall be the leader and the official spokesperson for the institution; shall promote the educational excellence and general development and welfare of the institution; shall define the scope of authority of faculties, councils, committees, and officers of the institution; and all projects, programs, and institutional reports to be undertaken on behalf of the institution shall be subject to the Chancellor's authorization and approval.

2.2.5. Changes or exceptions to Regulations issued by the Chancellor may only be made by the Chancellor.

2.3. A "Rule" is a standard, statement (which may refer to a policy or regulation) or procedure, (a) adopted by an academic or administrative unit of East Carolina University pursuant to authority mandated by an East Carolina University Policy or Regulation or (b) adopted by an executive officer or executive officer's delegee pursuant to authority delegated in Section 6 of this regulation to address specific subject matters that are limited in scope to a particular unit's operational functions. A Rule may supplement but not conflict with Policies and Regulations.

2.4. "Standard Operating Practices" are established by academic or administrative units to facilitate the day-to-day business operations of a particular unit and are distinguished from policies, regulations, and rules because they do not directly or substantially affect procedural or substantive rights or duties. Except as is otherwise specified, Standard Operating Practices are not subject to this Regulation, must not conflict with policies, regulations, or rules, and should be clearly written and well communicated.

2.5. "Executive Officer" includes the vice chancellors, provost, or any other senior level administrator reporting directly to the chancellor.

2.6. "Issuing authority" means the entity that has been delegated the authority to create and implement policies, regulations or rules.

3. ADOPTION OF POLICIES, REGULATIONS, AND RULES:

3.1. Recommendations for New PRRs or Changes to Existing PRRs

Faculty Senate, the Graduate Council, Staff Senate, Student Government Association, any standing or ad hoc committee of East Carolina University or any administrative or academic officer, including Executive Officers, may recommend new PRRs or changes to existing PRRs. Any member of the University Community may forward recommendations for new or revised PRRs to any of the above entities/individuals.

As provided in Section 502D of The Code of UNC, the BOG requires the Chancellor to ensure that there exists in the institution a faculty council or senate, a majority of whose members are elected by and from the members of the faculty. At East Carolina University, the general faculty are the general electorate and the Faculty Senate is the legislative and advisory body representing the general faculty. The Chancellor and the Chair of the Faculty facilitate communication that enables continuing and effective faculty participation in all aspects of the University community. The Chancellor is a member of all faculties and other academic bodies of the institution and shall have the right to preside over the deliberations of any legislative bodies of the faculties of the institution.

3.2. Mandated Policies and Regulations

3.2.1. Policies or Regulations that East Carolina University is specifically directed to adopt by federal or state law or regulation, or by action of the Board of Governors or General Administration are adopted pursuant to the procedures in Section 3.5 except as otherwise allowed noted in Section 3.2.2.

3.2.2. Special Circumstances: The procedures in Section 3.5 do not need to be followed in the following circumstances:

1. The Chancellor or the Chancellor's delegee may issue interim Regulations without following the procedures set forth in Section 3.5 when it is necessary to meet emergency deadlines or in other special circumstances.
2. The University Attorney is authorized to make non-substantive edits and substantive updates to Board of Trustees Policies that are non-discretionary mandatory changes to accord with UNC policies and regulations or state or federal law. The University Attorney is also authorized to make similar revisions to East Carolina University Regulations and Rules. Non-substantive edits include, but are not limited to updating titles or names that may have changed; correcting grammar, punctuation and typographical errors; editing for language consistency and format; and changing monetary rates that are the result of federal or state regulatory changes (e.g., mileage rate reimbursement)

3.3 Other Policies and Regulations

Policies and Regulations not within the Scope of Section 3.2 are not subject to procedures in Section 3.5. Such Policies and Regulations are reviewed and issued directly by the Board of Trustees, Chancellor or Chancellor's delegee. The Board of Trustees, Chancellor and executive officers with delegated authority may follow the procedures in Section 3.5, but are not required to do so. All Policies and Regulations are subject to the requirements of Section 4 and executive officers are responsible for ensuring legal review of PRRs. The Chancellor or Chancellor's delegee shall ensure the establishment of appropriate procedures within the institution to provide members of the faculty the means to give advice with respect to PRRs that involve questions of academic policy and institutional governance. The procedures for giving advice may be through the Faculty Senate, special committees or other consultative means. East Carolina University places particular emphasis upon recommendations to the Chancellor or Chancellor's delegee in matters of tenure and promotion, curriculum, degree requirements, instructional standards, and grading from the Faculty Senate. Communication with other executive officers and the Chancellor and University Attorney is expected unless the executive officer and the University attorney concur in the issuance of the PRR.

3.4 Rules

Rules are not within the scope of Section 3.2. Academic or administrative units may adopt Rules after review and approval of the unit administrator with delegated authority and legal review and concurrence of the University Attorney. Rules are subject to the Requirements in Section 4.

3.5 Procedure for the Adoption of Mandated Policies and Regulations

3.5.1 Proposals are submitted for initial review to the Chancellor or an executive officer. Proposals should be submitted in the format set forth in Section 4.

3.5.2 If the Chancellor or executive officer concurs with the proposal, the proposed Policy or Regulation is forwarded to the Office of the University Attorney for review.

3.5.3 After legal review, if no changes are recommended, the proposed Policy or Regulation is forwarded to the Chancellor's Office for review by the Executive Council. If the Office of the University Attorney recommends changes, the executive officer and the Office of the University Attorney will resolve the issue, or jointly seek resolution by the Chancellor.

3.5.4 The proposal is placed on the Executive Council's agenda for review. Normally at least five (5) business days are provided prior to the Executive Council's review.

3.5.5 Following review by the Executive Council, the Chancellor acts on the Proposed Policy or Regulation. The Chancellor may take any action on an Executive Council recommendation, including but not limited to: action to table, adopt, not adopt, or adopt with revisions. The Chancellor may use any advisory process deemed helpful by the Chancellor. The Chancellor shall ensure the establishment of appropriate procedures within the institution to provide members of the faculty the means to give advice with respect to PRRs that involve questions of academic policy and institutional governance. The procedures for giving advice may be through the Faculty Senate, special committees or other consultative means. East Carolina University places particular emphasis upon recommendations relating to matters of tenure and promotion, curriculum, degree requirements, instructional standards, and grading from the Faculty Senate. In the spirit of shared governance, before the Chancellor either adopts with revisions a regulation or recommends to the Board of Trustees a proposed policy that differs from a recommendation of the Faculty Senate regarding matters of tenure and promotion, curriculum, degree requirements, instructional standards, and grading, the Chancellor will seek additional advice from the Faculty Senate to be provided within a period the Chancellor establishes in the best interest of the University. Proposed Policies will be forwarded to the Board of Trustees for action.

4 CONTENT FORMAT AND PUBLICATION OF PRRS:

4.1 Content

PRRs create administrative structures, set priorities, assign responsibility, delegate authority, establish accountability, and define reporting requirements. PRRs directly or substantially affect procedural or substantive rights and duties. PRRs should be concise, understandable and contain only material essential to the PRR. PRRs must be consistent with applicable governing authority. PRRs should contain a date for review on a consistent basis.

4.2 Format

Each University policy should be developed in numerical outline format following the PRR template. Section titles and subtitles should be used where appropriate. Every policy should be drafted in numerical outline in Garamond 12 point font. The following format should be used to maintain consistency with each University policy:

4.2.1 New PRRs should be drafted in numerical outline format following the PRR template. Section titles should be used where appropriate. Hyperlinks in the body of the regulation are limited to other ECU PRRs and forms. All other references should be listed and hyperlinked in the informational section preceding the text of the PRR.

4.2.2 Proposed revisions to PRRs should edit the existing PRR by striking out language proposed for deletion and highlighting or underlining language that is new.

4.2.3 New PRRs or proposed revisions to PRRs should be accompanied by information, from the sponsor to the executive officer to whom the unit reports, that, summarizes the content of the new PRR or proposed revisions, suggests a proposed effective date, if other than the date of issuance, and lists related PRRs or other relevant information such as forms that the reader of the regulation might find useful. Sponsors should follow instructions at the beginning of the PRR template and obtain legal review prior to submitting the proposed PRR to the executive officer.

4.2.4 The Assistant Secretary to the Board of Trustees is responsible for maintaining the hardcopy of each Policy that is approved by the Board of Trustees. The Chief of Staff is responsible for maintaining the hardcopy of each Regulation that is approved by the Chancellor. If a Policy or Regulation must be approved by the Board of Governors, the Assistant Secretary to the Board of Trustees shall maintain the hardcopy of the Policy and the Executive Assistant to the Chancellor shall maintain the hardcopy of the Regulation.

4.3 Publication of PRRs

4.3.1 The official site for approved PRRs is the East Carolina University Policy Manual website. When approved by the authorized university officer, PRRs are to be forwarded to the Office of the University Attorney for electronic publication on the University's PRR web page. The Office of the University Attorney will assign a number to the PRR, edit the title for location and subject matter clarification, insert the effective date and edit the informational section preceding the PRR to include related PRRs, forms, and additional relevant information. The Office of the University Attorney will also add the PRR to the table of contents and site map and provide search terms for the web site function.

4.3.2 Any electronic reproduction of a PRR by any University unit must be by hyperlink to the PRR on the East Carolina University PRR website. Units may publish web pages, handbooks, bulletins, brochures, and similar materials to provide information to faculty, staff, students and other constituent groups. To the extent that such materials reference Board of Governors or East Carolina University PRRs, with or without including the text verbatim, there must be a disclaimer that establishes the pre-eminent authority of the PRR and a reference to the location of the official PRR.

5. DELEGATION OF AUTHORITY FOR REGULATIONS:

The Chancellor delegates final approval authority for regulations not specifically mandated by federal or state law or regulation or direction by the UNC Board of Governors, ECU Board of Trustees and UNC-General Administration and that fall within the specific areas below to the following executive officers:

5.1 Provost and Vice Chancellor for Academic Affairs

5.1.1 Degree eligibility for undergraduate students

5.1.2 Undergraduate Admissions to the University

5.1.3 Scholarships and other forms of financial aid excluding graduate assistantships and fellowships

5.1.4 Academic Registration and Records

5.1.5 Academic standards and curricula matters for undergraduate students

5.1.6 Faculty personnel procedures relating to faculty titles and ranks, appointment, reappointment, promotion, tenure, leaves of absence, the phased retirement program, and retirement/re-employment agreements

5.1.7 International Programs

5.1.8 Distance education, continuing studies and learning technologies

5.1.9 Academic Libraries and Learning Resources

5.1.10 Arts programs and activities

5.1.11 ROTC Programs

5.1.12 State Residency Appeals

5.1.13 Accreditation and certification for academic programs and reviews of academic and non-academic programs (Note: this is a shared item between the Division of Academic Affairs, Division of Student Affairs, Division of Health Sciences and the Division of Research and Graduate Studies)

5.1.14 Institutional Planning, Assessment and Research

5.1.15 Academic Program Development

5.2 Vice Chancellor for Student Affairs

5.2.1 Student Activities

5.2.2 Student Services and Groups

5.2.3 Student Conduct

5.2.4 Student Health, Wellness and Fitness

5.2.5 Student Union

5.2.6 Freshman Residency

5.2.7 Solicitation

5.2.8 Alcohol Policy

5.3 Vice Chancellor for University Advancement

5.3.1 Criteria and Procedures for the Acceptance of Gifts

5.3.2 University Development

5.3.3 Alumni Relations

5.3.4 Advancement Services

5.4 Vice Chancellor for Administration and Finance

5.4.1 Business Operations

5.4.2 Campus Operations

5.4.3 Environmental Health and Safety

5.4.4 Financial Services

5.4.5 Human Resources

5.4.6 Information Technology and Computer Systems

5.4.7 Facilities

5.4.8 Parking and Transportation Services

5.4.9 Enterprise Risk Management

5.5 Vice Chancellor for Health Sciences

5.5.1 Clinical Operations

5.5.2 Compliance

5.5.3 Risk Management

5.5.4 Business Operations

5.5.5 Educational Programs

5.5.6 Human Resources in the Division of Health Sciences

5.5.7 Health Sciences Library Services

5.5.8 Research Programs and Clinical Trials

5.5.9 Division Advancement/Development

5.5.10 Faculty personnel procedures relating to faculty titles and ranks, appointment, reappointment, promotion, tenure, leaves of absence, the phased retirement program, and retirement/re-employment agreements

5.5.11 Academic standards and curricula matters in health sciences

5.5.12 Prospective Health

5.5.13 East Carolina University Heart Institute

5.6 Vice Chancellor for Research and Graduate Studies

Graduate Studies

5.6.1 Graduate School

5.6.2 Degree eligibility for graduate students

5.6.3 Graduate admissions

5.6.4 Graduate assistantships, fellowships and tuition remissions

5.6.5 Academic standards and curricula matters for graduate students

5.6.6 Personnel procedures relating to postdoctoral scholar appointments

5.6.7 Appointment of graduate faculty, including titles and ranks

5.6.8 Graduate student services

5.6.9 State Residency Appeals

Research

5.6.10 Sponsored Programs

5.6.11 Grants and Contracts (Note: this is a shared item between the Division of Research and Graduate Studies, Administration and Finance, and the Division of Health Sciences)

5.6.12 Research Compliance

5.6.13 Technology Transfer

5.6.14 Human Subjects Protection

5.6.15 Use of Animals in Research

5.6.16 Conflicts of Interest

5.6.17 Misconduct in Science

5.6.18 Export Controls

5.6.19 Biohazards, chemical safety, recombinant DNA and radiation hazards (Note: this is a shared item between the Division of Research and Graduate Studies, Administration and Finance, and the Division of Health Sciences)

5.6.20 Diving and Water Safety

5.7 Chief of Staff

5.7.1 Communications, Marketing, and Public Affairs

5.7.2 Government and External Relations

5.7.3 Special Events

6. DELEGATION OF AUTHORITY FOR RULES:

6.1 Joyner Library Operations -Dean, Academic Library Services

6.2 Laupus Library Operations - Dean, Laupus Library

7. EFFECTIVE DATE OF PRRS:

Policies are effective when adopted by the Board of Trustees unless the Policy or Board action otherwise specifies. Regulations and Rules are effective when approved by the Chancellor. Regulations and rules delegated to an Executive Officer or Executive Officer's delegee are effective upon approval of the Executive Officer or delegee and the University Attorney unless the Regulation or Rule otherwise specifies.



East Carolina University

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Last Updated: 04-06-2016

East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Donna Payne, Vice Chancellor for Legal Affairs
Agenda Item	V. B.
Item Description	Interim Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence
Comments	
Action Requested	Information
Disposition	
Notes	

Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence - Interim

Version 1 (Current Version)

Policy	REG06.40.03
Title	Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence
Category	Human Resources
Sub-category	Diversity/EEO
Authority	Chancellor
History	<p>Effective January 1, 2016, this Regulation replaces the following:</p> <p>Interim Regulation on Responding to Complaints of Sexual Harassment, Sexual Misconduct and/or Discrimination on the Basis of Sex;</p> <p>Sexual Harassment, Discrimination and Conflicts of Interest Policies and Procedures of East Carolina University; and</p> <p>Regulation Addressing Sexual Assault, Domestic and Dating Violence and Stalking as required by the Violence Against Women Act Amendments to the Clery Act – Interim.</p>
Contact	<p>Office for Equity and Diversity: 328-6804;</p> <p>Human Resources, Employee Relations: 328-9847;</p> <p>ECU Police Department: 328-6787;</p> <p>ECU Cares: 737-5555.</p>
Related Policies	<p>POL 05.25.02, Notice of Nondiscrimination and Affirmative Action Policy</p> <p>REG11.30.01, Student Conduct Process</p> <p>Faculty Manual Part XII, Section IV</p> <p>Faculty Manual Part IX, Section I</p> <p>REG06.35.02, Mediation and Grievance Procedure for SPA Employees</p> <p>Procedures for Reporting Harassment or Discrimination Based on an ECU Protected Class Against a CSS or EPA Non-Faculty Employee</p> <p>REG06.35.01, Review Process and Procedure for EPA Non-Faculty Employees</p> <p>Clinical Support Services Employee Handbook, Section 20 (for CSS)</p>
Additional References	<p>Resource and Reporting Guide for Student Reporting Incidents of Prohibited Conduct (A-1);</p> <p>Resource and Reporting Guide for Students Accused of Incidents of Prohibited Conduct (A-2);</p> <p>Resource and Reporting Guide for Employees Reporting Incidents of Prohibited Conduct (B-1);</p> <p>Resource and Reporting Guide for Employees Accused of Incidents of Prohibited Conduct (B-2)</p> <p>Jeanne Clery Act (20 US Code § 1092(f))</p> <p>VAW Amendments</p> <p>ECU PD</p> <p>Domestic Violence, NC General Statute §50B-1</p> <p>Stalking, NC General Statute §14-277.3A</p>

[Article 7A – Rape and Other Sex Offenses. NC General Statute §14-27.1 through §14-27.10](#)

[Article 7A – Specifics. NC General Statute §14-27.2 through §14-27.7](#)

[Incest. NC General Statute §14-178](#)

[ECU CARES](#)

[Title IX Coordinator](#)

[Report Disciplinary Complaint Against Student. OSRR](#)

[OSHR Employee Grievance Policy, Section 7](#)

[ECU Title IX Resources](#)

[Title IX OCR provisions](#)

[U.S. Department of Education Office for Civil Rights, April 2011 Dear Colleague Letter: Sexual Violence](#)

[U.S. Department of Education Office for Civil Rights, 2014 Guidance](#)

[Text of Title IX \(20 U.S.C. 1681-1688\)](#)

[U.S. Department of Education Office for Civil Rights Title IX General Information](#)

[Title IX Regulations](#)

[U.S. Department of Education Office for Civil Rights, Dear Colleague Letter: Sexual Violence Background, Summary, and Fast Facts](#)

[U.S. Department of Education Office for Civil Rights, Know Your Rights: Title IX Prohibits Sexual Harassment and Sexual Violence Where You Go to School](#)

[U.S. Department of Education Office for Civil Rights, Revised Sexual Harassment Guidance: Harassment of Students By School Employees, Other Students or Third Parties](#)

[U.S. Department of Education Office for Civil Rights, Sexual Harassment: It's Not Academic](#)

[U.S. Department of Justice The Campus Sexual Assault \(CSA\) Study](#)

REGULATION ON SEXUAL AND GENDER-BASED HARASSMENT AND OTHER FORMS OF INTERPERSONAL VIOLENCE

1. Introduction.

East Carolina University, a constituent institution of the University of North Carolina, strives to be a national model for student success, public service and regional transformation and is built upon tolerance, civility and mutual respect. Consistent with these values, the University is committed to providing a safe and non-discriminatory learning, living, and working environment for all members of the University community. The University does not discriminate on the basis of sex or gender in any of its education or employment programs and activities. To that end, this Regulation prohibits specific forms of behavior that violate Title IX of the Education Amendments of 1972 (“Title IX”); Title VII of the Civil Rights Act of 1964 (“Title VII”). Such behavior also requires the University to fulfill certain obligations under the Violence Against Women Reauthorization Act of 2013 (“VAWA”) and the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (“Clery Act”).

1.1. **Prohibited Conduct.** The University prohibits Sexual Assault, Sexual Battery, Sexual Exploitation, Dating and Domestic Violence, Stalking, Sexual or Gender-Based Harassment, Complicity in the commission of any act prohibited by this Regulation, and Retaliation against a person for the good faith reporting of any of these forms of conduct or participation in any investigation or proceeding under this Regulation (collectively, “Prohibited Conduct”). These forms of Prohibited Conduct may be unlawful, undermine the character and purpose of the University, and will not be tolerated.

1.2. **Purpose.** The University adopts this Regulation with a commitment to: (1) eliminating, preventing, and addressing the effects of Prohibited Conduct; (2) fostering the University’s Community of Trust, in which Prohibited Conduct is not tolerated; (3) cultivating a climate where all individuals are well-informed and supported in reporting Prohibited Conduct; (4) providing a fair and impartial process for all parties; and (5) identifying the standards by which violations of this Regulation will be evaluated and disciplinary action may be imposed. Employees or Students who violate this Regulation may face disciplinary action up to and including termination or expulsion. The University will take prompt and equitable

action to eliminate Prohibited Conduct, prevent its recurrence, and remedy its effects. The University conducts ongoing prevention, awareness, and training programs for Employees and Students to facilitate the goals of this Regulation. Every member of the University community should foster an environment free of Prohibited Conduct. All members of the University community are encouraged to take reasonable and prudent actions to prevent or stop an act of Prohibited Conduct. The University will support and assist community members who take such actions.

1.3. Application. This Regulation applies to all reports of Prohibited Conduct occurring on or after the effective date of this Regulation. Where the date of the Prohibited Conduct precedes the effective date of this Regulation, the definitions of misconduct in existence at the time of the alleged incident(s) will be used. The procedures under this Regulation, however, will be used to investigate and resolve all reports made on or after the effective date of this Regulation, regardless of when the incident(s) occurred, adjusting as appropriate, underway already.

2. To Whom This Regulation Applies

This Regulation applies to Students who are registered or enrolled for credit- or non-credit-bearing coursework (“Students”); University employees, consisting of all faculty, and staff, (“Employees”); and contractors, vendors, visitors, volunteers, guests or other third parties (“Third Parties”) such as Student applicants.

2.1. Location of Prohibited Conduct. This Regulation pertains to acts of Prohibited Conduct committed by or against Students, Employees and Third Parties when:

2.1.1. the conduct occurs on property owned or controlled by the University (“University property”);

2.1.2. the conduct occurs in the context of a University employment or education program or activity, including, but not limited to, University-sponsored study abroad, research, on-line, or internship programs; or

2.1.3. the conduct occurs outside the context of a University employment or education program or activity, but has continuing adverse effects on or creates a hostile environment for Students, Employees or Third Parties while on University property or in any University employment or education program or activity.

2.2. Conflicting Provisions: This regulation supersedes any conflicting provisions contained in previous regulations, including but not limited to the “Interim Regulation on Responding to Complaints of Sexual Harassment, Sexual Misconduct and/or Discrimination on the Basis of Sex”, the “Sexual Harassment, Discrimination and Conflicts of Interest Policies and Procedures of East Carolina University”, and the “Regulation Addressing Sexual Assault, Domestic and Dating Violence and Stalking as required by the Violence Against Women Act Amendments to the Clery Act – Interim”. Where Prohibited Conduct violates this Regulation and also violates another Regulation, the University’s response will be governed by the procedures referenced in this Regulation. Questions about which Regulation applies in a specific instance should be directed to the University’s Title IX Coordinator at (252) 328-6804. Note that the University’s Office for Equity and Diversity administers a separate regulation that addresses other forms of discrimination and harassment: “the Regulation on Responding to Complaints of Prohibited Discrimination, Harassment and/or Related Retaliation.”

3. Applicable Procedures.

The specific procedures for reporting, investigating, and resolving Prohibited Conduct are based upon the nature of the Respondent’s relationship to the University (Student, Employee, or Third Party). Each set of procedures referenced below is guided by the same principles of fairness and respect for Complainants and Respondents. “Complainant” means the Student, Employee or Third Party who presents as the victim of any Prohibited Conduct under this Regulation, regardless of whether that person makes a report or seeks action under this Regulation. “Respondent” means the Student, Employee or Third Party who has been accused of violating this Regulation.

3.1. Disciplinary Action. A Student or Employee determined by the University to have committed an act of Prohibited Conduct is subject to disciplinary action, up to and including separation from the University. Third Parties who commit Prohibited Conduct may have their relationships with the University terminated and/or their privileges of being on University premises withdrawn.

3.2. Procedures. The procedures referenced below provide for prompt and equitable response to reports of Prohibited Conduct. The procedures designate specific timeframes for major stages of the process and provide for thorough and impartial investigations that afford all parties notice and an opportunity to present witnesses and evidence and to view the information that will be used in determining whether a Regulation violation has occurred. The University applies the Preponderance of the Evidence standard when determining whether this Regulation has been violated. Meeting the preponderance of evidence standard constitutes a conclusion it is more likely than not that the alleged conduct occurred. This standard will be used to evaluate the evidence for purposes of making findings and drawing conclusions for an investigation conducted under this regulation.

3.2.1. **Where the Respondent is a Student**. The procedures for responding to reports of Prohibited Conduct committed by Students are detailed in Appendix A: Investigating and Resolving Reports of Sexual and Gender- Based Harassment and Other Forms of Interpersonal Violence Committed by Students.

3.2.2. **Where the Respondent is an Employee**. The procedures for responding to reports of Prohibited Conduct committed by Employees are detailed in Appendix B: Investigating and Resolving Reports of Sexual and Gender- Based Harassment and Other Forms of Interpersonal Violence Committed by Employees.

3.2.3. **Where the Respondent is Both a Student and an Employee**.

3.2.3.1. Appendix A, the Student-Respondent procedures, will apply if the Respondent is a full-time Student but not a full-time Employee;

3.2.3.2. Appendix B, the Employee-Respondent procedures, will apply if the Respondent is a full-time Employee but not a full-time Student; or

3.2.3.3. If there is a question as to the predominant role of the Respondent, the University's Title IX Coordinator will determine which of the procedures applies based on the facts and circumstances (such as which role predominates in the context of the Prohibited Conduct). Further, where a Respondent is both a Student and an Employee, the Respondent may be subject to any of the sanctions applicable to Students or Employees.

3.2.4. **Where the Respondent is a Third Party.** The University's ability to take corrective action against a Third Party will be determined by the nature of the relationship of the Third Party to the University. The Title IX Coordinator will determine the appropriate manner of resolution consistent with the University's commitment to a prompt and equitable process consistent with federal law, federal guidance, and this Regulation.

4. Title IX Coordinator.

Under Title IX:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving federal financial assistance.

4.1. Role of the Title IX Coordinator. The Title IX Coordinator is charged with monitoring the University's compliance with Title IX; ensuring appropriate education and training; coordinating the University's investigation, response, and resolution of all reports under this Regulation; and ensuring appropriate actions to eliminate Prohibited Conduct, prevent its recurrence, and remedy its effects. The Title IX Coordinator has the authority to modify the timelines in any existing University process in order to ensure a prompt and equitable resolution to a complaint, in compliance with applicable law or regulations. The Title IX Coordinator is available to meet with any Student, Employee, or Third Party to discuss this Regulation or the accompanying procedures. The University has also designated Deputy Title IX Coordinators who may assist the Title IX Coordinator in the discharge of these responsibilities. The Title IX Coordinator and Deputy Title IX Coordinators receive appropriate training to discharge their responsibilities.

4.2. ECU Police. The East Carolina University Police Department (ECUPD) maintains the campus crime log and is responsible for collecting and analyzing the statistics that are reported in the Annual Security and Fire Safety Report. The ECU Police Department will record and report on the Annual Security and Fire Safety Report, reports of sex offense, domestic violence, dating violence, and stalking. The definitions of these offenses for the purpose of reporting statistics, as defined by the Uniform Crime Reporting National Incident-Based Reporting System, the FBI definitions, and the Violence Against Women Act, in compliance with the regulations for implementing the Clery Act.

4.3. Contact for Concerns. Concerns about the University's application of Title IX, VAWA, and the Clery Act, may be addressed to the Title IX Coordinator; the United States Department of Education, Clery Act Compliance Division (at clery@ed.gov); the United States Department of Education, Office for Civil Rights (at OCR@ed.gov or (800) 421-3481); and/or the Equal Employment Opportunity Commission (at info@eeoc.gov or (800) 669-4000).

4.3.1. The Title IX Coordinator can be contacted by telephone, email, or in person during regular office hours:

LaKeshia Alston Forbes, Title IX Coordinator.

Old Cafeteria Building, Suite G-406

alstonl@ecu.edu

(252) 328-6804 (office)

<http://www.ecu.edu/cs-acad/titleix/>

5. Resources and Reporting Options.

The University offers a wide range of resources for all Students and Employees to provide support and guidance in response to any incident of Prohibited Conduct. For comprehensive information on accessing University and community resources, including emergency and ongoing assistance; health, mental health, and victim-advocacy services; options for reporting Prohibited Conduct to the University and/or law enforcement; and available support with academics, housing, and employment:

5.1. Students should refer to the Student Resource Guides ([Additional Reference A-1](#) and [Additional Reference A-2](#));

5.2. Employees should refer to the Employee Resource Guides ([Additional Reference B-1](#) and [Additional Reference B-2](#)); and

5.3. Third Parties should contact the Title IX Coordinator to discuss available University and/or community resources and reasonably available assistance.

6. Remedial and Protective Measures.

The University offers a wide range of resources for Students and Employees, whether as Complainants or Respondents, to provide support and guidance throughout the initiation, investigation, and resolution of a report of Prohibited Conduct. The University will offer reasonable and appropriate accommodations and protective measures if requested and reasonably available, regardless of whether or not the event is reported to ECU Police or other law enforcement agencies and regardless of whether the victim desires to participate in University disciplinary proceedings or seek criminal

charges. The goal of such measures is to facilitate the Complainant's continued access to University employment or education programs and activities. These measures may be both remedial (designed to address a Complainant's safety and well-being and continued access to educational opportunities) or protective (involving action against a Respondent). Accommodations and protective measures, which may be temporary or permanent, may include but are not limited to: no-contact directives, campus living modifications, transportation and parking modifications, academic modifications and support, work schedule modifications, investigatory placement, administrative suspension, and suspension from employment (with or without pay).

6.1. The University will maintain the privacy of any accommodations and protective measures provided under this Regulation to the extent practicable and will promptly address any violation of such measures. The Dean of Students Office and/or the Vice Chancellor with supervisory responsibilities has the discretion to impose and/or modify any accommodation or protective measure based on all available information and in consultation with the Title IX Coordinator. The Title IX Coordinator is available to meet with a Complainant or Respondent to address any concerns about the provision of interim measures.

6.2. The University will provide reasonable accommodations or protective measures to Third Parties as appropriate and available, taking into account the role of the Third Party and the nature of any contractual relationship with the University.

7. Privacy and Confidentiality.

The University is committed to protecting the privacy of all individuals involved in the investigation and resolution of a report under this Regulation to the extent allowed by law. The University also is committed to providing assistance to help Students, Employees and Third Parties make informed choices. With respect to any report under this Regulation, the University will make reasonable efforts to protect the privacy of participants, in accordance with applicable state and federal law, while balancing the need to gather information to assess the report and to take steps to eliminate Prohibited Conduct, prevent its recurrence, and remedy its effects. Privacy and confidentiality have distinct meanings under this Regulation

7.1. Privacy. Privacy means that personally identifiable information related to a report of Prohibited Conduct will be shared with a limited circle of University Employees who "need to know" in order to assist in the assessment, investigation, and resolution of the report. All Employees who are involved in the University's response to reports of Prohibited Conduct receive specific training and guidance about sharing and safeguarding private information in accordance with state and federal law.

7.1.1. The privacy of Student education records will be protected in accordance with the Family Educational Rights and Privacy Act ("FERPA"), as outlined in the University's FERPA policy. The privacy of an individual's medical and related records generally is protected by the Health Insurance Portability and Accountability Act ("HIPAA"), excepting health records protected by FERPA. Access to an Employee's personnel records may be restricted in accordance with the North Carolina Human Resources Act, N.C. Gen. Stat. section 126-22 et seq. and the North Carolina Public Records Act, N.C. Gen. Stat. section 132-1 et seq. and the University's record retention policy

7.2. Confidentiality: Confidentiality exists in the context of laws that protect certain relationships, including with medical and clinical care providers (and those who provide administrative services related to the provision of medical and clinical care), mental health providers, counselors, and ordained clergy, all of whom may engage in confidential communications under the law. Communications with the Victim Advocate are generally considered privileged pursuant to N. C. Gen. Stat. sections 8-53.3, 8-53.7, 8-53.8, and 8-53.12. The University has designated individuals who have the ability to have privileged communications as "Confidential Resources." These resources adhere to strict standards of confidentiality, without sharing what an individual has told them other than in limited circumstances. These resources can provide information and other wellness services. When information is shared by an individual with a Confidential Employee or a community professional with the same legal protections, the Confidential Employee cannot reveal the information to any third party except when an applicable law or a court order requires or permits disclosure of such information. For example, information may be disclosed when: (i) the individual gives written consent for its disclosure;(ii) there is a concern that the individual will likely cause serious physical harm to self or others; or (iii) there is a legally mandated reporting requirement, regarding information concerning conduct involving suspected abuse, neglect or dependency of a juvenile (one who has not reached their eighteenth birthday and is not married, emancipated, or a member of the Armed Forces of the United States.

7.2.1. A "**Confidential Employee**" is (1) any Employee who is a licensed medical, clinical or mental-health professional when acting in that professional role in the provision of services to a patient ("health care providers"); and (2) any Employee providing administrative, operational and/or related support for such health care providers in their performance of such services.

7.2.1.1. **Duty to Report**: A Confidential Resource will not disclose information about Prohibited Conduct to the University's Title IX Coordinator without the individual's permission (subject to the exceptions set forth in the Confidentiality section of this Regulation)

7.3. A "**Responsible Employee**" is (1) a person designated as a supervisor of any University employee; (2) any person who is designated as a Campus Security Authority; or (3) any ECU employee responsible for coordinating or supervising clinical education experiences, practicum and/or internships. Responsible Employees must report incidents of Prohibited Conduct to the Title IX coordinator and must not attempt mediation with the Complainant and Respondent. Faculty and other ECU employees who are responsible for coordinating or supervising clinical education experiences, practicum and/or internships are considered to be Responsible Employees with respect to the students participating in those experiences, and are required to report any allegations of Prohibited Conduct that they receive relating to those students to the Title IX coordinator. The University reserves the right to take disciplinary action against a Responsible Employee, up to and including discharge from employment, who fails to report Prohibited Conduct to the Title IX Coordinator.

7.3.1. **Duty to Report:** A Responsible Employee is required to report to the University's Title IX Coordinator all relevant details (obtained directly or indirectly) about an incident of Prohibited Conduct that involves a campus community member as a Complainant, Respondent, and/or witness, including dates, times, locations, and names of parties and witnesses. Responsible Employees include Resident Assistants, Graduate Teaching Assistants, and all other student-employees, when disclosures are made to any of them in their capacities as employees. Responsible Employees are not required to report information disclosed (1) at public awareness events (e.g., "Take Back the Night," candlelight vigils, protests, "survivor speak-outs" or other public forums in which students may disclose incidents of Prohibited Conduct; collectively, "Public Awareness Events"), or (2) during a student's participation as a subject in an Institutional Review Board-approved human subjects research protocol ("IRB Research"). The University may provide information about Students' Title IX rights and about available University and community resources and support at Public Awareness Events, however, and Institutional Review Boards may, in appropriate cases, require researchers to provide such information to all Student subjects of IRB Research.

7.3.1.1. **Responsibility to Report Prohibited Conduct Where Either the Complainant or the Respondent Is an Employee:** Under this Regulation, supervisors, management and human resources professionals are required to report to the University's Title IX Coordinator all relevant details about an incident of Prohibited Conduct where either the Complainant or the Respondent is an Employee. Reporting is required when such supervisors, management and human resource professionals know (by reason of a direct or indirect disclosure) or should have known of such Prohibited Conduct. For academic faculty, supervisors include department chairs, deans, and other unit administrators

7.3.2. **Training:** New supervisors (including those recently promoted to supervisor status) will be required to complete responsible employee training within 90 days of their status change. All responsible employees will be required to complete training by April 15, 2016, and every three calendar years thereafter

7.3.3. Campus Security Authority (CSA)

7.3.3.1. **Who are CSAs?** ECU officials who have significant responsibility for student and campus activities are designated as Campus Security Authorities. They are listed in the annual security report, which is accessible on the ECUPD website. These individuals include but are not limited to officials in the Office for Equity and Diversity, the ECUPD, Office of Student Rights and Responsibilities, the Campus Living Conduct Office, any Campus Living coordinator or resident advisor, an advisor of a registered student organization and coaches for athletic teams. ECU CSAs are listed in the annual security report that is published on October 1 each year on the ECU Police website. Each CSA must ensure that the Anonymous Crime Reporting Form is completed and submitted to the ECU Police Department.

7.3.3.2. **Who are not CSAs?** Faculty members who do not have any responsibility for student and campus activity beyond the classroom and clerical staff are not considered CSAs, and therefore are not required to complete the Anonymous Crime Reporting Form. All individuals receiving reports of crimes, are encouraged to offer to assist the reporter in completing an anonymous crime report for inclusion in the annual security report statistics. Counselors in the Center for Counseling and Student Development and medical providers in Student Health Services, are not required to report information received when they are functioning within the scope of their license, certification or religious training, and performing their official duties providing mental health counseling, medical care or religious counseling.

7.4. Confidential Resources. Consistent with the definition of Confidential Employees and licensed community professionals, there are a number of resources within the University and Greenville communities where Students and Employees can obtain confidential, trauma-informed counseling and support. These resources include the Victim Advocate (252-737-1466); and REAL Crisis Intervention (252-758-4357).

7.4.1. Students can also obtain such counseling at the Center for Counseling and Student Development. For a complete list of University and community-based confidential resources for Students, see the Resource and Reporting Guide for Students Reporting Incidents of Prohibited Conduct (A-1) and the Resource and Reporting Guide for Students Accused of Incidents of Prohibited Conduct (A-2).

7.4.2. Employees can also obtain such counseling through the Employee Assistance Program, either the Carolina Centre (252-757-0123) or the ECU Family Therapy Clinic (252-737-1415). For a complete list of University and community-based confidential resources for Employees, see the Resource and Reporting Guide for Employees Reporting Incidents of Prohibited Conduct (B-1) and the Resource and Reporting Guide for Employees Accused of Incidents of Prohibited Conduct (B-2).

8. Reporting.

There are multiple channels for reporting Prohibited Conduct. A Complainant may choose to report to the University, to law enforcement, to both, or to neither. These reporting options are not exclusive. Complainants may simultaneously pursue criminal and disciplinary action. The University will support Complainants in understanding, assessing and pursuing these options. There are certain persons on campus who must report a crime, but those reports need not identify the complainant, for instance, campus security authorities must complete anonymous crime reporting form, which does not require the disclosure of any personally identifying information about the victim. Rather it is collected so that the University can stay informed about trends, areas of particular concern and target educational needs

8.1. Law Enforcement. Complainants have the right to notify or decline to notify law enforcement. In keeping with its commitment to taking all appropriate steps to eliminate, prevent, and remedy all Prohibited Conduct, the University urges Complainants to report Prohibited Conduct **immediately** to local law enforcement by contacting:

- 911 (for emergencies)
- Greenville Police Department (252) 329-4315 (for non-emergencies)
- Pitt County Sheriff's Office (252) 902-2800 (for non-emergencies)

- ECU Police Department (252) 328-6787 (for non-emergencies)

8.1.1. Police have unique legal authority, including the power to seek and execute search warrants, collect forensic evidence, make arrests, and assist in seeking Emergency Protective Orders. The University will assist Complainants in notifying law enforcement if they choose to do so.

8.1.2. A University investigation with respect to Title IX is separate from a criminal investigation (into complaints alleging harassment or sexual violence that constitutes a criminal offense, such as assault, battery, rape or another form of violence or sexual violence). A Complainant can file a police report at any time, including during the duration of an investigation under this regulation. The University will assist in connecting the Complainant with the law enforcement agency of the applicable jurisdiction. The standard of evidence for conviction in criminal cases (“beyond a reasonable doubt”) is a higher standard than the University will use in a Title IX investigation (“preponderance of the evidence”). An investigation will continue to go forward during a criminal investigation. Reporting to the police and/or the University does not end the investigatory responsibility for the University.

8.1.3. **Clery Act Reporting:** Pursuant to the Clery Act, the University includes statistics about certain offenses in its annual security report and provides those statistics to the United States Department of Education in a manner that does not include any personally identifying information about individuals involved in an incident. These statistics include the total number of crime reports that were “unfounded” and subsequently withheld from the crime statistics reported in the Annual Security and Fire Safety Report. Unfounded reports are those that have been fully investigated by sworn law enforcement personnel and, based on the results of this full investigation and evidence, have made formal determination that the crime report is false or baseless. Recovery of stolen property, stolen property that is of low value, the refusal of a victim to cooperate with law enforcement or the failure to make an arrest do not justify classifying a report as “unfounded.” The Clery Act also requires the University to issue timely warnings to the University community about certain crimes that have been reported and may continue to pose a serious or continuing threat to Students and Employees. Consistent with the Clery Act, the University withholds the names and other personally identifying information of Complainants when issuing timely warnings to the University community

8.2. The University. The University also urges anyone who becomes aware of an incident of Prohibited Conduct to report the incident **immediately** to the University through the following reporting options:

8.2.1. By contacting the University’s Title IX Coordinator or any Deputy Title IX Coordinator by telephone, email, or in person during regular office hours at their respective locations, email addresses and/or phone numbers listed in Section IV, above; or

8.2.2. By contacting ECU CARES, where members of the campus community can make reports of concerning behavior on campus, including acts of Prohibited Conduct. It can be accessed online at www.ecu.edu/ecucares or by phone at (252) 737-5555.

8.2.3. There is no time limit for reporting Prohibited Conduct to the University under this Regulation; however, the University’s ability to respond may diminish over time, as evidence may erode, memories may fade, and Respondents may no longer be affiliated with the University. If the Respondent is no longer a Student or an Employee, the University will provide reasonably appropriate remedial measures, assist the Complainant in identifying external reporting options, and take reasonable steps to eliminate Prohibited Conduct, prevent its recurrence, and remedy its effects.

8.3. The Good Samaritan. The University’s “Good Samaritan” regulation is applicable to a student(s) who summon(s) medical attention for a person (including themselves) in need of medical assessment and/or treatment for a problem to which the student may have contributed or caused by participating in the use and abuse of alcohol and/or other drugs. While the University does not condone violations of the Student Code of Conduct or state and federal laws, the University may take into consideration potentially life-saving actions of students who act as “Good Samaritans” by reducing the disciplinary actions associated with alcohol and/or other drug use violations, including limited immunity to campus student conduct charges. More information about the Good Samaritan Regulation can be found on the University’s Policy Manual website.

9. Prohibited Conduct.

Conduct under this Regulation is prohibited regardless of the sex, sexual orientation and/or gender identity/expression of the Complainant or Respondent. Prohibited Conduct includes the following specifically defined forms of behavior: Sexual Assault, Sexual Battery, Sexual Exploitation, Dating and Domestic Violence, Stalking, Sexual or Gender-Based Harassment, Complicity, and Retaliation.

9.1. Sexual Violence. Sexual Violence consists of (1) Sexual Assault and/or (2) Sexual Battery.

9.1.1. *Sexual Assault* is

9.1.1.1. Any penetration

9.1.1.2. However slight

9.1.1.3. With any object or body part (as described below)

9.1.1.4. Performed by a person upon another person.

9.1.1.5. Sexual Assault includes the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without their consent. North Carolina law defines these crimes in its General Statutes sections 14-27.1 through 14-27.10 and 14-178.

9.1.2. *Sexual Battery* is

9.1.2.1. Any intentional sexual touching

9.1.2.2. However slight

9.1.2.3. With any object or body part (as described below)

9.1.2.4. Performed by a person upon another person or causing another person to touch their own or another's body in the manner described below

9.1.2.5. Sexual Battery includes the intentional or attempted sexual touching of another person's clothed or unclothed body, including but not limited to the mouth, neck, buttocks, anus, genitalia, or breast, by another with any part of the body or any object in a sexual manner without their consent.

9.1.3. *Consent* is

9.1.3.1. Informed (knowing)

9.1.3.2. Voluntary (freely given)

9.1.3.3. Active (not passive), meaning that, through the demonstration of clear words or actions, a person has indicated permission to engage in mutually agreed-upon sexual activity

9.1.3.4. Consent is explicit approval and permission to engage in sexual activity demonstrated by clear actions, words, or writings. Consent is informed, freely given and mutually understood by all parties involved. If coercion, intimidation, threats, and/or physical force are used, there is no consent. If the Complainant was mentally or physically incapacitated or impaired so that the Complainant could not understand the fact, nature, or extent of the sexual situation, there is no consent; this includes conditions due to alcohol or drug consumption, or being asleep or unconscious, or under the age of legal consent, or unable to give consent under current law. Silence does not necessarily constitute consent, and past consent of sexual activities does not imply ongoing future consent. Whether the Respondent has taken advantage of a position of influence over the Complainant may be a factor in determining whether consent was freely given. Consent to some form of sexual activity cannot be automatically taken as consent to any other form of sexual activity. Consent can be withdrawn at any time

9.1.3.5. **Force.** Consent cannot be obtained by Force. Force includes (1) the use of physical violence, (2) threats, (3) intimidation, and/or (4) coercion

9.1.3.5.1. Physical force means exerting physical control over another person. Examples of physical force include but are not limited to hitting, punching, slapping, kicking, restraining, choking, and brandishing or using any weapon

9.1.3.5.2. Threats are words or actions that would compel a reasonable person to engage in unwanted sexual activity. Examples of threats include but are not limited to verbal statements reflecting intent to harm a person physically, to reveal private information to harm a person's reputation, or to cause a person academic or economic harm.

9.1.3.5.3. Intimidation is an implied threat that causes reasonable fear in another person. Examples of intimidation include but are not limited to: destroying property, brandishing a weapon, blocking an exit to cause fear. A person's size, alone, may not constitute intimidation; however, a person's size may be used in a way that does.

9.1.3.5.4. Coercion is the use of an unreasonable amount of pressure to gain sexual access. Coercion is more than an effort to persuade, entice, or attract another person to have sex. When a person makes clear a decision not to participate in a particular form of sexual activity, a decision to stop, or a decision not to go beyond a certain sexual interaction, continued pressure can be coercive. In evaluating whether coercion was used, the University will consider: (i) the frequency of the application of the pressure, (ii) the intensity of the pressure, (iii) the degree of isolation of the person being pressured, and (iv) the duration of the pressure.

9.1.3.6. **Incapacitation.** Consent cannot be gained by taking advantage of the incapacitation of another, where the person initiating sexual activity knew or reasonably should have known that the other was incapacitated. **Incapacitation** means that a person lacks the ability to make informed, rational judgments about whether or not to engage in sexual activity. A person who is incapacitated is unable, temporarily or permanently, to give Consent because of mental or physical helplessness, sleep, unconsciousness, or lack of awareness that sexual activity is taking place. A person may be incapacitated as a result of the consumption of alcohol or other drugs, or due to a temporary or permanent physical or mental health condition.

9.1.4. *University Guidance on Consent and Assessing Incapacitation:*

A person who wants to engage in a specific sexual activity is responsible for obtaining Consent for that activity. Lack of protest does not constitute Consent. Lack of resistance does not constitute Consent. Silence and/or passivity also do not constitute Consent. Relying solely on non-verbal communication before or during sexual activity can lead to misunderstanding and may result in a violation of this Regulation.

It is important not to make assumptions about whether a potential partner is consenting. In order to avoid confusion or ambiguity, participants are encouraged to discuss with one another before engaging in sexual activity. If confusion or ambiguity arises during sexual activity, participants are encouraged to stop and clarify a mutual willingness to continue sexual activity.

Consent to one form of sexual activity does not, by itself, constitute Consent to another form of sexual activity. For example, one should not presume that Consent to oral-genital contact constitutes Consent to vaginal or anal penetration. Consent to sexual activity on a prior occasion does not, by itself, constitute Consent to future sexual activity. In cases of prior relationships, the manner and nature of prior communications

between the parties and the context of the relationship may have a bearing on the presence of Consent.

Consent may be withdrawn at any time. An individual who seeks to withdraw Consent must communicate, through clear words or actions, a decision to cease the sexual activity. Once Consent is withdrawn, the sexual activity must cease immediately.

In evaluating Consent in cases of alleged incapacitation, the University asks two questions: (1) *Did the person initiating sexual activity know that the other party was incapacitated?* and if not, (2) *Should a sober, reasonable person in the same situation have known that the other party was incapacitated?* If the answer to either of these questions is “YES,” Consent was absent and the conduct is a violation of this regulation.

Incapacitation is a state beyond drunkenness or intoxication. A person is not necessarily incapacitated merely as a result of drinking or using drugs. The impact of alcohol and other drugs varies from person to person.

One is not expected to be a medical expert in assessing incapacitation. One must look for the common and obvious warning signs that show that a person may be incapacitated or approaching incapacitation. Although every individual may manifest signs of incapacitation differently, typical signs include slurred or incomprehensible speech, unsteady gait, combativeness, emotional volatility, vomiting, or incontinence. A person who is incapacitated may not be able to understand some or all of the following questions: “Do you know where you are?” “Do you know how you got here?” “Do you know what is happening?” “Do you know whom you are with?”

One should be cautious before engaging in Sexual Contact or Sexual Intercourse when either party has been drinking alcohol or using other drugs. The introduction of alcohol or other drugs creates ambiguity for either party as to whether Consent has been sought or given. If one has doubt about either party’s level of intoxication, the safe thing to do is to forego all sexual activity

Being impaired by alcohol or other drugs is no defense to any violation of this regulation.

9.2. Sexual Exploitation. Occurs when an individual takes non-consensual or abusive sexual advantage of another for his/her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of the other Prohibited Conduct offenses in this Regulation. Examples of sexual exploitation include but are not limited to any of the following:

- 9.2.1. Causing the incapacitation of another person (through alcohol, drugs, or any other means) for the purpose of compromising that person’s ability to give Consent to sexual activity;
- 9.2.2. Allowing third parties to observe private sexual activity from a hidden location (e.g., closet) or through electronic means (e.g., Skype or livestreaming of images);
- 9.2.3. Engaging in voyeurism (e.g., watching private sexual activity without the consent of the participants or viewing another person’s intimate parts (including but not limited to genitalia, groin, breasts or buttocks) in a place where that person would have a reasonable expectation of privacy);
- 9.2.4. Recording or photographing private sexual activity and/or a person’s intimate parts (including but not limited to genitalia, groin, breasts or buttocks) without consent;
- 9.2.5. Disseminating or posting images of private sexual activity and/or a person’s intimate parts (including but not limited to genitalia, groin, breasts or buttocks) without consent;
- 9.2.6. Prostituting another person; or
- 9.2.7. Knowingly exposing another person to a sexually transmitted infection or virus without the other’s consent.

9.3. Dating and Domestic Violence.

9.3.1. **Dating Violence:** is violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined based on the reporting party’s statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. For the purposes of this definition, dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating violence does not include acts covered under the definition of domestic violence. Any incident meeting this definition is considered a crime for the purposes of Clery Act reporting

9.3.1.1. Under North Carolina law, a dating relationship is one wherein the parties are romantically involved over time and on a continuous basis during the course of the relationship. A casual acquaintance or ordinary fraternization between persons in a business or social context is not a dating relationship

9.3.2. **Domestic Violence:** is a felony or misdemeanor crime of violence committed: (A) by a current or former spouse or intimate partner of the victim; (B) by a person with whom the victim shares a child in common; (C) by a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner; (D) by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; (E) by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred

9.3.2.1. As defined by North Carolina General Statutes section 50B-1, domestic violence means the commission of one or more of the following acts upon an aggrieved party or upon a minor child residing with or in the custody of the aggrieved party by a person as listed above. It does not include acts of self-defense. Such acts include but are not limited to:

- Physical violence or attempted physical violence;
- Making one fear, or one's household members fear serious bodily injury or continued harassment;
- Stalking an individual or family member that rises to such a level as to inflict substantial emotional distress; or
- Committing any act defined as a rape or other sex offenses in North Carolina General Statute sections 14-27.2 through 14-27.7.

9.3.3. For the purpose of seeking a protective order under section 50B-1 of the N.C. General Statutes and its definition of domestic violence, the term "personal relationship" means a relationship wherein the parties involved: (A) Are current or former spouses; (B) Are persons of opposite sex who live together or have lived together; (C) Are related as parents and children, including others acting in loco parentis to a minor child, or as grandparents and grandchildren. (Note: an aggrieved party may not obtain an order of protection against a child or grandchild under the age of 16) (D) Have a child in common; (E) Are current or former household members; (F) Are persons of the opposite sex who are in a dating relationship or have been in a dating relationship

9.3.4. Persons in same sex domestic relationships are protected from violent behavior under other statutes, and the University will investigate and address allegations of domestic violence by individuals who have cohabitated as spouses or intimate partners

9.4. Stalking. Stalking occurs when a person engages in a course of conduct directed at a specific person under circumstances that would cause a reasonable person to fear bodily injury or to experience substantial emotional distress.

9.4.1. Course of conduct means two or more acts, including but not limited to acts in which a person directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about another person, or interferes with another person's property. Substantial emotional distress means significant mental suffering or anguish.

9.4.2. Stalking includes "cyber-stalking," a particular form of stalking in which a person uses electronic media, such as the internet, social networks, blogs, cell phones, texts, or other similar devices or forms of contact

9.5. Sexual or Gender-Based Harassment.

9.5.1. *Sexual Harassment* is any unwelcome sexual conduct, request for sexual favors, or other unwanted conduct of a sexual nature, whether verbal, non-verbal, graphic, physical, or otherwise, when the conditions outlined in 9.5.3 and/or 9.5.4, below, are present

9.5.2. *Gender-Based Harassment* includes harassment based on gender, sexual orientation, gender identity, or gender expression, which may include acts of aggression, intimidation, or hostility, whether verbal or non-verbal, graphic, physical, or otherwise, even if the acts do not involve conduct of a sexual nature, when the conditions outlined in (9.5.3 and/or 9.5.4, below, are present.

9.5.3. Submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any University programs and/or activities or is used as the basis for University decisions affecting the individual (often referred to as "*quid pro quo*" harassment); or

9.5.4. Such conduct creates a hostile environment. A "hostile environment" exists when the conduct is sufficiently severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives an individual from participating in or benefitting from the University's education or employment programs and/or activities. Conduct must be deemed severe, persistent, or pervasive from both a subjective and an objective perspective. In evaluating whether a hostile environment exists, the University will consider the totality of known circumstances, including, but not limited to:

- The frequency, nature and severity of the conduct;
- Whether the conduct was physically threatening;
- The effect of the conduct on the Complainant's mental or emotional state;
- Whether the conduct was directed at more than one person;
- Whether the conduct arose in the context of other discriminatory conduct;
- Whether the conduct unreasonably interfered with the Complainant's educational or work performance and/or University programs or activities; and
- Whether the conduct implicates concerns related to academic freedom or protected speech

9.5.4.1. A hostile environment can be created by persistent or pervasive conduct or by a single or isolated incident, if sufficiently severe. The more severe the conduct, the less need there is to show a repetitive series of incidents to prove a hostile environment, particularly if the conduct is physical. A single incident of Sexual Assault, for example, may be sufficiently severe to constitute a hostile environment. In contrast, the perceived offensiveness of a single verbal or written expression, standing alone, is typically not sufficient to constitute a hostile environment

9.6. Retaliation. Retaliation means any act of interference, restraint, penalty, discrimination, coercion, reprisal, intimidation, threats, or harassment against an individual for using applicable policies responsibly (including making a charge of discrimination protected by this Regulation; testifying, assisting, or participating in a hearing, proceeding, review process or investigation of discrimination; opposing an illegal act; requesting a reasonable disability or religious accommodation; or exercising any other right protected by this Regulation).

9.7. Complicity. Complicity is any act taken with the purpose of materially or substantively aiding, facilitating, promoting or encouraging the commission of an act of Prohibited Conduct by another person

10. Violations of Law.

Behavior that violates this Regulation may also constitute a crime under the laws of the jurisdiction in which the incident occurred. For example, North Carolina criminalizes and punishes some forms of Sexual Assault, Dating and Domestic Violence, Sexual Exploitation, Stalking, and Assault. The criminal statutes that may apply in cases Sexual Assault may be found in N.C. General Statutes sections 14-27.1 through 14-27.10 and 14-178. The criminal statutes that relate to Stalking may be found in N.C. General Statutes sections 14-277.3A. The criminal statutes that relate to Domestic Violence may be found in N.C. General Statutes section 50B. This compilation of criminal statutes is not exhaustive, but is offered to notify the University community that, some forms of Prohibited Conduct may also constitute crimes under North Carolina law, which may subject a person to criminal prosecution and punishment in addition to any sanctions under this Regulation.

11. Prevention and Awareness Programs.

The University is committed to the prevention of Prohibited Conduct through regular and ongoing education and awareness programs. Incoming Students and new Employees receive primary prevention and awareness programming as part of their orientation, and returning Students and current Employees receive ongoing training and related education. For a description of the University's Prohibited Conduct prevention and awareness programs, including programs on minimizing the risk of incidents of Prohibited Conduct and bystander intervention, see [Appendix C](#).

12. Training.

The University provides training to Students and Employees to ensure they understand this Regulation and the topics and issues related to maintaining an education and employment environment free from harassment and discrimination. For a description of the University's training related to this Regulation, see [Appendix C](#).

13. Obligation to Provide Truthful Information.

All University community members are expected to provide truthful information in any report or proceeding under this Regulation. Submitting or providing false or misleading information in bad faith or with a view to personal gain or intentional harm to another in connection with an incident of Prohibited Conduct is prohibited and subject to disciplinary sanctions under the University's Student Code of Conduct and disciplinary action under the appropriate Employee disciplinary policy. This provision does not apply to reports made or information provided in good faith, even when the alleged facts are later not substantiated.

14. Annual Review.

This Regulation is maintained by the Title IX Coordinator. The University will review and update this Regulation, as appropriate, by July 31 of each year. The University will evaluate, among other things, any changes in legal requirements, existing University resources, and the resolution of cases from the preceding year (including, but not limited to, timeframes for completion and sanctions and remedies imposed). The Title IX Coordinator shall certify to the Chancellor.

APPENDIX A - INVESTIGATING AND RESOLVING REPORTS OF SEXUAL AND GENDER-BASED HARASSMENT AND OTHER FORMS OF INTERPERSONAL VIOLENCE COMMITTED BY STUDENTS

1. Reporting Protocol

1.1 If you are a Complainant reporting Prohibited Conduct or otherwise become aware of such behavior, please report the incident to at least one of the following offices so that the University can assist you and take measures to address the behavior: For immediate assistance following an incident of Prohibited Conduct:

1.1.1 Call 911 or the ECU Police at 252.328.6787;

1.1.2 Report to ECU Cares at 252.737.5555;

1.1.3 Report to LaKeshia Alston Forbes, the Title IX Coordinator, at 252.328.6804; or

1.1.4 Report to the Office of Student Rights and Responsibilities at 252.328.6824.

1.2 Please take every step possible to preserve evidence:

1.2.1 Whenever possible, individuals should (1) not wash their face or hands; (2) not shower or bathe; (3) not brush their teeth; (4) not change clothes; (5) not straighten up the area where the assault took place; (6) not dispose of clothes or other items that were present during the assault; (7) not use the restroom or douche; and (7) should seek a medical exam immediately.

1.2.2 Please report the crime and seek medical attention and counseling even if evidence has not been preserved.

1.3 [Options Regarding Notifying Law Enforcement](#)

1.3.1 Individuals may choose to notify law enforcement of relevant jurisdiction (ECU Police, Greenville Police, Pitt County Sheriff, etc.) and will be provided the assistance of an ECU administrator in contacting these authorities if the individuals wishes.

1.3.2 Individuals may also decline to notify law enforcement of incidents of sexual assault, domestic violence, dating violence, and stalking.

1.3.3 ECU Police will enforce lawfully issued orders of protection provided by members of the ECU community.

1.4 . **For Allegations Against A Student:** Any individual who believes that, due to the conduct of a student, he/she has been the Complainant of Prohibited Conduct or who feels that he/she has been retaliated against for his/her good faith reporting of allegations or his/her participation in an investigation of alleged prohibited harassment or discrimination should file a Title IX complaint with the Title IX Coordinator or ECU Cares to initiate an investigation.

1.5 **For Allegations Against A University Employee:** Anyone who believes that, due to the conduct of a University employee, he/she has been the Complainant of Prohibited Conduct, or who feels that he/she has been retaliated against for his/her good faith reporting of allegations or his/her participation in an investigation of alleged prohibited harassment or discrimination should file a Title IX complaint with the Office for Equity and Diversity to initiate an investigation.

1.6 If there is a concern about an individual that is not an ECU employee or student, please contact the Title IX Coordinator in the Office for Equity and Diversity for appropriate handling.

1.7 Complaints outlining the nature of the alleged prohibited conduct can be submitted to the Office for Equity and Diversity by any of the following means:

1.7.1. Completing the [online Complaint Form](#);

1.7.2. Submitting a written report in person or via mail using the contact information above.

1.7.3. Submitting a report verbally in person or by telephone using the contact information above

2. Investigation Principles

2.1. The University will investigate and act upon information that is provided to it, including but not limited to third party reports, about allegations of Prohibited Conduct.

2.2. The University is committed to the following when investigating complaints:

2.2.1. Basing findings on the preponderance of the evidence standard;

2.2.2. Treating all parties fairly and equally;

2.2.3. Not attempting to resolve complaints of Prohibited Conduct through mediation between the parties

2.2.4. Notifying all parties that the investigation will be impartial, prompt and thorough.

2.2.5 Permitting both individuals equal opportunities to have others present, including an advisor of his/her choice; be given timely notice of meetings and will be given access to the pertinent information that will be used in the proceedings.

2.2.6 Providing both individuals the opportunity to present witnesses and evidence during the investigation and in any disciplinary proceeding, and to have a support person present, consistent with applicable policy.

2.2.7 Declining to permit evidence of Complainant's past relationships with anyone other than the Respondent to be included as part of either the investigation or appeal process

2.2.8 Providing, at a minimum, both parties with a status update every 30 calendar days;

2.2.9. Permitting either party with the opportunity to appeal in accordance with applicable University policies and procedures;

2.2.10 Maintaining all documentation related to the investigation and related proceedings in accordance with University record retention policies; and

2.2.11. Investigating Prohibited Conduct between students in accordance with the attached Standard Operating Procedure.

2.3. Responsible Employees **must** report allegations of Prohibited Conduct immediately to the Title IX Coordinator, in order to allow the University to conduct an investigation. Failure to do so may result in disciplinary action by the University, up to and including dismissal

2.3.1 Responsible Employees **do not** need to determine whether or not the allegations reported to them occurred, however, they must report the names of the alleged perpetrator and subject of the conduct involved, as well as relevant facts they may have, including the date, time, and location to the Title IX coordinator or appropriate designee.

2.3.2. Responsible Employees **should** also inform Complainants of (1) the Responsible Employee's reporting obligation to the Title IX Coordinator or appropriate designee; (2) the Complainant's option to request that their confidentiality be maintained by ECU, which will be considered and (3) that a student Complainant can share information confidentially with counselors in the Center for Counseling and Student Development, medical providers in Student Health Services, and the Complainants' Advocate.

2.4. Conflict of Interest. If any party involved in an investigation is aware of a real or perceived conflict of interest that will prevent the investigator from rendering an impartial decision, they should notify the Title IX Coordinator and request an alternate investigator. The University may also appoint an alternate investigator absent a request from a party if it learns of a real or perceived conflict of interest and the parties will be notified as appropriate.

2.5 All Investigators and hearing officials receive training related to Prohibited Conduct.

3. University Actions Upon Receipt of Report

3.1 When the University receives a report of Prohibited Conduct, Complainants and Respondents will be provided with written notification about accommodations and protective measures such as existing counseling, health, mental health, Complainant advocacy, legal assistance, visa and immigration assistance, financial aid, and other services, including changes to academic, work and transportation schedules, which will be available to both parties.

3.2 Accommodations and protective measures are provided if requested and reasonably available, regardless of whether or not the event is reported to ECU Police or other law enforcement agencies and regardless of whether the Complainant desires to participate in University disciplinary proceedings or seek criminal charges.

3.3 When a Complainant reports an incident of Prohibited Conduct, the Complainant will be provided a written explanation of the rights and options available to him or her by the University. This will be provided regardless of whether the incident occurred on or off campus.

3.4 Complainants reporting Prohibited Conduct may request assistance for the following situations from the corresponding offices:

3.4.1 The ECU Police Department can assist with protective orders and coordination of protective measures with the Offices of the Dean of Students and Human Resources.

3.4.2 For academic accommodations, the Dean of Students Office offers assistance.

3.4.3 For on-campus living accommodations, the office of Campus Living offers assistance.

3.4.4 For transportation accommodations, Student Transit, SafeRide, and ECU Police offer assistance.

3.4.5 For employment accommodations, faculty and staff employees can contact Human Resources.

3.4.6 For student employment accommodations, student employees can contact the Dean of Students Office.

3.5 When the University, through any of the offices identified in Section 1, herein above, a Campus Security Authority, the supervisor of any employee, or the coordinator of any internship, clinical education, practicum, or study abroad experience, receives a report of Prohibited Conduct under this regulation, a multi-disciplinary team, the Sexual Misconduct Response Team (SMRT) will review the report to determine if there is additional assistance to be provided, and will receive periodic updates about the status of the investigation regarding the report.

4. Disciplinary Action Against Respondents.

4.1 If disciplinary action is pursued, the University will determine which disciplinary proceedings should apply based on the status of the Respondent (faculty member, staff employee, employee not subject to the state personnel act, student) at the time the incident occurred.

4.2 The University endeavors, in and through each of the listed disciplinary proceeding it conducts, to provide a prompt, fair and impartial process and to complete the process of investigation and determination of responsibility within a reasonable time frame, typically sixty days, depending upon the complexity of the investigation and severity and extent of the alleged conduct. This timeline may be extended by the Title IX Coordinator with notice to the parties. A University official will explain to involved individuals the steps and timelines of the applicable disciplinary process.

4.3 Depending upon the applicable process, a hearing may be conducted by an individual university administrator, a faculty panel, an employee grievance board, or the student conduct board. Complainants and Respondents may elect or decline to participate in any relevant process, but the University must reserve the right to proceed regardless of Complainant or Respondent participation if it determines that is in the best interest of the ECU community.

4.3.1 All hearing officials receive training related to Prohibited Conduct.

4.4 The following processes describe the additional steps, anticipated timeline and decision- making process in more detail:

4.4.1 When the Respondent is a student, the attached Standard Operating Procedure and the REG 11.30.01, Student Conduct Process, Section 5;

4.4.2 When the Respondent is a faculty member, ECU Faculty Manual, Part XII, Section IV, and Part IX, Section I include detailed timelines regarding these proceedings;

4.4.3 When the Grievant or Respondent is an SPA employee, REG 06.35.02, Mediation and Grievance Procedure for SPA Employees;

4.4.4 When the Respondent is an EPA non-faculty employee, the attached Standard Operating Procedure and POL 06.35.01, Review Process and Procedures for EPA Non-Faculty Employees; and

4.4.5 When the Respondent is a Clinical Support Staff employee, the attached Standard Operating Procedure and the Clinical Support Services Employee Handbook.

4.5 Standard of Proof: In every investigation of a case of Prohibited Conduct the University will utilize the preponderance of the evidence standard (“more likely than not”) to determine whether or not such misconduct occurred; after the determination has been made, the standard for determining an appropriate sanction will be as provided below:

4.5.1 In disciplinary proceedings to determine the appropriate sanctions for a student, a preponderance of the evidence is required to determine that the student has violated the Student Code of Conduct.

4.5.2 In disciplinary proceedings to determine the appropriate sanction for a member of the tenured faculty, clear and convincing evidence is required that the misconduct warrants a serious sanction, as outlined in the ECU Faculty Manual Part IX, Section I, section VI.

4.5.3 In disciplinary proceedings to determine the appropriate sanction regarding misconduct by employees not holding a faculty appointment, the standard is whether there is just cause for the recommended action.

4.6 Disciplinary Results. The Result, as provided by federal law is any initial, interim, and/or final decision by any official or entity authorized to resolve disciplinary matters within the institution and must include any sanctions imposed by the institution. Subject to any overriding provision of law, the Result of any institutional disciplinary proceeding that arises from an allegation of sexual assault, domestic violence, dating violence, or stalking will be provided in writing to both parties at the same time, to include:

4.6.1 Any initial, interim, and final decision by any official or entity authorized to resolve disciplinary matters within the institution;

4.6.2 A brief rationale and any sanctions imposed;

4.6.3 The University’s procedures for either party to appeal the result of the institutional disciplinary proceeding; and

4.6.4 Notice of any change to the result and a statement explaining when said result becomes final.

APPENDIX B - INVESTIGATING AND RESOLVING REPORTS OF SEXUAL AND GENDER-BASED HARASSMENT AND OTHER FORMS OF INTERPERSONAL VIOLENCE COMMITTED BY EMPLOYEES

1. Reporting Protocol

1.1 If you are a Complainant reporting Prohibited Conduct or otherwise become aware of such behavior, please report the incident to at least one of the following offices so that the University can assist you and take measures to address the behavior: For immediate assistance following an incident of Prohibited Conduct:

1.1.1 Call 911 or the ECU Police at 252.328.6787;

1.1.2 Report to ECU Cares at 252.737.5555; or

1.1.3 Report to LaKesha Alston Forbes, the Title IX Coordinator, at 252.328.6804

1.2 Please take every step possible to preserve evidence:

1.2.1 Whenever possible, individuals should (1) not wash their face or hands; (2) not shower or bathe; (3) not brush their teeth; (4) not change clothes; (5) not straighten up the area where the assault took place; (6) not dispose of clothes or other items that were present during the assault; (7) not use the restroom or douche; and (7) should seek a medical exam immediately.

1.2.2 Please report the crime and seek medical attention and counseling even if evidence has not been preserved.

1.3 Options Regarding Notifying Law Enforcement

1.3.1 Individuals may choose to notify law enforcement of relevant jurisdiction (ECU Police, Greenville Police, Pitt County Sheriff, etc.) and will be provided the assistance of an ECU administrator in contacting these authorities if the individuals wishes.

1.3.2 Individuals may also decline to notify law enforcement of incidents of sexual assault, domestic violence, dating violence, and stalking.

1.3.3 ECU Police will enforce lawfully issued orders of protection provided by members of the ECU community.

1.4 . **For Allegations Against A Student**: Any individual who believes that, due to the conduct of a student, he/she has been the Complainant of Prohibited Conduct or who feels that he/she has been retaliated against for his/her good faith reporting of allegations or his/her participation in an investigation of alleged prohibited harassment or discrimination should file a Title IX complaint with the Title IX Coordinator or ECU Cares to initiate an investigation.

1.5 **For Allegations Against A University Employee**: Anyone who believes that, due to the conduct of a University employee, he/she has been the Complainant of Prohibited Conduct, or who feels that he/she has been retaliated against for his/her good faith reporting of allegations or his/her participation in an investigation of alleged prohibited harassment or discrimination should file a Title IX complaint with the Office for Equity

and Diversity to initiate an investigation.

1.6 If there is a concern about an individual that is not an ECU employee or student, please contact the Title IX Coordinator in the Office for Equity and Diversity for appropriate handling.

1.7 Complaints outlining the nature of the alleged prohibited conduct can be submitted to the Office for Equity and Diversity by any of the following means:

1.7.1. Completing the [online Complaint Form](#);

1.7.2. Submitting a written report in person or via mail using the contact information above;

1.7.3. Submitting a report verbally in person or by telephone using the contact information above.

2. Investigation Principles

2.1. The University will investigate and act upon information that is provided to it, including but not limited to third party reports, about allegations of Prohibited Conduct.

2.2. The University is committed to the following when investigating complaints:

2.2.1. Basing findings on the preponderance of the evidence standard;

2.2.2. Treating all parties fairly and equally;

2.2.3. Not attempting to resolve complaints of Prohibited Conduct through mediation between the parties

2.2.4. Notifying all parties that the investigation will be impartial, prompt and thorough.

2.2.5 Permitting both individuals equal opportunities to have others present, including an advisor of his/her choice; be given timely notice of meetings and will be given access to the pertinent information that will be used in the proceedings.

2.2.6 Providing both individuals the opportunity to present witnesses and evidence during the investigation and in any disciplinary proceeding, and to have a support person present, consistent with applicable policy.

2.2.7 Declining to permit evidence of Complainant's past relationships with anyone other than the Respondent to be included as part of either the investigation or appeal process

2.2.8 Providing, at a minimum, both parties with a status update every 30 calendar days;

2.2.9. Permitting either party with the opportunity to appeal in accordance with applicable University policies and procedures;

2.2.10 Maintaining all documentation related to the investigation and related proceedings in accordance with University record retention policies; and

2.2.11. Investigating Prohibited Conduct in accordance with the policies outlined in section 4.

2.3. Responsible Employees **must** report allegations of Prohibited Conduct immediately to the Title IX Coordinator, in order to allow the University to conduct an investigation. Failure to do so may result in disciplinary action by the University, up to and including dismissal

2.3.1 Responsible Employees **do not** need to determine whether or not the allegations reported to them occurred, however, they must report the names of the alleged perpetrator and subject of the conduct involved, as well as relevant facts they may have, including the date, time, and location to the Title IX coordinator or appropriate designee.

2.3.2. Responsible Employees **should** also inform Complainants of (1) the Responsible Employee's reporting obligation to the Title IX Coordinator or appropriate designee; (2) the Complainant's option to request that their confidentiality be maintained by ECU, which will be considered and (3) that a student Complainant can share information confidentially with counselors in the Center for Counseling and Student Development, medical providers in Student Health Services, and the Complainants' Advocate.

2.4. Conflict of Interest. If any party involved in an investigation is aware of a real or perceived conflict of interest that will prevent the investigator from rendering an impartial decision, they should notify the Title IX Coordinator and request an alternate investigator. The University may also appoint an alternate investigator absent a request from a party if it learns of a real or perceived conflict of interest and the parties will be notified as appropriate.

2.5 All Investigators and hearing officials receive training related to Prohibited Conduct.

3. University Actions Upon Receipt of Report

3.1 When the University receives a report of Prohibited Conduct, Complainants and Respondents will be provided with written notification about accommodations and protective measures such as existing counseling, health, mental health, Complainant advocacy, legal assistance, visa and immigration assistance, financial aid, and other services, including changes to academic, work and transportation schedules, which will be available to both parties.

3.2 Accommodations and protective measures are provided if requested and reasonably available, regardless of whether or not the event is reported to ECU Police or other law enforcement agencies and regardless of whether the Complainant desires to participate in University disciplinary proceedings or seek criminal charges.

3.3 When a Complainant reports an incident of Prohibited Conduct, the Complainant will be provided a written explanation of the rights and options available to him or her by the University. This will be provided regardless of whether the incident occurred on or off campus.

3.4 Complainants reporting Prohibited Conduct may request assistance for the following situations from the corresponding offices:

3.4.1 The ECU Police Department can assist with protective orders and coordination of protective measures with Human Resources.

3.4.2 For transportation accommodations, Student Transit, SafeRide, and ECU Police offer assistance.

3.4.3 For employment accommodations, faculty and staff employees can contact Human Resources.

3.5 When the University, through any of the offices identified in Section 1, herein above, a Campus Security Authority, the supervisor of any employee, or the coordinator of any internship, clinical education, practicum, or study abroad experience, receives a report of Prohibited Conduct under this regulation, a team will review the report to determine if there is additional assistance to be provided, and will receive periodic updates about the status of the investigation regarding the report.

4. Disciplinary Action Against Respondents.

4.1 If disciplinary action is pursued, the University will determine which disciplinary proceedings should apply based on the status of the Respondent (faculty member, staff employee, employee not subject to the state personnel act, student) at the time the incident occurred.

4.2 The University endeavors, in and through each of the listed disciplinary proceeding it conducts, to provide a prompt, fair and impartial process and to complete the process of investigation and determination of responsibility within a reasonable time frame, typically sixty days, depending upon the complexity of the investigation and severity and extent of the alleged conduct. This timeline may be extended by the Title IX Coordinator with notice to the parties. A University official will explain to involved individuals the steps and timelines of the applicable disciplinary process.

4.3 Depending upon the applicable process, a hearing may be conducted by an individual university administrator, a faculty panel, an employee grievance board, or the student conduct board. Complainants and Respondents may elect or decline to participate in any relevant process, but the University must reserve the right to proceed regardless of Complainant or Respondent participation if it determines that is in the best interest of the ECU community.

4.3.1 All hearing officials receive training related to Prohibited Conduct.

4.4 The following processes describe the additional steps, anticipated timeline and decision- making process in more detail:

4.4.1 When the Respondent is a student, the attached Standard Operating Procedure and the [REG 11.30.01, Student Conduct Process](#), Section 5;

4.4.2 When the Respondent is a faculty member, ECU Faculty Manual, [Part XII, Section IV](#), and [Part IX, Section I](#) include detailed timelines regarding these proceedings;

4.4.3 When the Grievant or Respondent is an SPA employee, [REG 06.35.02, Mediation and Grievance Procedure for SPA Employees](#);

4.4.4 When the Respondent is an EPA non-faculty employee, the attached Standard Operating Procedure and [POL 06.35.01, Review Process and Procedures for EPA Non-Faculty Employees](#); and 4.4.5 When the Respondent is a Clinical Support Staff employee, the attached Standard Operating Procedure and the [Clinical Support Services Employee Handbook](#).

4.5 Standard of Proof: In every investigation of a case of Prohibited Conduct the University will utilize the preponderance of the evidence standard ("more likely than not") to determine whether or not such misconduct occurred; after the determination has been made, the standard for determining an appropriate sanction will be as provided below:

4.5.1 In disciplinary proceedings to determine the appropriate sanctions for a student, a preponderance of the evidence is required to determine that the student has violated the [Student Code of Conduct](#).

4.5.2 In disciplinary proceedings to determine the appropriate sanction for a member of the tenured faculty, clear and convincing evidence is required that the misconduct warrants a serious sanction, as outlined in the [ECU Faculty Manual Part IX, Section I](#), section VI.

4.5.3 In disciplinary proceedings to determine the appropriate sanction regarding misconduct by employees not holding a faculty appointment, the standard is whether there is just cause for the recommended action.

4.6 Disciplinary Results. The Result, as provided by federal law is any initial, interim, and/or final decision by any official or entity authorized to resolve disciplinary matters within the institution and must include any sanctions imposed by the institution. Subject to any overriding provision of law, the Result of any institutional disciplinary proceeding that arises from an allegation of sexual assault, domestic violence, dating violence, or stalking will be provided in writing to both parties at the same time, to include:

4.6.1 Any initial, interim, and final decision by any official or entity authorized to resolve disciplinary matters within the institution;

4.6.2 A brief rationale and any sanctions imposed;

4.6.3 The University's procedures for either party to appeal the result of the institutional disciplinary proceeding; and

4.6.4 Notice of any change to the result and a statement explaining when said result becomes final.

APPENDIX C - TRAINING, EDUCATION AND PREVENTION PROGRAMS

1. INTRODUCTION

East Carolina University (the “University”) is committed to providing a safe and non-discriminatory environment for all members of the University community. The University prohibits Sexual Assault, Sexual Exploitation, Intimate Partner Violence, Stalking, Sexual and Gender-Based Harassment, Complicity and related Retaliation (together, “Prohibited Conduct”). These forms of Prohibited Conduct are defined in the University’s Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence (the “Regulation”). This document identifies the University’s training, education, and prevention programs related to the Regulation. This document should be read in conjunction with the Regulation. Capitalized terms used and not otherwise defined in this document are defined in the Regulation.

2. TRAINING

The University provides training to Students and Employees to ensure they understand the Regulation and the topics and issues related to maintaining an education and employment environment free from harassment and discrimination.

2.1 UNIVERSITY OFFICIALS INVOLVED IN IMPLEMENTING THE REGULATION

The University offers online and in-person training to all officials charged with implementing the Regulation, including the University’s Title IX Coordinator, Deputy Title IX Coordinators, University Investigators, Employees who could be selected to sit on a Review Panel as outlined by the Student and Employee Procedures related to the Regulation, and all other Employees involved in responding to reports of Prohibited Conduct. The training varies by official and is based upon the role(s) the official is fulfilling under the Regulation. Topics include working with and interviewing persons reporting Prohibited Conduct; the particular types of conduct that constitute Prohibited Conduct; issues related to Intimate Partner Violence, Sexual Assault, and Stalking; the proper standard of review for complaints under the Regulation (Preponderance of the Evidence); Consent and the role alcohol or drugs can play with respect to Consent; the importance of accountability for Respondents found to have violated the Regulation, and the need for interim measures for the Respondent, the Complainant, and/or the University community; how to determine credibility; how to evaluate evidence and weigh it in an impartial manner; how to conduct prompt, fair, impartial, and thorough investigations and hearings that ensure due process, protect community and individual safety, and promote accountability; confidentiality; the effects of trauma, including neurobiological change; and cultural awareness regarding how Prohibited Conduct may impact persons differently depending on their cultural backgrounds.

University officials charged with implementing the Regulation receive regular training on these and other topics on an annual basis. The University invites national experts to train on these topics on campus and frequently sends University officials to relevant local, regional, and national conferences.

2.2 RESPONSIBLE EMPLOYEES

The University offers in-person training to Responsible Employees to ensure they understand the particular types of conduct that constitute Prohibited Conduct, as well as their reporting obligations under the University’s separate Reporting Regulation. This training includes practical information on how to identify Prohibited Conduct; the behaviors that may lead to and result in Prohibited Conduct; the potential for re-victimization by responders and its effects on persons reporting Prohibited Conduct; appropriate methods for responding to persons who may have experienced Prohibited Conduct, including the use of nonjudgmental language; and the impact of trauma. This training also includes an explanation of the Responsible Employee’s reporting obligations, including how, what, and where to report; the Procedures the University uses for responding to a Complainant’s request for confidentiality; how to inform Complainants of their options for support and assistance following an incident of Prohibited Conduct; and the contact information for the University’s Title IX Coordinator.

2.3 STUDENTS AND EMPLOYEES

The University offers online and in-person training to Students and Employees to ensure they understand the Regulation, including how to report incidents of Prohibited Conduct, and how to access confidential sources following an incident of Prohibited Conduct. Topics include Title IX, VAWA and what constitutes Prohibited Conduct under the Regulation; the definition of Consent, including examples; how the University analyzes whether conduct was unwelcome and the existence of a hostile environment for purposes of Sexual or Gender-Based Harassment; options for reporting Prohibited Conduct; the availability of confidential sources, on and off campus; the University’s resolution options for pursuing complaints under the Regulation; the potential sanctions for violating the Regulation; effects of trauma, including neurobiological changes; the role alcohol and drugs often play in incidents of Prohibited Conduct, including the deliberate use of alcohol and/or other drugs to perpetrate Sexual Assault; strategies and skills for bystanders to intervene to prevent sexual, gender-based, and other forms of interpersonal violence; how to report Prohibited Conduct to University Police or local law enforcement and the ability to pursue, simultaneously, a disciplinary and criminal complaint; and the protection against Retaliation afforded by the Regulation.

2.4 RESIDENT LIFE STAFF TRAINING

All Students and professionals who are part of Campus Living’s Residence Hall Staff receive training regarding alcohol and drug abuse, emotional well-being, students in crisis, and recognizing signs of Sexual Assault and other forms of sexual, gender-based, and interpersonal violence. Residence Life staff are also provided training on the Regulation, how to report Prohibited Conduct as Responsible Employees, and how to

support a student reporting Prohibited Conduct. All of the above training is conducted in person via lecture/dialogue format and/or case study scenarios. Title IX, VAWA and Clery Act have an additional training requirement for staff to complete online training modules.

3. EDUCATION AND PREVENTION

The University is committed to the prevention of Prohibited Conduct through regular and ongoing education and awareness programs. Incoming Students and new Employees receive primary prevention and awareness programming as part of their orientation, and returning Students and current Employees receive ongoing training and related programs. These programs include (1) statements that the University prohibits Prohibited Conduct, as defined by the Regulation, and related crimes under state and federal law; (2) the definitions of related crimes under state and federal law; (3) the definition of "Consent," for purposes of the Regulation; (4) safe and positive options for bystander intervention that may be carried out by an individual to prevent harm or intervene when there is a risk of Prohibited Conduct against another person; (5) information on risk reduction to recognize warning signs of abusive behavior; and (6) information about the Procedures that the University will follow after an incident of Prohibited Conduct has occurred.

The University's education and prevention programs reflect comprehensive, intentional, and integrated programming, initiatives, strategies, and campaigns intended to end Prohibited Conduct. These programs are culturally relevant, inclusive of diverse communities and identities, sustainable, responsive to community needs, and informed by research or assessed for value, effectiveness, and/or outcome. These programs are also designed to consider environmental risk and protective factors as they affect individuals, relationships, institutions, communities, and society.

East Carolina University is dedicated to ending sexual violence in our community. The University's education and prevention programs support this effort; they include (1) awareness programs; (2) bystander intervention programs; (3) ongoing prevention and awareness campaigns; (4) primary prevention programs; and (5) education on risk reduction.

3.1. AWARENESS PROGRAMS

Awareness programs consist of community-wide or audience-specific programming, initiatives, and strategies that increase audience knowledge and share information and resources to prevent violence, promote safety, and reduce perpetration. The University's specific annual awareness programs are:

- **Sexual Assault Awareness Month:** Each year, the University observes Sexual Assault Awareness Month in April with programming around sexual violence awareness and prevention.
- **Halloween Safety:** Safety education and awareness programming is provided annually related to Halloween events. Included among this are publicity and social media awareness efforts about safety during the night, as well as an alcohol-free alternative event for students on campus titled Halloween Havoc.
- **National Hazing Prevention Week:** Each year, several campus offices collaborate to provide a week of programming aimed at educating the campus on the three types of hazing: subtle, harassment, and violent. The focus is prevention of hazing as well as how to report instances of hazing.
- **International Women's Day:** Annually in March, the University celebrates International Women's day with a day-long series of lectures on topics relevant to women's issues. The event is sponsored by the Chancellor's Committee of the Status of Women, the Office of the Provost, the Division of Student Affairs and the Women's Studies program.
- **Personal Safety Seminars:** These seminars, conducted by the ECU Police Department, are designed to improve safety habits within the student population. Topics include Resident Hall security, personal safety habits, reporting illegal suspicious activity, crime on campus, and police services. This program allows students the opportunity to address safety-related concerns and to receive an appropriate response.
- **Alcohol & Drug Awareness Seminars:** These seminars, conducted by the ECU Police Department, are for the entire campus community and provide information on alcohol and drug abuse. Included are topics such as binge drinking, Drug ID kits, and the effects on the body and legal ramifications of alcohol and drug abuse both on and off campus.
- **Sexual Assault Police Seminars:** These seminars, conducted by the ECU Police Department, are for the entire campus community and address acquaintance rape, statistics, victim resources, and reporting procedures. Also provided is information about the various so called "date rape" drugs.
- **Domestic Violence Awareness Month:** Each October, the University recognizes in Domestic Violence Awareness Month. Awareness activities to bring attention to issues related to domestic violence are held, to include relevant speakers, participation in the Red Flag Campaign, and a PSA campaign.
- **Sexual Assault Victim Advocate Presentations:** The Victim Advocate provides awareness presentations as requested regarding sexual assault and rape. These presentations typically include definitions of sexual assault and rape, definitions and discussion of consent, statistics regarding victims, myths and truths about sexual violence, typical reactions to being the victim of sexual violence, and how to help a friend who has experienced an assault.
- **Intimate Partner Violence Awareness Presentations:** The Victim Advocate provides upon request awareness presentations regarding intimate partner violence. These presentations typically include definitions of intimate partner violence, a discussion on the cycle of violence, statistics regarding victims, power and control dynamics and tactics, red flags of abusive behavior, a discussion of why individuals may stay in abusive relationships, and how to help a friend who is experiencing partner violence.

- **Dry Dock Alcohol Free Tailgate:** An alcohol free tailgate program for home football games that provides a place for students and their guests who want to enjoy tailgate activities with food, music, and games without consuming alcohol and potentially experiencing associated negative consequences. Dry Dock also offers a great location to have fun without the peer pressure to consume alcohol.
- **Wellness Passport Events:** This program provides students with an added opportunity to experience a variety of health and wellness activities, services and programs at ECU relative to the 8 Dimensions of Wellness. A required assignment for all students enrolled in HLTH 1000 and some sections of COAD 1000.
- **Understanding Title IX Presentations:** These presentations to students, faculty and staff provide a general understanding of Title IX, as well as how to report issues of concern. Topics covered include sexual misconduct, sexual harassment, sexual violence, consent, ECU policy, who is protected by Title IX, and reporting procedures and resources.
- **The Clothesline Project:** A national project to promote awareness to women's issues including domestic violence and rape. This event provides an opportunity for survivors and victim's to share their stories. During the project participants decorate T-shirts in honor of the stories of domestic violence victims and survivors.
- **Responsible, Who Me?:** An in person training that educates responsible employees on their duty to report incidents of sexual harassment and misconduct of which they are told or become aware of. The course includes information on Title IX, definitions, reporting requirements, how to report, what information to report, and campus resources available to those who have been affected.
- **Pirate Ally:** Pirate Ally offers a training experience modeled after Safe Zone. Targeted at the ECU undergraduate student body, Pirate Ally offers the opportunity to explore vocabulary and discuss issues of important to sexual and gender minority students on campus.

3.2. BYSTANDER INTERVENTION

Bystander intervention consists of safe and positive options that may be carried out by an individual or individuals to prevent harm or intervene when there is risk of an occurrence of Prohibited Conduct. It also includes recognizing situations of potential harm, understanding institutional structures and cultural conditions that facilitate violence, overcoming barriers to intervening, identifying safe and effective intervention options, and taking action to intervene. The University's specific bystander intervention programs are:

- **Stand. Speak. Act.:** ECU's bystander intervention education program, Stand. Speak. Act. aims to help empower faculty, staff and students to become active bystanders who intervene on behalf of potential victims in any situation that is perceived to be unsafe. The program, modeled after the national program Step Up!, is working to engage all communities at the University for a unified prevention effort. The training focuses on giving individuals tools to intervene, as well as building a culture around the premises that (1) violence will not be tolerated, and (2) everyone has a role in preventing violence. Stand. Speak. Act. was developed specifically for ECU by the Campus Recreation & Wellness Office in 2014 and is facilitated by the Victim Advocate on campus. All incoming freshmen hear extensive messaging about bystander intervention during Orientation. Trainings are available for students, staff and faculty at ECU through Campus Recreation and Wellness and the Center for Counseling & Student Development
 - Stand: Stand up for what is right. Take a stand against bullying. Stand up to perpetrators. Stand up for your fellow Pirates.
 - Speak: Speak out against violence. Speak up on behalf of fellow Pirates. Be honest and direct when you speak in a situation.
 - Act: Call the police or 9-1-1. Avoid using violence whenever possible. Recruit help if necessary.
- **Good Samaritan Regulation:** The Good Samaritan Regulation aims to remove potential barriers and facilitate access to emergency medical care in cases of alcohol-related medical emergencies. Through this regulation, the University wishes to increase the likelihood that a person needing medical assistance will receive this assistance by reducing the reluctance of students to seek out appropriate help for themselves or their peers due to fear of potential University consequences.

3.3. ONGOING PREVENTION AND AWARENESS CAMPAIGNS

Ongoing prevention and awareness campaigns consist of programming, initiatives, and strategies that are sustained over time and focus on increasing understanding of topics relevant to, and skills for addressing Prohibited Conduct, using a range of strategies with audiences throughout the University. The University's specific ongoing prevention and awareness campaigns are:

- **Greek Member Education Programming:** Throughout the year, the Office of Greek Life conducts numerous educational programs. The topics of these programs include but are not limited to: hazing, sexual assault, alcohol and drug prevention, and other ways to reduce risk. These programs require at least 50% chapter attendance. In addition, the Interfraternity and Panhellenic Councils conduct programs called Junior IFC and Junior Panhellenic, which mandate similar programming for all new members.
- **Pledge Purple Week:** An annual, week-long initiative focused on education and advocacy centered on the issues of sexual violence, harassment and bullying. Students participating commit by signing the following pledge:
 "I will not use my hands or words in acts of violence, bullying, or sexual assault. I will educate myself about what violence, bullying and sexual assault looks like in the Pirate community. I will support my fellow Pirates and safely intervene as an active bystander if I witness scenarios of violence, bullying or sexual assault."
 Activities and programs during Pledge Purple Week include guest presenters, It's On Us awareness campaigning, and the Take Back the Night walk, among others.
- **It's On Us:** The Student Government Association initiated and launched the It's On Us media and awareness campaign in 2014 to raise awareness about sexual assault. This national campaign features male and female students, administrators, athletes and other campus faculty and staff speaking about messages related to consent, bystander intervention and responsibility for ending sexual assault. The SGA is

committed to maintaining It's On Us as an annual program as part of Pledge Purple Week.

- **Take Back the Night:** A walk to demonstrate support for victims of sexual violence and to promote its end. This is a national rally, march and speak out for survivors and allies.
- **Unlawful Harassment Prevention:** Harassment is also seen as prohibited behavior at ECU. This training offered through the Office of Equity and Diversity is provided to educate the community about why harassment compromises the community and how you can protect yourself from such behavior.
- **Preventing Discrimination and Sexual Violence Online Module:** The University through the Office of Equity and Diversity offers this educational module to educate ECU Employees (permanent, temporary, short-term and student employees) about sexual assault, sex discrimination, Title IX, Campus SaVE Act and other related terms and regulations. This module is mandatory for all employees to complete every five years. New employees must complete this module within ninety (90) days of their hire date.
- **SAFE:** SAFE is an acronym which stands for Staff and Faculty Eyes. The purpose of the SAFE Program is to develop liaisons between the various employees working in academic/administrative buildings and the ECU Police Department in order to increase crime awareness and reporting. The program was designed to promote positive interaction between police officers and staff and faculty members with an overall objective of working together to formulate strategies to solve and prevent crime related problems. The SAFE Program is fashioned after the Neighborhood Community Watch Programs found in many local communities
- **Safe Zone Training:** The Safe Zone program is a symbol of this University's commitment to diversity and inclusiveness. Participation in the Safe Zone training helps to create an ever-expanding network within the ECU community to support our students. Safe Zone training is an opportunity for faculty/staff to talk, learn, and ask questions about sexuality and gender in a non-judgmental, educational environment. The purpose of Safe Zone is to create a network of allies who are willing to talk to students about sexual orientation, gender identity, and gender expression. Trainings are offered throughout the year.
- **Collegiate Recovery Community:** The East Carolina University Collegiate Recovery Community (ECU CRC) provides a supportive environment within our campus culture to help students who have made a commitment or are making a commitment to lead sober, healthy lives. ECU CRC is designed to provide social and educational opportunities where recovering students can thrive academically and socially while actively pursuing their recovery. A variety of educational materials are available to support students in their recovery, and two lounges exist on campus for the purpose of building a sense of community.

3.4. PRIMARY PREVENTION PROGRAMS

Primary prevention programs consist of programming, initiatives, and strategies informed by research or assessed for value, effectiveness, or outcome that are intended to stop Prohibited Conduct before it occurs through the promotion of positive and healthy behaviors that foster healthy, mutually respectful relationships and sexuality, encourage safe bystander intervention, and seek to change behavior and social norms in healthy and safe directions. The University's specific primary prevention programs are:

- **AlcoholEDU:** AlcoholEdu, a product of EverFi, is a research-based program that provides information on alcohol and its effects on the body and mind, as well as information about campus resources for health and wellness that are available to students. Each year, all new students to the University under the age of 21 are required to participate in this online module.
- **Haven:** Haven, a product of EverFi, is a research-based program that provides information on the importance of healthy relationships, including consent, and being a good communicator. Each year, all new students to the University are required to participate in this online module.
- **Pirate Safety:** The Pirate Safety module is designed specifically for new students to ECU to provide valuable information related to safety guidance and tips. Included is information related to "blue light" emergency phones and security cameras on campus; resources such as the ECU Alert texts and the ECU Cares phone line and website; mechanisms for reporting suspicious or concerning behavior; and tips students can take to protect themselves.
- **Alcohol, Tobacco, & Other Drug Committee (ATOD):** The ATOD Committee is the campus taskforce whose mission is to reduce the ill effects of alcohol, tobacco, and other drugs on our campus. It is comprised of students, administration, faculty, and staff. The committee coordinates prevention, harm-reduction and educational messages on the ECU campus pertinent to alcohol and other drugs to foster a healthier environment. The ATOD Committee also is the group that examines the totality of our alcohol, tobacco, and other drug education on our campus and seeks to add campaigns or initiatives where gaps in prevention programming may be occurring.
- **Healthy Pirates – Peer Health Educators:** A diverse group of students who are trained to teach fellow students about pertinent health issues in a positive, interactive and nonjudgmental manner. Topics range from alcohol and other drugs, smoking cessation, sexuality programming, nutrition, body image, eating disorders, stress management and more. Healthy Pirates provide patient education sessions; facilitate dynamic outreach programs; encourage physical, mental, and spiritual health; create informative awareness events; and promote community support to create a healthy campus culture.
- **Title IX Advisory Council:** The Title IX Advisory Council works to monitor and evaluate Title IX compliance and issues of gender equity.
- **The Committee on Sexual Misconduct Prevention:** Offers recommendations to improve awareness of the University's sexual misconduct policies and procedures. The Committee also reviews the University's prevention efforts and suggests programs and initiatives to enhance the campus climate.

- **Alcohol, Tobacco, & Other Drug Committee (ATOD):** The ATOD Committee is the campus taskforce whose mission is to reduce the ill effects of alcohol, tobacco, and other drugs on our campus. It is comprised of students, administration, faculty, and staff. The committee coordinates prevention, harm-reduction and educational messages on the ECU campus pertinent to alcohol and other drugs to foster a healthier environment. The ATOD Committee also is the group that examines the totality of our alcohol, tobacco, and other drug education on our campus and seeks to add campaigns or initiatives where gaps in prevention programming may be occurring.
- **The Chancellor's Committee on the Status of Women:** This Committee works to improve the lives of women on campus and in the community through events, outreach, and engagement on and off campus. The Committee brings attention to the achievements and challenges that women at East Carolina University face daily.
- **Safe Spring Break:** Each spring, this health fair event is held for students with vendor tables from various campus departments providing information and resources before students leave for break. The goal is to provide students with these resources to encourage better decision making if students choose to go on a spring break trip.
- **COAD 1000 – First Year Seminar:** This one credit hour course is designed for new students to ECU. The objective of the course is to help new student be successful in their first year of college and beyond. Topics covered in this course include understanding the transition from high school to college, student development and motivation, goal-setting, learning styles, memory development, listening skills, note-taking skills, study skills, test-taking skills, communication, critical-thinking skills, ECU academic rules and regulations, and career development issues. COAD 1000 is taught by academic advisors and student affairs educators trained in understanding college student development and the academic and social issues encountered by college students.
- **Health 1000 – Health in Modern Society:** This two credit hour course – the oldest and largest required college personal health course in the United States – provides mostly incoming freshmen the information and skills they need to make informed decisions about leading healthier lives. The course covers mental, social, and physical health problems faced by children and adults in our society.
- **True Life:** True Life is a face-to-face prevention educational session provided during summer Orientation covering topics including alcohol and other drugs, campus safety, sexual health issues, and diversity. Collaboration amongst Office of Student Transitions and First Year Program, Dean of Students office, Ledonia Wright Cultural Center, Student Recreation/Wellness Center, and the Center for Counseling and Student Development allows delivery of this interactive program to all incoming freshmen.
- **Sex Signals:** A sexual assault prevention presentation required for athletes at ECU. The program focuses on sexual assault prevention, bystander intervention, alcohol and substance abuse, and hazing behaviors.

3.5. RISK REDUCTION

Risk reduction consists of options designed to decrease perpetration and bystander inaction and to increase empowerment in an effort to promote safety and to help individuals and communities address conditions that facilitate violence. The University's specific risk reduction programs are:

- **Rape Aggression Defense R.A.D.:** The ECU Police Department offers this free self- defense class to women within the University community. Rape Aggression Defense is a national program of realistic self-defense tactics and techniques taught for women regardless of their physical conditioning. R.A.D. provides students with knowledge to make an educated decision about personal defense, including information on physical and non-physical options, as well as insight in the mindset of an attacker. This is a 12-hour course that consists of several sessions over four days.
- **Resisting Aggression with Defense R.A.D.:** The ECU Police Department offers this free self- defense class to men within the University community. Resisting Aggression with Defense provides realistic self-defense options to men regardless of their level of physical conditioning. R.A.D. aims to empower men to make different decisions when confronted with aggressive behavior. The program provides students with knowledge to make an educated decision about personal defense, including information on physical and non-physical options, as well as insight in the mindset of an attacker. This is a 12-hour course that consists of several sessions over four days.
- **LiveSafe Mobile Safety App:** LiveSafe helps students use their mobile devices to report suspicious activity to police through images, video and text messages. Designed to help students be and feel safer, the app uses GPS technology to link students who wish to walk from one place to another on campus and in surrounding areas with other trusted users. This app is free to ECU students.
- **ECU Cares:** ECU Cares is a mechanism whereby members of the campus community can make reports of concerning behavior on campus, including acts of sexual misconduct or violence. This tool can be accessed online at www.ecu.edu/ecucares or by phone at (252) 737-5555.
- **Emergency Blue-Light Phone System:** Emergency Blue-Light Phones have been strategically placed throughout the campuses of ECU for use in emergency situations. The phones are intended to increase the safety of the campus community and are a quick and easily accessible method of reporting crimes to the ECU Police Department.
- **Safe Ride & Pirate Express Transportation:** The Safe Ride program provides “after hours” safe transportation home to any student that calls for this van service. Additionally, Pirate Express provides safe transportation to students in commuting to and from their off-campus apartment complexes to campus, as well as to popular retail and entertainment venues within the city. ECU Student Transit conducts these programs.

In addition, many of the University's training, education, and prevention programs described elsewhere in this Appendix are designed, in part, to provide Students and Employees with risk reduction strategies.



East Carolina University

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East Carolina University
Board of Trustees
University Affairs Committee
April 7, 2016

Session	University Affairs Committee
Responsible Person	Mr. Kieran Shanahan
Agenda Item	VI.
Item Description	Closed Session
Comments	
Action Requested	
Disposition	
Notes	