

**ECU Board of Trustees
July 12, 2018
Murphy Center
East Carolina University**

MINUTES

The Board of Trustees met in regular session at the Murphy Center on the athletics campus at East Carolina University.

OATH OF OFFICE

Chairman Kieran Shanahan called upon Pitt County Clerk of Court Sara Beth Fulford Rhodes to administer the oath of office for new board member Jordan Koonts.

Chairman Shanahan called on Board of Trustee member Bob Plybon to give the invocation.

Chairman Shanahan led the Pledge of Allegiance.

REPORT OF THE NOMINATING COMMITTEE

Mr. Shanahan called upon Vince Smith, Chair of the Nominating Committee, to give his report about the 2018-2019 slate of officers. Mr. Smith reported that the Nominating Committee has concluded their work and offered the following slate of officers for consideration:

Chair: Kieran Shanahan
Vice Chair: Vern Davenport
Secretary: Kel Normann

ELECTION OF OFFICERS

Mr. Shanahan called upon Megan Ayers to conduct the election of officers for the 2018-19 year. Ms. Ayers repeated the recommendations from the Nominating Committee and opened the floor for any additional nominations. There were no additional nominations.

Ms. Ayers asked for a motion to close the nomination period. The motion was seconded and approved unanimously.

Ms. Ayers then called for a motion to elect the officers as presented by the Nominating Committee:

Chair: Kieran Shanahan
Vice Chair: Vern Davenport
Secretary: Kel Normann

The motion was seconded and approved unanimously.

REPORT FROM THE CHAIR

Mr. Shanahan gave a short report from the Chair in response to the election, thanking the other board members for their confidence and their service.

ROLL CALL

Mr. Shanahan called on Secretary Kel Normann to call the roll:

Members Present

Edwin Clark
Vern Davenport
Deborah Davis
Leigh Fanning
Max Joyner
Jordan Koonts
Fielding Miller
Kel Normann

Members Absent

Mark Copeland

Bob Plybon
Jason Poole
Kieran Shanahan
Vince Smith

READING OF ETHICS STATEMENT

In compliance with the State Government Ethics Act, Mr. Shanahan read the conflict of interest statement and asked if anyone had a conflict of interest to disclosed. No conflicts were identified.

APPROVAL OF MINUTES

Mr. Shanahan asked for a motion to approve the minutes from the previous meeting. The motion was seconded and approved with no negative votes.

UNIVERSITY REPORTS

CHANCELLOR'S REPORT

Dr. Staton gave his remarks to the board. A full text version of the Chancellor's remarks is listed as "Attachment A."

FACULTY SENATE

Jeff Popke, Chair of the Faculty Senate, brought an update from the Faculty Senate. A full text version of Mr. Popke's remarks is listed as "Attachment B."

COMMITTEE REPORTS

ATHLETICS AND ADVANCEMENT COMMITTEE

Mr. Edwin Clark gave the report from the Athletics and Advancement Committee. A summary of this report is listed as "Attachment C." There was one item that needed action by the board.

Mr. Clark moved that the board approve the reappointment and new member to the Board of Visitors as provided in the board materials. He further moved that the slate of officers are approved as presented.

The motion was seconded and approved with no negative votes. This item is listed as "Attachment D."

AUDIT, ERM, COMPLIANCE AND ETHICS COMMITTEE

Mr. Kel Normann gave the report from the Audit, ERM, Compliance and Ethics Committee. A summary of this report is listed as "Attachment E." There are two items that need action by the board in closed session.

FINANCE AND FACILITIES

Mr. Max Joyner gave the report from the Finance and Facilities Committee. A summary of this report is listed as "Attachment F."

Mr. Jordan Koonts moved that the board approve the designer selections for capital projects of Building 43 renovation and Biology Greenhouse. The motion was seconded and approved with no negative votes. The item is listed as "Attachment G."

HEALTH SCIENCES COMMITTEE

Mr. Vern Davenport gave the report from the Health Sciences Committee. A summary of this report is listed as "Attachment H." Mr. Davenport presented two requesting approval from the board.

Mr. Davenport moved that the board approve the initial appointment of Associate Professor with permanent tenure in the School of Dental Medicine for Dr. Shannon Wallet, as presented in the board materials. The motion was seconded and approved with no negative votes. The item is listed as "Attachment I."

Mr. Davenport moved that the board approve the one time incentive payment for Dr. Edward Pesci, Chair of the Department of Microbiology and Immunology at the Brody School of Medicine. The payment is a recognition of his productivity and serving as Chair since August 1, 2017 at a salary below that of his peers and below the AAMC twenty-fifth percentile as presented in the board materials. The motion was seconded and approved with no negative votes. This item is listed as "Attachment J."

UNIVERSITY AFFAIRS

Filling in for Mark Copeland, Mr. Fielding Miller presented the report from the University Affairs Committee. A summary of the report is listed as "Attachment K."

Mr. Miller presented one motion for board consideration. Mr. Miller moved that the board approve the revisions to part eight of the Faculty Manual as presented in board materials. The motion was seconded and approved with no negative votes. The item is listed as "Attachment L."

CLOSED SESSION

A motion was made that the board go into closed session. Then motion was seconded and approved unanimously.

MOTIONS FROM CLOSED SESSION

Upon resumption of open session, Mr. Shanahan called for any motions that were a result of closed session discussions.

Mr. Fielding Miller moved that the board approve recommendations for tenure in the Division of Academic Affairs as presented in board materials. The motion was seconded and unanimously approved. This item is listed as "Attachment M."

Mr. Smith moved that the naming proposals for the LaLiores family be approved according to the terms and conditions as provided in the board materials. The motion was seconded and no discussion. Motion was approved. Item is listed as "Attachment N."

UNFINISHED BUSINESS

There was no unfinished business.

NEW BUSINESS

There was no new business.

ADJOURNMENT

Hearing no other business, Mr. Shanahan adjourned the meeting at 4:00 p.m.

ADJOURN

###

Respectfully submitted,

Megan Ayers
Office of the Assistant Secretary to the Board of Trustees



BOARD OF TRUSTEES

SEPTEMBER 7, 2018

WELCOME



DR. ANISA S. ZVONKOVIC
DEAN, COLLEGE OF HEALTH AND HUMAN PERFORMANCE



The background of the slide is a dark purple color with a faint, semi-transparent image of a clock tower. The clock tower has a large clock face with Roman numerals and is surrounded by architectural details like windows and stone masonry. The overall aesthetic is academic and professional.

FACULTY AND STUDENT
ACHIEVEMENTS

JIAHAO (JAY) LI

EC SCHOLAR, ENGINEERING STUDENT

- STUDYING THE USE OF 3-D CAMERAS FOR OBJECTIVE EDEMA MEASUREMENT PROJECT.
- FACULTY COLLABORATORS INCLUDE:

DR. STEPHANIE GEORGE

COLLEGE OF ENGINEERING AND TECHNOLOGY

DR. SONYA HARDIN

COLLEGE OF NURSING

DR. JASON YAO

COLLEGE OF ENGINEERING AND TECHNOLOGY



U.S. ARMY **xTECHSEARCH** COMPETITION

- AWARDED **\$1,000 PRIZE** IN PHASE I OF THE COMPETITION.
- HE WILL COMPETE FOR A \$5,000 PRIZE IN PHASE II OF THE COMPETITION AND **\$250,000** IF HE ADVANCES TO PHASE III.
- FORMED HIS OWN TECHNOLOGY COMPANY, **JAYBIRDENR LLC**, TO PREPARE FOR PHASE II OF THE COMPETITION.



DR. JASON YAO AND JAY LI

The background of the slide is a dark blue gradient with a faint, semi-transparent image of a clock tower. The tower has a large clock face and a lattice-like structure. The text is centered over this background.

RESEARCH AND
INNOVATION



RESEARCH AND INNOVATION

AT ECU

RESEARCH HIGHLIGHTS

- **INCREASE FOR RESEARCH EXPENDITURES** FOR THE FIRST TIME SINCE 2013 (3.2%).
- SECOND CONSECUTIVE YEAR OF INCREASED RESEARCH PRODUCTIVITY - OVER A **\$1M INCREASE** IN RESEARCH EXPENDITURES.
- **OVER 509 RESEARCH PROPOSALS** IN FISCAL YEAR 2017-2018 AS COMPARED TO 449 THE PRIOR YEAR.
- VALUE OF THE RESEARCH PROPOSALS **EXCEEDED \$200M.**



RESEARCH HIGHLIGHTS

- FUNDING RATE WITH NSF INCREASED FROM 7% AND 8% IN 2015 AND 2016 TO **26% IN 2017-2018**. THIS IS HIGHER THAN N.C. STATE (20%) AND UNC-CHAPEL HILL (25%).
- NUMBER OF FACULTY WHO WERE PRINCIPAL INVESTIGATORS ON EXTERNALLY FUNDED PROJECTS INCREASED FROM 14% IN 2015 TO **24% IN 2018**.



A faint, purple-tinted background image of a clock tower with a large clock face, serving as a backdrop for the title text.

INTERNATIONALIZATION

STUDY ABROAD INTERNATIONAL SNAPSHOT

	2016-2017	2017-2018	% CHANGE
ECU STUDENTS ABROAD	586	702	↑19.8%
INTERNATIONAL STUDENTS.....	187	201	↑7.5%
VIRTUAL EXCHANGE	444 STUDENTS	45 UNIVERSITIES	22 COUNTRIES





STUDY ABROAD

TUSCANY, ITALY



INTERNATIONAL STUDENT APPLICATIONS HAVE INCREASED IN 2018
NEW RECRUITING STAFF AND COMPREHENSIVE STRATEGIC PLAN ARE DELIVERING RESULTS

The background of the slide is a dark blue, semi-transparent image of a clock tower. The clock face is visible, showing the time as approximately 10:10. The tower's architectural details, including windows and structural beams, are faintly visible through the blue overlay.

STUDENT
SUCCESS

5-YEAR GRADUATION RATE

2002

49.5%

2017

60%





COMPREHENSIVE
CAMPAIGN

UNIVERSITY ADVANCEMENT

\$500 MILLION COMBINED CAMPAIGN

\$192.4 MILLION

TOWARD CAMPAIGN ALREADY
RAISED, PLEDGED OR COMMITTED

\$500 MILLION



\$192.4 MILLION

UNIVERSITY ADVANCEMENT

**\$500 MILLION
COMBINED CAMPAIGN**

\$2 MILLION

BOB AND PENNY BARNHILL
TARBORO, NC



\$500 MILLION



\$192.4 MILLION

UNIVERSITY ADVANCEMENT

\$500 MILLION COMBINED CAMPAIGN

YEAR IN REVIEW

TOTAL GIVING	\$43,237,904	
EAST CAMPUS	\$20,025,510	(RECORD HIGH)
WEST CAMPUS	\$14,933,318	(NEAR RECORD HIGH)
ATHLETICS	\$8,182,988	

\$500 MILLION**\$192 MILLION**

UNIVERSITY ADVANCEMENT

\$500 MILLION COMBINED CAMPAIGN

\$2.2 MILLION IN PLANNED GIVING

 FOR AUGUST 2018

MIKE ARMSTRONG, ORLANDO, FL

\$1 MILLION FOR COLLEGE OF BUSINESS SCHOLARSHIPS

HAROLD TROXLER, ELON, NC

PLAN TO ESTABLISH PROFESSORSHIP IN ECONOMICS

DR. TOM IRONS, ECU FACULTY


ESTABLISHING ENDOWMENT FOR HONORS/NURSING PROGRAMS

CHARLES McGIMSEY, ATLANTA, GA

CREATING COLLEGE OF BUSINESS SCHOLARSHIP

MIKE MILLS, ST. PETERSBURG, FL

ESTATE PLANS FOR ATHLETICS SUPPORT

A stylized graphic of a dome, likely representing the ECU dome, is positioned on the right side of the slide. It is divided into two color sections: a light blue upper section and a dark blue lower section. The text '\$500 MILLION' is placed above the light blue section, and '\$192.4 MILLION' is placed to the right of the dark blue section.

\$500 MILLION

\$192.4 MILLION



At ECU, we are Pirates™ of a different kind,
in search of a different kind of gold.

A dark blue background featuring a faint, stylized image of a clock tower with a large clock face. The tower is composed of geometric shapes and lines, creating a modern architectural look.

CHALLENGES

ENROLLMENT CHALLENGES

- DOWN SLIGHTLY THIS FALL WITH:
FIRST-TIME FULL-TIME FRESHMEN
TRANSFER STUDENTS
GRADUATE STUDENTS
- RURAL AND LOW-INCOME STUDENTS
- NC PROMISE
- HIGHLY COMPETITIVE ENVIRONMENT





BREAKING BARRIERS

ECU PARTNERS WITH COMMUNITY COLLEGES TO IMPROVE TRANSFER STUDENT ACCESS, SUCCESS

BEAUFORT COUNTY COMMUNITY COLLEGE • CARTERET COMMUNITY COLLEGE • COLLEGE OF THE ALBEMARLE • CRAVEN COMMUNITY COLLEGE
EDGECOMBE COMMUNITY COLLEGE • HALIFAX COMMUNITY COLLEGE • JOHNSTON COMMUNITY COLLEGE • LENOIR COMMUNITY COLLEGE
MARTIN COMMUNITY COLLEGE • NASH COMMUNITY COLLEGE • PAMLICO COMMUNITY COLLEGE • PITT COMMUNITY COLLEGE
ROANOKE-CHOWAN COMMUNITY COLLEGE • SAMPSON COMMUNITY COLLEGE • WAYNE COMMUNITY COLLEGE • WILSON COMMUNITY COLLEGE

GOVERNANCE TOPICS

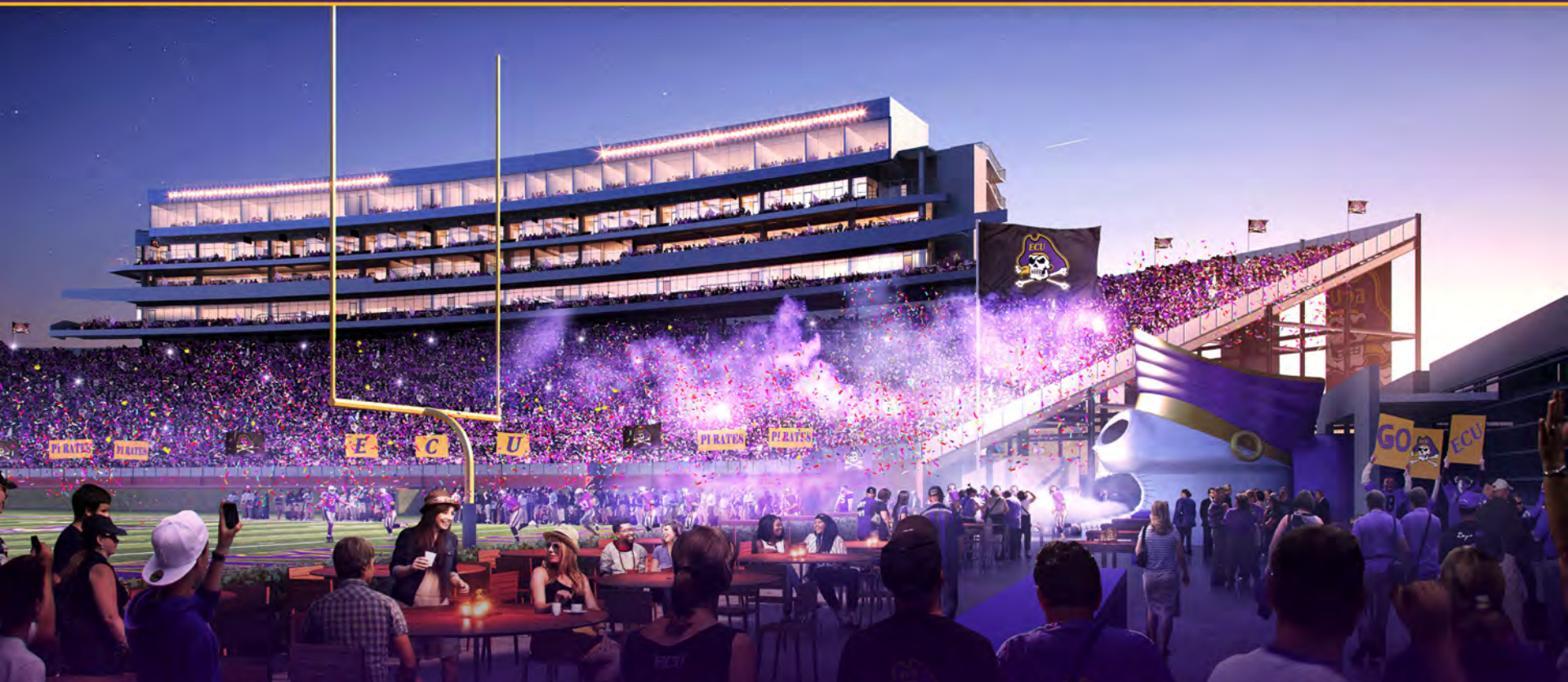


GOVERNANCE TOPICS

- FACULTY RAISES TOO RARE IN RECENT YEARS
- DO NOT WANT TO INCREASE FINANCIAL BURDEN ON STUDENTS AND FAMILIES
- UNIVERSITY FACES RISING COSTS, AGING INFRASTRUCTURE
- EXPENDITURES OVER \$300K MUST BE APPROVED BY THE UNC BOARD OF GOVERNORS



NEW \$122 MILLION STUDENT UNION



\$60 MILLION SOUTHSIDE STADIUM EXPANSION



OCTOBER 2021: NEW \$90 MILLION LIFE SCIENCES BUILDING

CHANCELLOR'S TASK FORCE ON GREEK LIFE

COMPOSED OF ALUMNI, FACULTY, COMMUNITY LEADERS AND STUDENTS, THE CHANCELLOR'S TASK FORCE ON GREEK LIFE WILL EXAMINE NATIONAL ISSUES FACING GREEK LIFE ON COLLEGE CAMPUSES AND THE CULTURE OF GREEK LIFE AT ECU.



NEW STUDENT CENTER OPENING

The background of the slide is a dark blue, semi-transparent image of a clock tower. The clock face is visible, showing Roman numerals and hands. The tower's structure is composed of various geometric shapes and lines, creating a complex, architectural pattern. The overall tone is professional and academic.

PACE OF
CHANGE

BY THE YEAR 2030 ...



375 MILLION PEOPLE
WILL NEED RETRAINING TO GET NEW JOB SKILLS

THAT'S

14% OF THE GLOBAL WORKFORCE



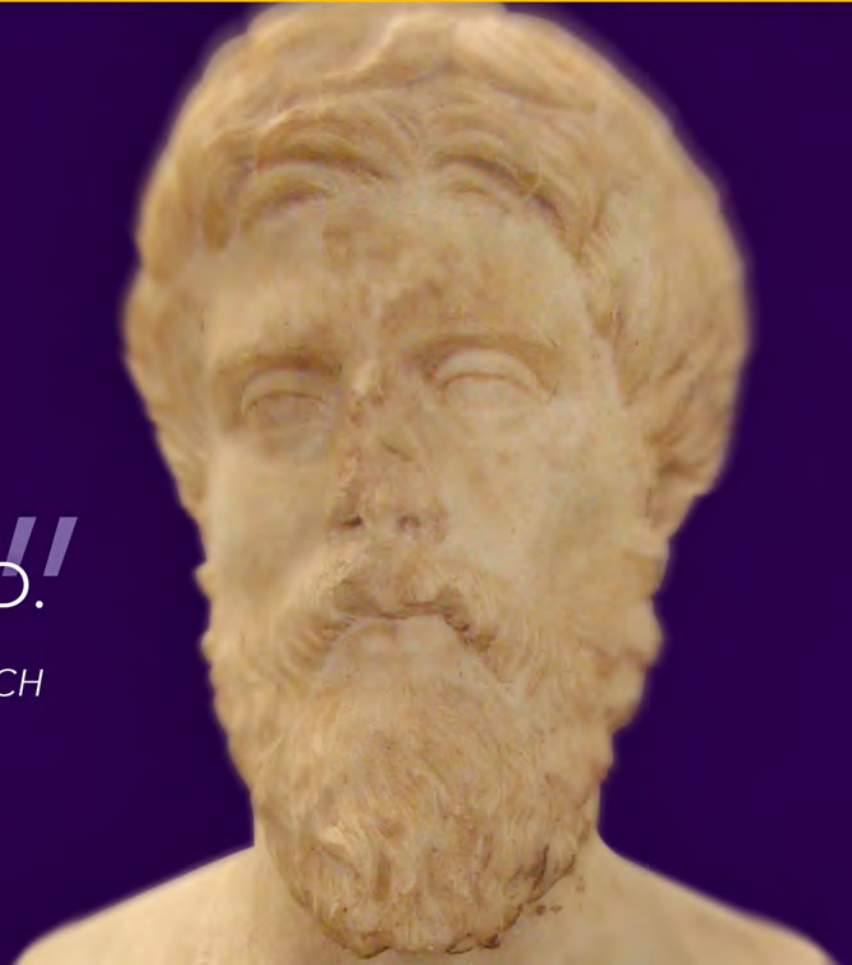
10,000+ OUT OF 29,000 STUDENTS
ARE FROM RURAL TIER ONE AND TWO COUNTIES

NEARLY

40% ARE FIRST-GENERATION COLLEGE STUDENTS

“THE MIND IS NOT A
VESSEL TO BE FILLED,
BUT A FIRE TO BE KINDLED.”

-PLUTARCH





A dark blue background featuring a faint, stylized image of a clock tower with a large clock face. The text "GO PIRATES!" is overlaid in the center in a large, white, bold, sans-serif font.

GO PIRATES!

Athletics and Advancement Committee
July 12, 2018

The Athletics and Advancement Committee met in regular session July 12, 2018.

The committee approved the minutes from the April 19, 2018 meeting.

Edwin Clark opened the meeting with the reading of the Conflict of Interest statement.

Advancement Highlights

Vice Chancellor Dyba shared that fundraising totaled over \$43.2 million for FY 17-18. Of that \$43.2 million, East Campus had a record high year of \$20,025,510, West Campus generated \$14,933,318 and Athletics brought in \$8,182,988. As for the comprehensive campaign, Dyba reported that the university has raised \$188M. Vice Chancellor Dyba explained that the impact of FY 17-18 fundraising efforts allowed for the establishment of 33 endowments and 34 non-endowed accounts for the ECU Foundation. And, the establishment of 17 endowments and 31 non-endowed accounts for the Medical and Health Sciences Foundation.

Athletics Highlights

JJ McLamb presented construction updates on the Southside renovation, the Ward Sports Medicine Building and the Hitting Facility for baseball.

Southside Renovation

- Topping off Ceremony today
- 400 parking spots in the white lot will be available this fall, remaining 125 will be ready in 2020
- Clark LeClair and Field Side entrances will be open this fall
- Temporary gate will be utilized on the south side - gate location may change game by game
- Press box will be full-functioning and open-air concept
- Concession areas will be moved to the inner bowl with some temporary locations

Ward Sports Medicine Building

- Completion date is August 1
- Athletic Training/Equipment Room will benefit all players
- Addition of a players' lounge
- Front lobby redone to be more inviting

Baseball Hitting Facility

- Completion date is August 1

Lee Workman reported a 3.1 overall GPA for ECU Athletics, which is the highest ever and represents 14 teams above a 3.0. Additionally, he informed the board that the Women's Golf team had an overall GPA of 3.8 which is 4th in the country.

Lee reported that we hosted the 2018 baseball regionals (first time since 2009) and regional baseball ticket sales resulted in 180 new Pirate Club members. He also detailed the ongoing efforts that Athletics and the Pirate Club are making to re-engage lost/lapsed Pirate Club members which had an impact on the reduced ticket sales over the last few years.

Football ticket sales are down 3K from last year and Pirate Club dollars are down \$1M. However, the Pirate Club is up \$400K from this time last year and efforts since mid-May to present show things are improving. Phillip Wood reminded the board that recent legislation has not helped with donations. Additionally, Phillip reported that the PC has an endowment of \$17M and many of those donors do not make an annual gift. Pirate Club staff are going to make efforts to talk with those donors to seek annual gifts.

Phillip Wood informed the board that a sub-committee of the Pirate Club Executive board will convene to discuss and evaluate the priority point system and reseating.

Dave Hart shared that he continues to meet with staff and student leaders in Athletics and is working closely with Stephanie Coleman who is helping with the current financial situation. He feels very positive about the future of ECU Athletics.

Board of Visitors

Megan Ayers presented names for appointment to the BOV. Names submitted were Pam Baldwin, Don Mills and Jonathan "Toby" Thomas. Also, the slate of officers was presented, they include Linda Thomas as Chair, John Cooper as Vice Chair and Will Litchfield as Secretary. All names were approved by the committee.

Board members encouraged more interaction with the BOV noting that more unity between the two boards would be advantageous to ECU.



MEMORANDUM

TO: ECU Board of Trustees

FROM: Megan Ayers
Assistant Secretary to the Board of Trustees

DATE: July 10, 2018

RE: Board of Visitors New Member Appointments and Officer Appointments

The ECU Board of Visitors are requesting the Board of Trustees approve three new appointments and ten reappointments to the Class of 2022. This will bring the total Board of Visitors membership to 75 members.

Recommended for Reappointment to the Class of 2022:

Michael Aho	Linda Hofler	Debbie Harris Rollins
Brian Brown	Chris Johnson	Linda Thomas
Brad Congleton	Lance Metzler	
Phil Dixon	Philip Rogers	

Recommended for Initial Appointment to the Class of 2022:

Pam Baldwin
 Don Mills
 Jonathan "Toby" Thomas

Please see the accompanying documentation for each individual should you prefer more detailed information.

The Board of Trustees will also need to appoint a slate of officers for the 2018-2019 year. The proposed slate of officers includes:

Chair	Linda Thomas
Vice Chair	John Cooper
Secretary	Will Litchfield

Thank you for considering these nominations and officers, as well as your continued support of the ECU Board of Visitors.

**\Report of ECU Board of Trustees Audit, Risk Management, Compliance, and Ethics Committee
July 12, 2018**

Action Items (There are no items which require action by the full board):

1. Approval of the April 19, 2018 meeting minutes.
2. Approval of the fiscal year 2019 annual audit plan.

Enterprise Risk Management Report – Mr. Tim Wiseman

Mr. Wiseman briefed the committee on the ERM office's recent activities and initiatives. Mr. Wiseman also reminded the committee that the UNC Board of Governors and UNC System Office are placing a strong emphasis on the ERM programs at each campus. Mr. Wiseman led an ERM workshop for the UNC system here on ECU's campus yesterday.

Internal Audit Report – Mr. Wayne Poole

Mr. Poole presented the Internal Audit dashboard as of June 30, 2018. The Office of Internal Audit met or exceeded its KPIs for the 2018 fiscal year by completing 86% of the annual audit plan and achieving 75% direct productivity from the auditor staff.

Mr. Poole presented the proposed FY 2019 annual audit plan, which had previously been reviewed by the Chancellor and members of Executive Council. The committee approved the proposed annual audit plan.

Mr. Poole advised the committee that the annual certification letters from the Chief Audit Officer and the Audit Committee Chair must be submitted to the UNC System Office. The Internal Audit activity has met the certification requirements.

Mr. Poole briefed the committee on Internal Audit's recent follow-up of the recommendations that were made in 2017 related to the University's Title IX complaint response processes. Mr. Poole stated that the University continues to make strong progress in this area and that the University's investigation and adjudication processes are significantly more mature than they were several years ago.



**East Carolina University | Board of Trustees
Finance & Facilities | Murphy Center | July 12, 2018
Highlights**

Finance and Facilities Committee met on.

I. MINUTES

- A. The committee approved the minutes from the April 19, 2018 meeting.

II. ACTION AND INFORMATION ITEMS

- A. The Committee reviewed a request to approve Designer Selections for Capital Projects for Building 43 Renovation and Biology Greenhouse. Bill Bagnell, Associate VC for Campus Operations, was available for questions. The Committee approved a motion to recommend that the full Board approve the request.
- B. Kitty Wetherington, Interim Associate VC for Human Resources, provided the Approved EHRA Employee Salary Adjustments pursuant to September 30, 2016 Expanded authority.
- C. Sara Thorndike, VC for Administration and Finance, provided the Millennial Property Update.
- D. Bill Bagnell, Associate VC for Campus Operations provided an Update on the Designer Selections since the last Board meeting.
- E. Bill Bagnell, Associate VC for Campus Operations, updated the committee on Capital Projects.
- F. Bill Koch, Associate VC for Environmental Health and Campus Safety, updated the committee on Campus Safety.
- G. Sara Thorndike, VC for Administration and Finance, updated the committee on Parking.
- H. Max Joyner, Chair of Finance and Facilities, shared some information on the Dail House and Proctor Young.

Meeting adjourned at 10:50 am.




**Facilities Engineering and Architectural Services
Campus Operations**

1001 East Fourth Street | East Carolina University | Greenville, NC 27858-4353
252-328-6858 office | 252-328-4259 fax

MEMORANDUM

TO: Sara Thorndike, Vice Chancellor
Administration and Finance

FROM: John G. Fields, PE 
Director

DATE: June 25, 2018

SUBJ: Designer Selection Recommendation
Biology Greenhouse
Code: 41736 Item: 307

On June 15, 2018, the designer pre-selection committee for the above referenced project conducted interviews with three (3) firms who were shortlisted based on a qualifications based selection criteria as required by the State Building Commission.

The committee consisted of Michael Van Scott, Senior Associate Vice Chancellor, Research, Economic Development & Engagement; Claudia Jolls, Associate Professor, Biology; Julie Marik, Research Specialist, Biology (ex-officio); Leigh Fanning, Board of Trustees; Bill Bagnell, Associate Vice Chancellor, Campus Operations; John Fields, Director, and Michael Talton, Project Manager, Facilities Engineering & Architectural Services; and Ricky Hill, Director, Facilities Services.

Based on the interviews and requirements of this project the committee recommends the following firms in prioritized order with Clark Nexsen being the top recommended firm.

Clark Nexsen	Raleigh, NC
Flad Architects	Raleigh, NC
Lord Aeck Sargent	Chapel Hill, NC

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

Board of Trustees approval of the recommended firm, Clark Nexsen, is requested.

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

Enclosure: Interested Designer Memo
cc: William Bagnell
Pre-selection Committee Members



Facilities Engineering and Architectural Services
Campus Operations

1001 East Fourth Street | East Carolina University | Greenville, NC 27858-4353
252-328-6858 office | 252-328-4259 fax

MEMORANDUM

TO: Interested Designers

FROM: John G. Fields, PE
Director

A handwritten signature in blue ink, appearing to read "John G. Fields", is written over the printed name and title.

DATE: April 4, 2018

SUBJECT: Biology Greenhouse

East Carolina University is requesting proposals from qualified design firms for the subject project. Detailed project information is as follows below.

The Biology Greenhouse on the main campus does not meet current departmental and institutional research needs. This project comprises 7360 SF of new greenhouse/headhouse facilities. The greenhouse portion will have multiple rooms for research and teaching, and will be two thirds conventional greenhouse and one third containment greenhouse. The support building is for plant processing and storage. Both facilities will be designed for future expansion to accommodate ECU's growing research and development needs in biology.

The greenhouse program would include space for a plant biochemist, corn development, biotech/transgenics, gene expression, plant breeding systems and native taxa, future faculty, collection space and circulation. Certain of these programs are required to be located within the containment greenhouse. The support building would house bulk storage, large equipment, sample processing, work space, chemical storage, materials storage, offices, toilet facilities, lockers, cold room, and an autoclave room.

The ECU project manager for this project is Michael Talton. Interested firms should submit three (3) copies of your letter of interest and current SF330 to the ECU project manager at the address below by 5 pm, April 18, 2018.

Michael Talton, AIA, NCARB
East Carolina University
Facilities Engineering & Architectural Services
1001 E. Fourth St.
Greenville, North Carolina 27858

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

Thank you for your interest in East Carolina University.

Action Item #2:

Designer Selection for Biology Greenhouse

Project Information:



- The Biology Greenhouse on the main campus does not meet current departmental and institutional research needs.
- This project comprises 7360 SF of new greenhouse/head house facilities. The greenhouse portion will have multiple rooms for research and teaching, and will be two thirds conventional greenhouse and one third containment greenhouse.
- The support building is for plant processing and storage. Both facilities will be designed for future expansion to accommodate ECU's growing research and development needs in biology.

Action Item #2:

Designer Selection for Biology Greenhouse

On June 15, 2018, the designer pre-selection committee for the above referenced project conducted interviews with three (3) firms who were shortlisted based on a qualifications based selection criteria as required by the State Building Commission.

The committee consisted of Michael Van Scott, Senior Associate Vice Chancellor, Research, Economic Development & Engagement; Claudia Jolls, Associate Professor, Biology; Julie Marik, Research Specialist, Biology (ex-officio); Leigh Fanning, Board of Trustees; Bill Bagnell, Associate Vice Chancellor, Campus Operations; John Fields, Director, and Michael Talton, Project Manager, Facilities Engineering & Architectural Services; and Ricky Hill, Director, Facilities Services.

Based on the interviews and requirements of this project the committee recommends the following firms in prioritized order with Clark Nexsen being the top recommended firm.

Clark Nexsen	Raleigh, NC
Flad Architects	Raleigh, NC
Lord Aeck Sargent	Chapel Hill, NC

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

Action Item #2 – Approval of the top recommended firm, Clark Nexsen, is requested.

**Health Sciences Committee
July 12, 2018**

- Minutes from the April 19, 2018 meeting were approved.
- Dr. Horns presented an overview of the state of the Division of Health Sciences. The presentation focused on the distinctions, points of pride, challenges, and opportunities that the division currently faces. The division demonstrates a promising future as it continues to deliver on its mission and produces successful students who fulfill the needs of our state.
- Dr. Horns referred the group to the materials in their packets that highlights the great work that each of our schools/colleges and library are doing within the Health Sciences Division.
- Mr. Jowers reviewed the financial year-to-date information through June 2018. Over a 12-month period, the ECU Physicians Practice Management Indicators reflected an improvement of 4.1% in contract revenue, 4.7% in credentialed providers, and 4.8% in the number of inpatient E&M visits. As of June 2018, ECU Physicians reflected an approximate \$600K net gain after one-time non-recurring items.

ECU BOT Health Sciences Committee Action:

Action Items from closed session to be announced in open session:

Closed Session Minutes from the April 19, 2018 meeting were approved.

Request - The Health Sciences Committee approve the following motion:

I move that:

- The board approve the initial appointment of Associate Professor with permanent tenure in the School of Dental Medicine for Shannon Wallet, PhD as presented in the board materials.

I move that:

- The board approve the one-time incentive payment for Dr. Everett Pesci, Chair of the Department of Microbiology and Immunology in The Brody School of Medicine. This payment is in recognition of his productivity and serving as Chair since August 1, 2017 at a salary that is below that of his peers and below the AAMC 25th percentile.

The motions passed unanimously.

BOT Attendees:

Deborah Davis (Committee Chair)
Vern Davenport (Committee Vice Chair)
Edwin Clark (Committee Member)
Kel Normann (Committee Member)
Bob Plybon (Committee Member)
Jason Poole (Committee Member)

Leigh Fanning
Max Joyner
Fielding Miller
Kieran Shanahan
Jordan Koonts
Vince Smith



East Carolina University

Tomorrow starts here.®

Attachment I

Office of the
Vice Chancellor
Health Sciences Division
Phyllis N. Horns, PhD, RN, FAAN
AD-48 Brody Medical
Sciences Building
600 Moyer Boulevard
Mail Stop 600
East Carolina University
Greenville, NC 27834-4354

252-744-2984 office
252-744-1612 fax

April 20, 2018

Chancellor Staton
East Carolina University
Greenville, NC 27858

Dear Chancellor Staton:

I would appreciate your consideration of the enclosed recommendation for the initial appointment of Associate Professor with permanent tenure for Shannon Wallet, PhD.

Dr. Shannon Wallet is scheduled to join East Carolina University June 1, 2018 as Associate Professor with a recommendation for permanent tenure, and Division Director of Basic Science, School of Dental Medicine.

Dr. Wallet completed her PhD degree at the University of North Carolina at Chapel Hill in 2005. She completed her CLS in Clinical Laboratory Science at Duke University. Currently, she serves as Associate Dean for Faculty Affairs at the University of Florida where she also holds a tenured faculty appointment at the rank of Associate Professor in Oral Biology.

Her scholarly activity includes 74 refereed journal articles, 2 book chapters, 10 presentations, as well as advising and mentoring future scientists. She is an accomplished researcher, with 3 completed grants totaling over \$1,000,000, 11 active grants, and 4 pending grants.

Dr. Wallet's service accomplishments are equally impressive and include appointments at the local, state, and national level on numerous editorial boards, review boards, and committees.

For your convenience, attached are the following documents:

- Dr. Shannon Wallet's curriculum vitae
- ECU Personnel Action Summary Form for the Board of Trustees

If you approve, we will make arrangements for this recommendation to be placed on the agenda for the July 12, 2018 ECU Board of Trustees meeting.

Sincerely,

Phyllis N. Horns, PhD, RN, FAAN
Vice Chancellor, Division of Health Sciences

Enclosures

Approve

Cecil Staton, Chancellor

Do Not Approve
Date 4/26/18

EAST CAROLINA UNIVERSITY PERSONNEL ACTION SUMMARY FORM
(Administrator completes Section I. and faculty member (appointee) completes Section II.)

Section I. To be completed by the appropriate administrator(s).

Name of Appointee: **Shannon Wallet, PhD**

Department: **Basic Science** School/College: **SoDM, ECU**

Current Rank or Title: *(if applicable)* Proposed Rank or Title: **Associate Professor and Division Director of Basic Science**

Indicate Type of Action: *(select all that apply)*

Administrative Appointment:

New Faculty Appointment:

Promotion:

Conferral of Tenure:

Other:

(describe)

Distinguished Professorship:

(provide name of professorship)

Effective Date of Action: **June 1, 2018**

Contract Period: Administrative Appointment: 9 mo. 12 mo.
 Faculty Appointment: 9 mo. 12 mo.

Salary: **\$180,000** Source(s): State Funds: **\$0** *Non-State Funds: **\$180,000**

**Indicate Sources of non-state funds generically (i.e., grants, receipts, trust funds, endowments, medical faculty practice plan, etc.):*

Prior Recommendations/Personnel Actions:
(please check appropriate responses)

Source	Recommended	Not Recommended	Not Applicable
Appropriate Unit Personnel Committee	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chair/Unit Head	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Director	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Dean	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provost/Vice Chancellor	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chancellor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board of Trustees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. Education Background: (*indicate degree, date earned and institution, note additional study & training*)

University of North Carolina at Chapel Hill Oral Biology PhD 2005

Duke University Clinical Laboratory Science CLS 1995

North Carolina State University Medical Technology BS 1995

CERTIFICATION AND LICENSURE:

None

2. Teaching and other professional experience: (*Show inclusive dates, rank and/or title, institution or agency, and indicate first appointment at current institution with rank and any changes to date*)

Academic Appointments

University of Florida Associate Dean for Faculty Affairs 06/2016 – present

University of Florida Associate Professor – **tenured**

Dept. Oral Biology 01/2015 – present

University of Florida Associate Professor – **tenured**

Dept. Periodontology 07/2013 – 01/2015

University of Florida Assistant Professor - **tenure accruing**

Dept. Periodontology 09/2006 - 06/2013

University of North Carolina at Chapel Hill Scientific Consultant - non-tenure accruing 11/2005 - 08/2006

University of Pittsburgh Post-doctoral Fellow - non-tenure accruing 04/2005 - 11/2005

Administrative Service

University of Florida, College of Dentistry

Director **DEN8290 Discussion of Research Topics (DN1, DN2)** 2009 – present

Director **DEN6128 Host Defense (DN2)** 2014 - present

Instructor **DEN6128 Host Defense (DN2)** 2017 – present

Instructor **DEN6421C Periodontal Treatment Planning and Disease Control (DN2)** 2007 – present

Instructor **DEN6680 Oral Biology I (MS)** 2008 – present

Instructor **DEN6681 Oral Biology II (MS)** 2007 – present

Instructor **DEN6656 Introduction to Advanced Periodontology (MS)** 2013 – present

Director **GMS5905 Immunology/Microbiology Grant Writing** 2009 – present

Instructor **GMS6140 Principles of Immunology** 2007 - present

3. Scholarly & Creative Activities:

<i>Type</i>	<i>Number</i>
<i>Book</i>	
<i>Edited Book</i>	
<i>Chapter</i>	<u>2</u>
<i>Refereed Journal Article</i>	<u>74</u>
<i>Other Journal Article</i>	
<i>Juried Performance/Show</i>	
<i>Non Juried</i>	
<i>Other: Advising/Mentoring</i>	<u>101</u>
<i>Other: Review</i>	<u>2</u>
<i>Other: Research</i>	<u>3</u>
<i>Other: Grants</i>	<u>18</u>
<i>Other: Invited Talks</i>	<u>10</u>

4. Membership in professional organizations:

International

Member International Association of Dental Research (IADR) 2007-present

National

Member SLB Professional Development Committee 2016-present

Member AADR Science Information Committee 2016-2019

Member American Association of Cancer Research (AACR) 2015-present

Member Society of Leukocyte Biology (SLB) 2012 -present

Councilor American Association of Dental Research (AADR) 2010-present

Member American Association of Dental Research (AADR) 2007-present

Member American Association of Immunology (AAI) 2008-present

Member American Association for the Advancement of Science (AAAS) 2008-present

Member American Diabetes Association (ADA) 2007-present

Member American Dental Education Association (ADEA) 2007-present

State

President American Association of Dental Research FI Section 2009-present

Local

Member UF Shands Cancer Center (UFSCC) 2006-2015

Member Xi Omicron Chapter of Omicron Kappa Upsilon

Honorary Dental Society

Honorary Faculty Membership 2015–present

Member UF Health Cancer Center of Excellence 2015-present

Member UF Center for Diabetes Excellence 2015-present

5. Professional service on campus:

NA

6. Professional service off campus:

University

Member Pre-eminence Search Committee 2016-present

Reviewer Opportunity Seed Funds 2015

Member Interdisciplinary PhD Program Admissions Committee 2012-2013
College of Medicine

Member Interdisciplinary PhD Program Admissions Committee 2007-2011
College of Medicine

Member Graduate Faculty 2007-present
College of Medicine

Member Graduate Faculty 2007-present
College of Dentistry

College

Representative 2016 Summer Commencement 2016

Member Orthodontics Search Committee 2016

Member Curriculum Committee 2015-2016

Member Constitution Committee 2015-present

Member Faculty Advisory Board 2014-present

Chair Culture Climate Workgroup 2014-present

Member Endodontics Search Committee 2014

Member Orthodontics Chair Search Committee 2013

Member Accreditation Committee 2013-2016
Research Program Committee

Journal of Leukocyte Biology 2010-present 2 - 3 articles/yr.

Journal of Periodontology 2009-present 3 - 4 articles/yr.

Diabetes 2007-present 1-2 articles/yr.

Attachment I

ACTIVITIES IN THE PROFESSION

International

Study Section Italian Ministry of Health (MOH) 2013

Study Section American Diabetes Association UK 2011

National

Study Section NIDCR – T32/T90 – Ad hoc 2017

Study Section NIDCR – K, F and R03 – Ad hoc 2016, 2017

Study Section NIDCR – ODCS – Ad hoc 2015

Study Section Juvenile Diabetes Research Foundation (JDRF) 2014

Study Section American Diabetes Association (ADA) 2009-2015

Study Section Research into Ageing – PhD Studentship Award 2008

Local

Host High School Students Science for Life Program 2015-present

Speaker Successful Engagement of Today's Student (CE) 2015

Participant UF CTSI Mentor Academy – Master Mentor 2015

Member T32 Internal Advisory Committee 2014 – 2017

Basic Microbiology and Infectious Diseases

Member Science Master's Program in Translational 2010-2012

Shannon Wallet, PhD
Associate Professor
College of Dentistry, Department of Oral Biology
swallet@dental.ufl.edu

1. EDUCATIONAL BACKGROUND

Institution	Field of Study	Degree	Year
University of North Carolina at Chapel Hill	Oral Biology	PhD	2005
Duke University	Clinical Laboratory Science	CLS	1995
North Carolina State University	Medical Technology	BS	1995

2. EMPLOYMENT

Institution	Position	Dates
University of Florida	Associate Dean for Faculty Affairs	06/2016 - present
University of Florida	Associate Professor – tenured Dept. Oral Biology	01/2015 - present
University of Florida	Associate Professor – tenured Dept. Periodontology	07/2013 – 01/2015
University of Florida	Assistant Professor - tenure accruing Dept. Periodontology	09/2006 - 06/2013
University of North Carolina at Chapel Hill	Scientific Consultant - non-tenure accruing	11/2005 - 08/2006
University of Pittsburgh	Post-doctoral Fellow - non-tenure accruing	04/2005 - 11/2005

3. RESEARCH STATEMENT

Shannon Wallet's research interests are focused on mechanisms associated with altered innate immune functions, which lead to dysregulated adaptive immunity. Through her independent and collaborative research programs, she has been involved, at some level, in investigating the basic biology of health, multiple autoimmune conditions, autoinflammation, sepsis, exercise induced inflammation, and, most recently, cancer. A major focus for Wallet is understanding intestinal immune regulation under conditions of health versus disease, in the context of type 1 diabetes. Investigations into these interactions have been hindered by a lack of robust primary cell culture techniques, which the Wallet laboratory has most recently been able to overcome. Wallet also studies altered immunological mechanisms which lead to tissue destruction in the context of periodontal disease. Here, through funding from the NIDCR and American Diabetes Association (ADA), Wallet has demonstrated that oral epithelial cells play a central role in regulating oral inflammation and its resolution. In addition, she has begun to decipher osteoclast specific mechanisms associated with excessive bone destruction observed in periodontal disease of individuals with type 1 diabetes. Wallet also investigates the subversion of immunity involved in pancreatic cancer. Through funding from the UF-sponsored Team Science Project (UF TSP) and American Cancer Society Career Development Awards (ACS CDA), Wallet has generated data allowing her to develop personalized targeting nanomedicines as well as to decipher the mechanisms associated with pancreatic cancer specific suppression of the innate immune system, allowing for the progression of disease and metastases. Dr. Wallet is keen to utilize her expertise to bring together multiple research communities with the goal of advancing human health.

Position 001300
Foundational Faculty Member

Wallet, Shannon PhD
Associate Dean for Faculty Affairs
Associate Professor, University of Florida

Research Statement

As outlined in my CV, my research interests are focused on mechanisms associated with altered innate immune functions, which lead to dysregulated adaptive immunity. Currently my research program has three major arms integrated through with a central philosophy. Specifically, our laboratory focuses on the contribution of epithelial cell biology and signaling to innate and adaptive immune homeostasis and dysfunction. We study the contribution of what I term 'epithelial cell innate immune (dys)function' to three major disease conditions: pancreatic cancer, type 1 diabetes (autoimmunity), and periodontal disease (autoinflammation). While appearing to be a diverse research program, we have found that many of the mechanisms and systems in play are surprisingly (or maybe not so surprisingly) similar allowing for rapid translation of our findings. Importantly, previous investigations into the role of epithelial cells in immunobiology have been hindered by a lack of robust primary cell culture techniques, which our laboratory has been able to overcome using both animal and human tissues. Thus, using our novel and unique tools we are able to evaluate our findings in the human conditions, again making translation of our findings that much more feasible. Below are brief yet more detailed descriptions of each arm of my research program:

1. In periodontal disease (PD), subgingival bacteria initiate and sustain a non-resolving inflammation that is ineffective at controlling the infection. In addition, PD-associated inflammation is multifactorial in nature, whereby immune plasticity in both the innate and adaptive immune compartments have been observed. Immune plasticity during infection may impart deleterious outcomes during PD, as a consequence of chronic inflammation; however, the cues that drive this plasticity, and what the precise impact this plasticity has on proper immune cell activation and function during PD is at best poorly understood. Our preliminary findings suggest that oral epithelial cells (OECs) serve as a source of inflammatory cues capable of regulating the not only oral bone loss in response to poly-microbial infection, but plasticity of both innate and adaptive immune cells. In addition, we recently reported that the macrophage immune response to PD-associated bacteria challenge is directly influenced by its prior activation by inflammatory stimuli (i.e. polarization). Further, poorly orchestrated T cell activation is appreciated as a key facet of PD. With this information, we propose that activation of the oral epithelium drives an inflammatory milieu, which directly and indirectly shapes innate and adaptive immune plasticity in PD. Thus our laboratory uses integrated approaches to elucidate the mechanistic features of OEC-elicited immune signaling on macrophage plasticity and functional handling of PD-associated pathogens. In addition, the outcomes of direct and indirect mechanisms of OEC tuning of the T cell compartment are evaluated. Lastly, macrophage-T cell crosstalk under PD pathogen-elicited inflammatory and immunoregulatory environments are investigated. We implement a combinatorial approach employing in vitro and in vivo experimentation to detail the cellular interactions at key checkpoints in host response to infection. The results from these studies will set the foundation for the contribution of immune plasticity and its role in shaping the immunologic response guiding PD, providing critical insight for future studies targeting therapeutic intervention approaches for PD based on immunologic tuning of the host response to PD-associated pathogens

2. Type 1 Diabetes (T1D) is an autoimmune disease with both genetic and environmental contributions, yet a single environmental factor has yet to be identified. We propose that rather than the specific identity of the environmental factor, the way in which an environmental signal is received is most important to disease. Among individuals at risk of developing T1D, seroconversion to islet autoantibody (IA) production is the best and earliest biological predictor of disease progression. Thus, critical events leading to the destructive β cell autoimmunity associated with T1D are linked to the development of IAs. In subjects with high risk HLA alleles, 9 gene regions marked by single nucleotide polymorphisms (SNPs) are associated with IA seroconversion. Our collaborator's analysis of these IA risk loci reveals enrichment for genes/proteins that regulate only three cell signaling pathways (RAS/MAPK, PI3K/AKT and JAK/STAT), whereby four IA seroconversion risk variants (*PTPN22*, *SH2B3*, *ERBB3* and *UBASH3A*) each impact all three. Thus, we propose that regulation of environmental sensing is at least in part controlled by the one or more of these risk variants associated with the development of IAs. Appropriate communication of the gastrointestinal tract (GI) with the environment is required for local and systemic immunologic homeostasis, which is in part regulated by the intestinal epithelial cell (IEC) through their physical and biochemical interactions with innate and adaptive immune populations. To this end, contribution of immunity within the GI tract to the expression of autoimmunity at distal sites has been previously demonstrated. Thus we propose that the seroconversion risk variants affect immune signaling pathways within the IEC

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Wallet, Shannon PhD
Associate Dean for Faculty Affairs
Associate Professor, University of Florida

contributing to the maintenance of autoimmunity in T1D, through the secondary expansion and/or polarization of autoreactive effector T-cells. To study human disease, a major need is cell-specific human isogenic systems that can be used to dissect the role of individual T1D risk gene variant alleles. Our preliminary studies support use of a disease-in-a-dish strategy that pairs human induced pluripotent stem cells (iPSCs) with CRISPR/Cas9 gene modification to fulfill these needs. Thus our laboratory couples iPSCs and CRISPR/Cas9 technology with our method of reproducible primary human IECs culture to achieve haploinsufficient, mono-allelic homozygosity at risk or protective alleles to evaluate alterations in IEC-immune mechanisms which contribute to the maintenance of β cell autoimmunity.

3. **Pancreatic cancer (PC)** will be the second leading cause of cancer-associated deaths by 2020. PC is resistant to conventional chemoradiation regimens and clinical trials evaluating new agents continue to demonstrate unacceptably high rates of failure. As promising alternatives, therapies designed to stimulate anti-tumor immune responses have achieved unprecedented success with other solid tumors. Vaccination, one immunotherapeutic modality applied to PC, has unfortunately achieved a limited degree of success. Similarly, immune checkpoint inhibition has also achieved promising results in solid tumors, but again clinical outcomes following checkpoint inhibition alone in PC have been disappointing. Thus, it has been proposed that immune modulation may not be a viable option in PC, where it has been hypothesized that in cancers with a limited array of somatic mutations, such as PC, development of fewer neoantigens prevent the development of a vast enough repertoire of tumor-specific T cells to be effective in mounting antitumor responses. Yet others have demonstrated that patients with gastrointestinal tumors, including PC, do actually harbor neoantigen-reactive T cells. Most importantly, expansion of these neoantigen-reactive T cells *ex vivo* and subsequent adoptive cell therapy (ACT) resulted in stable regression of a metastatic cholangiocarcinoma, previously resistant to multiple chemotherapy regimens. Comparable clinical responses in PC would revolutionize the current treatment paradigm, significantly expanding the population of patients eligible for potentially curative therapy. We are keenly aware, that expansion of PC-reactive T cells *ex vivo* and subsequent ACT will not be sufficient to treat PC due to a tumor micro-environment of tolerance. Indeed, we recently published, that while cancer cells exert mastery over the local tumor-associated stroma (TAS) to configure escape from immunity, the TAS also contributes to the production of an immunosuppressive tumor microenvironment. As outlined in our recent review, we propose that these combined effects at least in part contribute to the observed failure of vaccine-mediated *in vivo* expansion of tumor-specific T cells, as well as mono-modal checkpoint inhibitor therapies. We hypothesize that ACT will need to be coupled with appropriate checkpoint inhibition and/or vaccination to be effective in the treatment of PC, by providing both a robust population of highly functional and tumor-specific T cells as well as inhibition/reversion of T cell tolerance/ exhaustion in the tumor microenvironment. Thus, our program is currently evaluating the frequency, phenotype and function of *ex vivo* expanded PC-reactive T cells, using platforms that can be used in a heterogeneous patient population as well as in a more personalized manner. In addition, we will utilize and expand upon the existing knowledge on the PC-tumor microenvironment of tolerance to inform the selection of appropriate checkpoint inhibitors to be evaluated as adjunctive mono- and multi-modal therapies to ACT. Most importantly, we will translate ACT and the appropriate adjunctive multi-modal checkpoint inhibitor therapies into clinical trial. We have assembled an interdisciplinary team each with unique expertise to reach the overarching goal of our research program - to develop effective and translational immunotherapy for PC. We are making strides towards this goal utilizing models and tools currently in our laboratories to do so in the human condition.

In addition to my primary research objectives, my collaborative research programs, have allowed me to be involved, at some level, in investigating the basic biology of health, multiple autoimmune conditions, autoinflammation, sepsis, and exercise induced inflammation that have resulted in 76 total publications to date. <http://www.ncbi.nlm.nih.gov/sites/myncbi/shannon.wallet.1/bibliography/41322655/public/?sort=date&direction=ascending>. I have been blessed with the opportunities to couple my passions and expertise with that of others to bring together multiple research communities with the goal of advancing human health and hope to be able to continue to do so for years to come.

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Foundational Faculty Member

Wallet, Shannon PhD
Associate Dean for Faculty Affairs
Associate Professor, University of Florida

Teaching Philosophy

Since at the University of Florida, I have had the privilege to teach several types of students including pre-doctoral (DMD) and post-doctoral (MS) dental students as well as PhD students. I have contributed to the teaching missions of the University and College primarily through teaching didactic courses in the DMD, advanced education and PhD curricula. The format of these courses range from small-group learning (Introduction to Oral Biology; Advanced Periodontology) to passive learning (i.e. lecture) (e.g. Host Defense, Principles of Immunology) to flipped classroom learning (e.g. Discussion of Research Topics, Immunology/Microbiology Grant Writing). In my experience, each teaching methodology has a place within the education system to impart the knowledge and skill sets needed for learners to progress. For instance, in *Host Defense*, there is a level of information that needs to be provided prior to asking students to utilize this information in critical thinking exercises, thus passive learning is the most appropriate way to convey this information. Conversely, in *Oral Biology I and II* it is understood that this fundamental knowledge has been gained and thus we ask students to utilize this information during critical thinking exercises using small-groups. Finally, in our *Grant Writing* course a flipped classroom works best whereby students utilize both their foundation of knowledge and critical thinking skills to evaluate their own writing and that of others. One final aspect of my teaching philosophy is that which addresses the heterogeneity of learning styles identified in today's learners. Simply, there is not one teaching method that will satisfy all learning styles or all learners, but it is the responsibility of educators to recognize and respect that there are multiple types of learners. For instance, at UF, our didactic courses (mostly passive learning) are recorded and it is up to the course director as to whether attendance in class is required. Early into the directorship of this course, I performed an analysis of the performance of students who attended class versus those who watched the recorded lectures and quickly discovered that over a two-year period there was no difference in the performance within the course between these two groups of students. In addition, in course debriefings both sets of students expressed that the lack of pressure for attendance to the class allowed 1) those students who did attend to be less distracted by those who do not wish to be there and 2) those students who prefer to absorb the information on their own time and/or environment to do so more effectively. Importantly, in both of these years, I clearly delineated the responsibilities of myself and the other instructors within the courses, along with the expectations we had of the students. I attribute this transparent communication to the success of this particular course.

University of Florida, College of Dentistry		
Role	Course/Lectures	Dates
Director	DEN8290 Discussion of Research Topics (DN1, DN2)	2009 - present
Director Instructor	DEN6128 Host Defense (DN2)	2014 - present 2017 - present
Instructor	DEN6421C Periodontal Treatment Planning and Disease Control (DN2)	2007 - present
Instructor	DEN 6680 Oral Biology I (MS)	2008 - present
Instructor	DEN6681 Oral Biology II (MS)	2007 - present
Instructor	DEN6656 Introduction to Advanced Periodontology (MS)	2013 - present
University of Florida, College of Medicine		
Role	Course/Lecture	Dates
Director	GMS5905 Immunology/Microbiology Grant Writing	2009 - present
Instructor	GMS6140 Principles of Immunology	2007 - present

*I have provided student teaching evaluations for 2016 – 2017 teaching assignment. Multiple years are available upon request.

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I have also served the teaching mission of UFCD by advising and mentoring future scientists at all levels. Again, I have had the opportunity to mentor several types of students through their research experiences. Each type of student requires a different mentoring style and/or philosophy. For instance, I have mentored several undergraduates whose goals are to gain entrance into Dental/Medical/Graduate School. My philosophy on undergraduate research training is that these students should be trained and mentored such that they develop a set of skills that could carry them further in their endeavors. Therefore, my undergraduate students do not simply 'wash dishes', but carry out small yet important research projects which requires them to read the literature, design experiments, learn techniques, interpret experimental outcomes, and troubleshoot their experiments. While data analysis and interpretation is a joint effort between the undergraduate trainee, and me I still feel it is an important process for which they gain experience. Our undergraduates have been very successful in reaching their goals (see CV or details) and while not all have continued to participate in research, I strongly feel their experiences in my laboratory have prepared them well. As the director for the Research Elective (DEN8960) at UFCD, I also coordinate DMD student research. Here we have several levels of commitment to research which range from simple curiosity to incorporation of research into their career goals. Therefore, it is my responsibility to match students' needs and capabilities to that of mentors to better ensure success in the research endeavor. Obviously, the experiences these students have been and should be very different. In addition, I am an active participant in the UFCD DMD Summer Research Program since 2007 where I have personally mentored six students during their summer research experience whereby two participants, have graduated with High Research Honors in 2011 and 2014 respectively.

In addition, I have been the chair and member of several Masters of Science (MS) graduate committees through the COM basic science departments, as well as the COD clinical departments. In addition to my participation on MS committees, I have in the past filled the role of the Periodontology Graduate Research Coordinator where I was responsible for overseeing the initiation, progression and completion of the MS thesis research projects of our Periodontology Residents (7- 9/year). Here my philosophy has been that students should demonstrate an ability to read the literature, know the deficiencies in their area of research, be able to design a research plan to answer the question(s) left by these deficiencies, execute the plan, troubleshoot any problems which arise and analyze and interpret the data. Importantly, work done in these experiences should result in a manuscript worthy of publication. Again, our MS students have been successful in project planning and execution (see CV for details).

Finally, I have a strong track record of mentoring pre-doctoral fellows in pursuit of their PhD. Specifically, I have successfully graduated three pre-doctoral fellow (Dana Catalfamo (August 2012), Christina Graves (January 2016), and Dan Delitto (April 2016)), two COM MS students (Jeff Tobler (2009) and Michael Nelson (2013)). I currently mentor one pre-doctoral fellows (Bayli DiVita (second year)), while concurrently serving on over 15 PhD committees (see CV for details). All of my pre-doctoral fellows have been or are currently supported by institutional training grants held by UFCD or COM, where the expectation is that all of my graduate students will apply for individual pre-doctoral awards in their second and/or third year of training. Two of my PhD graduates were successful in obtaining two years of F31 funding from the NIDCR and the NIDDK.

Thus in summary, I have effectively supported the teaching missions of UFCD and UFCOM on multiple levels. This is highlighted by the fact I received the Basic and Behavioral Sciences Teacher of the Year Award for the COD in 2015 and the Faculty Doctoral Mentoring Award for the COM in 2017 (see CV for details).

4. CONTRACTS AND GRANTS

ACTIVE

R01 DE023567-01 (SM Wallet) 07/01//2013 – 06/30/2018 (no-cost extension) 0.12 calendar months
NIH/NIDCR

“Epithelial Cell Function in the Progression of Periodontal Disease”

The major goal of this project is to evaluate the role of oral epithelial cell TLR responsiveness in periodontal disease progression.

R01 DE019117-07 (Davey) 07/01/2015 - 06/30/2020 0.60 calendar months
NIH/NIDCR Yrs 03 - 05

Regulatory mechanisms controlling expression of *P. gingivalis* surface structures

The major goal of this project is to evaluate the virulence of surface structures and their regulation using both in vivo and in vitro models and systems.

R01 DE042580 (Davey) 04/01/2015 – 03/31/2020 0.60 calendar months
NIH/NIDCR Yrs 03 - 05

L-Arg Availability Affects the Physiological State of *Porphyromonas gingivalis*

The major goal of this project is to evaluate Arginine availability's effect on *P.g.* survival and virulence.

R01 HL122140 (Progulske-Fox) 04/01/2015 – 03/31/2020 0.21 calendar months
NIH/NHLBI

P. gingivalis mediated disruption of autophagy in endothelial dysfunction

This project is designed to investigate how a bacterium from the mouth that is proposed to also be involved in atherosclerosis causes or makes atherosclerosis worse.

R01 DE 019456 (Shaddox) 06/01/2014 – 05/31/2019 0.90 calendar months
NIH/NIDCR

Mechanisms and Treatment Response of Aggressive Periodontitis in Children

The goal of this proposal is to investigate inherited genetic contributions to regulation of inflammatory signaling involved in, and epigenetic regulation of this TLR-induced hyperinflammatory response under the condition of LAP.

R01 DK016191-01A1 (Brusko) 12/01/2015 – 11/30/2020 0.90 calendar months
NIH/NIDDK CD226 and TIGIT costimulatory axis in type 1 diabetes

The goal of this proposal is to determine the contribution of the CD226 and TIGT costimulatory axis in the regulation of autoimmunity.

NIH GM118895-01 (Clanton) 4/01/2016 - 3/30/2021 0.96 calendar months
NIH/NIGM

Functional role of skeletal muscle in the innate immune response to sepsis

This project studies the role of skeletal muscle in cytokine secretion and inflammatory cell trafficking in severe

Bankhead-Coley (Judge) 07/01/2017 – 06/30/2020 1.2 calendar months
State of Florida

Initiating Mechanisms of Cancer Cachexia

The goal of this proposal is to determine the cellular, molecular and immunological mechanisms associated with cancer cachexia.

1 R01DE027301-01 (Keselowsky) 07/01/2017 – 06/30/2022 1.2 calendar months
NIH/NIDCR

Tissue-Targeted Enzyme for Localized Tryptophan Catabolism to Direct Subcutaneous and Oral Mucosal Inflammatory Responses

T32 AI007110 (Bloom) 07/01/2078 – 07/31/2019

NIH/NIAID

Basic Microbiology and Infectious Disease

T90 DE021990 (Burne)
NIH/NIDCR
Comprehensive Training Program in Oral Biology

07/01/2011 - 06/30/2016

PENDING

1 R21 AI130970-01A1 (SM Wallet) 09/01/2017 – 08/30/2019 0.6 calendar months
NIH/NIDDK

Genetic regulation of intestinal epithelial cell innate immune signaling in human type 1 diabetes.

Score: 19

1 R01 (Gibson/ SM Wallet) 09/01/2017 – 08/30/2022 1.2 calendar months
NIH/NIDCR

Mucosal orchestration of chronic oral immune activation and regulation of immunologic plasticity in periodontal disease

Score: 35

Jimmy V Foundation (SM Wallet) 09/01/2017 – 08/30/2020 1.2 calendar months
Targeting Adoptive Cell Therapy and Tumor Tolerance in Human Pancreatic Cancer: A New Hope for
Translational Therapies in Pancreatic Cancer.

American Diabetes Association (ADA) (SM Wallet) 01/01/2018 – 12/31/2020 0.6 calendar months
Significance of metal homeostasis to Enterococcus faecalis pathogenesis in chronic wounds of individuals with
type 2 diabetes

RECENTLY COMPLETED

7-11-CD-17 (Wallet) 07/01/2011 – 06/30/2016 2.40 calendar

American Diabetes Association \$900,000

Osteoclast Function in Diabetes

The major goals of this project are to evaluate the phenotype and function of osteoclasts from human and murine models of type 1 diabetes.

Opportunity Fund (Wallet) 05/01/2014 – 04/30/2016 (0.0% no salary support)

UF Office of Research \$90,000

Intestinal Epithelial Cell Contributions to Permissiveness of Norovirus Infection of B cells

The major goal of this project is to develop a new co-culture system for human noroviruses.

No salary support

F31 DK104492 (Graves) 04/01/2015 – 03/31/2017 (0.0% Sponsor)

NIH/NIDDK \$95,028

The Role of Intestinal Immunity in Type 1 Diabetes Initiation and Progression

The goal of this proposal is to determine the contribution of the gastrointestinal immune system, the largest environmental interface, to the development and progression of T1D.

5. PUBLICATIONS Please note that a name change due to marriage (*Pop to Wallet*) occurred in 2008.

(Indicates mentored †undergraduate, *DMD student, ‡graduate student, #post-doc, ^junior faculty; underline = primary/senior.)

A. Refereed Publications

<http://www.ncbi.nlm.nih.gov/sites/myncbi/shannon.wallet.1/bibliography/41322655/public/?sort=date&direction=ascending>

1. ^Rody WJ Jr, Krokhn O, Spicer V, Chamberlain CA, Chamberlain M, McHugh KP, **Wallet SM**, Emory AK, Crull JD, Holliday LS. The use of cell culture platforms to identify novel markers of bone and dentine resorption. *Orthod Craniofac Res*. 2017 Jun;20 Suppl 1:89-94 PMID: 28643914
2. Li J, Doty AL, Tang Y, Berrie D, Iqbal A, Tan SA, Clare-Salzler MJ, **Wallet SM**, Glover SC. Enrichment of IL17A(+) IFN γ + and IL22+ IFN γ + T cell Subsets is Associated with Reduciton of NKp44+ ILC3s in the Terminal Ileum of Chrohn's Disease Patients. *Clin Exp Immunol*. 2107 Jun 6. PMID:28586085
3. Riley JL 3rd, Cruz-Almeida Y, Dasilva Ribeiro MC[^], Simon CB, Eckert NR, Aguirre M, Sorenson HL, Tighe PJ, Edwards RR, **Wallet SM**. Age Differences in the Time Course and Magnitude of Changes in Circulating Neuropeptides After Pain Evocation in Humans. *J Pain*. Apr 29. PMID: 28461253
4. Graves CL[†], Li J, LaPato, M, Shapiro MR[‡], Glover SC, Wallet MA, and **Wallet SM**. Intestinal Epithelial Cell Regulation of Adaptive Immune Dysfunction in Human Type 1 Diabetes. *Front. Immunol.*, 10 January 2017.
5. Delitto D[†], Judge SM, Delitto AE[#], Nosacka RL, Rocha FG, DiVita BB[‡], Gerber MH, George TJ Jr, Behrns KE, Hughes SJ, **Wallet SM**, Judge AR, Trevino JG[^]. Human pancreatic cancer xenografts recapitulate key aspects of cancer cachexia. *Oncotarget*. 2016 Nov 25 [Epub ahead of print] PMID: 27901481
6. Delitto D[†], Delitto AE[#], DiVita BB[‡], Pham K, Han S, Hartlage ER, Newby BN, Gerber MH, Behrns KE, Moldawer LL, Thomas RM, George T, Brusko T, Mathews CE, Liu C, Trevino JG, Hughes SJ*, **Wallet S***. Human pancreatic cancer cells induce a MyD88-dependent stromal response to promote a tumor-tolerant immune microenvironment. *Cancer Res*. 2016 Nov 18 [Epub ahead of print] PMID:27864347. * co-corresponding authorship.
7. Fettis MM[†], Wei Y, Restuccia A[‡], Kurian JJ, **Wallet SM**, and Hudalla, GA[^]. Microgels with tunable affinity-controlled protein release via desolvation of self-assembled peptide nanofibers. *Journal of Materials Chemistry B*. 4, 3054-3064 2016 (cover article; 2016 Hot Paper)
8. Ribeiro-Dasilva MC[^], Fillingim RB, **Wallet SM**. Estrogen-Induced Monocytic Response Correlates with Temporomandibular Disorder Pain: A Case Control Study. *J Dent Res*. 2016 Nov 16 [Epub ahead of print] PMID:27856968
9. Mesia R, Gholami F, Huang H, Clare-Salzler M, Aukhil I, **Wallet SM**, Shaddox LM. Systemic inflammatory responses in patients with type 2 diabetes with chronic periodontitis. *BMJ Open Diabetes Res Care*. 2016 Sep 8;4(1). PMID: 27651910.
10. Ebersole JL, Graves CL[†], Gonzalez OA, Dawson D 3rd, Morford LA, Huja PE, Hartsfield JK Jr, Huja SS, Pandruvada S, **Wallet SM**. Aging, inflammation, immunity and periodontal disease. *Periodontol* 2000. 2016 Oct;72(1):54-75. PMID 27501491.
11. Delitto D[†], **Wallet SM***, Hughes SJ*. Targeting tumor tolerance: A new hope for pancreatic cancer therapy? *Pharmacol Ther*. 2016 Oct;166:9-29. PMID: 27343757 * co-corresponding authors.
12. Pham K*, Delitto D^{†*}, Knowlton AE, Hartlage ER, Madhavan R, Gonzalo DH, Thomas RM, Behrns KE, George TJ Jr, Hughes SJ, **Wallet SM**, Liu C, Trevino JG[^]. Isolation of Pancreatic Cancer Cells from a Patient-Derived Xenograft Model Allows for Practical Expansion and Preserved Heterogeneity in Culture. *Am J Pathol*. 2016 Jun;186(6):1537-46. PMID: 27102771. *co-first authorship.
13. Shaddox LM, Spencer WP, Velsko IM, Al-Kassab H, Huang H, Calderon N, Aukhil I, **Wallet SM**. Localized aggressive periodontitis immune response to healthy and diseased subgingival plaque. *J Clin Periodontol*. 2016 Sep;43(9):746-53. PMID: 27037664
14. Allin N, Cruz-Almeida Y, Velsko I[#], Vovk A, Hovemcamp N, Harrison P, Huang H, Aukhil I, **Wallet SM**, Shaddox LM. Inflammatory Response Influences Treatment of Localized Aggressive Periodontitis. *J Dent Res*. 2016 Feb 25. pii: 0022034516631973. [Epub ahead of print] PMID: 26917438

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17. Jones MK, Grau KR, Costantini V, Kolawole AO, de Graaf M, Freiden P, Graves CL[‡], Koopmans M, **Wallet SM**, Tibbetts SA, Schultz-Cherry S, Wobus CE, Vinjé J, Karst SM. Human norovirus culture in B cells. *Nat Protoc*. 2015 Dec;10(12):1939-47. Epub 2015 Oct 29. PMID: 26513671
18. Delitto D[‡], Black BS, Sorenson HL, Knowlton AE[#], Thomas RM, Sarosi GA, Moldawer LL, Behrns KE, Liu C, George TJ, Trevino JG[^], **Wallet SM**, Hughes SJ. The inflammatory milieu within the pancreatic cancer microenvironment correlates with clinicopathologic parameters, chemoresistance and survival. *BMC Cancer*. 2015 Oct 24;15:783. PMID: 26498838
19. Cruz-Almeida Y[^], Aguirre M, Sorenson HL, Tighe P, **Wallet SM**, Riley JL 3rd. Age differences in cytokine expression under conditions of health using experimental pain models. *Exp Gerontol*. 2015 Dec;72:150-6. doi: 10.1016/j.exger.2015.09.017. Epub 2015 Oct 9. PMID: 26456458
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22. Rody WJ Jr[^], Wijegunasinghe M, Holliday LS, McHugh KP, **Wallet SM**. Immunoassay analysis of proteins in gingival crevicular fluid samples from resorbing teeth. *Angle Orthod*. 2016 Mar;86(2):187-92. doi: 10.2319/032415-195.1. Epub 2015 Jul 8. PMID: 26154939.
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27. Jones MK, Watanabe M, Zhu S, Graves CL[‡], Keyes LR, Grau KR, Gonzalez-Hernandez MB, Iovine NM, Wobus CE, Vinje J, Tibbetts SA, **Wallet SM**, Karst SM. Enteric bacteria promote human and mouse norovirus infection of B cells. *Science*. 2014 Nov 7;346(6210):755-9. PMID 25378626.
28. Graves CL[‡], Harden SW[‡], LaPato M[†], Nelson M[†], Amador B[†], Sorenson H, Frazier CJ, **Wallet SM**. A method for high purity intestinal epithelial cell culture from adult human and murine tissues for the investigation of innate immune function. *J Immunol Methods*. 2014 Dec;414:20-31. Epub 2014 Sep 2.

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29. Koutouzis T[^], Mesia R, Calderon N, Wong F, **Wallet S**. The effect of dynamic loading on bacterial colonization of the dental implant fixture –abutment interface: an in vitro study. *J Oral Implantol*. 2014 Aug; 40(4):432-7. PMID: 25106007/
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33. Gonçalves PF, Klepac-Ceraj V, Huang H, Paster BJ, Aukhil I, **Wallet SM**, Shaddox LM. Correlation of *Aggregatibacter actinomycetemcomitans* Detection with Clinical/Immunoinflammatory Profile of Localized Aggressive Periodontitis Using a 16S rRNA Microarray Method: A Cross-Sectional Study. *PLoS One*. 2013 Dec 23;8(12):e85066. PMID 24376864.
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46. Koutouzis T, Mesia R[‡], Calderon N, Wong F and **Wallet, SM**. The Effect of Dynamic Loading on Bacterial Colonization of the Dental Implant Fixture-Abutment Interface: An Iv-vitro Study. *J Oral Implantol*. 2012 May 7 [Epub ahead of print]. PMID: 22564184.
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- Disease. *Interdiscip Perspect Infect Dis*. 2010;2010:605125. Epub 2010 May 31. PMID: 20592756.
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B. Reviews

1. Delitto D[†], Wallet SM*, Hughes SJ*. Targeting tumor tolerance: A new hope for pancreatic cancer therapy? *Pharmacol Ther*. 2016 Oct;166:9-29. PMID: 27343757 * co-corresponding authors.
2. Pop SM, Kolls JK, Steele C. Pneumocystis: immune recognition and evasion. *Int J Biochem Cell Biol*. 2006 Jan;38(1):17-22. Review. PMID: 16182595.

C. Book Chapters

1. Ebersole JL, Graves CL[†], Dawson D, Morford LA, Huja PE, Hartsfield, JK, Huja, S, Pandruvada S, Gonzalez O, and Wallet SM. Aging, Inflammation, Immunity, and Periodontal Disease. *Periodontol* 2000. 2016 Oct;72(1):54-75. PMID: 27501491
2. Rody WR[^], McHugh KP, Purdue, PE, Wallet SM. Biomarkers of Root Resorption: The Challenges and Opportunities. In: *Expedited Orthodontics: Improving the Efficiency of Orthodontic Treatment Through Novel Technologies*. Kapila SD, Nervina J, (eds). Monograph 51, Craniofacial Growth Series, Department of Orthodontics and Pediatric Dentistry and Center for Human Growth and Development, The University of Michigan, Ann Arbor:2015:281-304.

D. Invited Talks

1. Contribution of Innate Immunity within the GI Track to Environmental Triggering of T1D. Network for Pancreatic Organ Donors (nPOD). Miami, FL February 2016. Keynote Spcaker.
2. The role of oral epithelial cell innate immune function on T helper cell plasticity during periodontal disease. Mark Wilson Conference, St. Croix, USVI February 2016. Symposium Speaker.
3. Epithelial Cell Innate Immune Function: Three Tales of Dysfunction. University of Alabama Microbiology and immunology Symposium. Birmingham, AL November 2015. Keynote Speaker.
4. Contribution of Oral Epithelial Cell Innate Immune Function to T1D Exacerbated Periodontal Disease Penn Periodontal Conference, Pennsylvania, PA June 2015. Symposium Speaker.
5. The intestinal epithelial interface in type-1 diabetes – where miscommunication begins? Network for Pancreatic Organ Donors (nPOD). St. Petersburg, FL February 2015. Symposium Speaker.
6. Oral epithelial cell MyD88 signaling in periodontal disease: Protective? Mark Wilson Conference. St. Croix, USVI February 2014. Symposium Speaker.
7. Novel Targeting Methods for Pancreatic Cancer Using Patient Derived Xenografts. Immunology Mini Symposium. University of Florida, Gainesville, FL December 2013. Symposium Speaker.
8. The Oral Cavity, Inflammation and Diabetes: A Story of the Oral Epithelial Cell. Medical School of South Carolina, Charleston, SC. November 2013. Symposium Speaker.
9. The Story of Diabetes, Inflammation and the Epithelial Cell. Penn Periodontal Conference. Philadelphia, PA. June 2013. Symposium Speaker.
10. The Oral Cavity, Diabetes and Inflammation. Carolina All Biosciences Celebration. UNC-CH, Chapel Hill, NC. May 2013. Keynote Speaker.

7. TEACHING, ADVISING, AND INSTRUCTIONAL ACCOMPLISHMENTS

While research is the driving force in my career, I feel it imperative to support the institution which provides me the ability to conduct my research. Thus, time not conducting research is divided among teaching and mentoring of undergraduate/graduate/professional students. Although my teaching duties include the director of Host Defense (DEN6128), as well as multiple immunology related lectures in the College of Dentistry (COD) as well as the College of Medicine (COM), the majority of time not doing research is dedicated to mentoring future scientists at all levels.

While at the University of Florida, I have been privileged to mentor several types of students through their research experiences. Each type of student requires a different mentoring style and/or philosophy. For instance, I have mentored several undergraduates whose goals are to gain entrance into Dental/Medical /Graduate School. My philosophy on undergraduate research training is that these students should be trained and mentored such that they develop a set of skills which could carry them further in their endeavors. Therefore, my undergraduate students do not simply ‘wash dishes’, but carry out small yet important research projects which requires them to read the literature, design experiments, learn techniques, interpret experimental outcomes, and troubleshoot their experiments. While data analysis and interpretation is a joint effort between me and the undergraduate trainee, I still feel it is an important process for which they gain experience. Our undergraduates have been very successful in reaching their goals (see chart below) and while not all have continued to participate

in research, I strongly feel their experiences in my laboratory have prepared them well.

As the director for the Research Elective (DEN8960) in the COD, I currently coordinate DMD student research performed at UFCD. Here we have several levels of commitment to research which range from simple curiosity to incorporation of research into their career goals. Therefore, it is my responsibility to match students' needs and capabilities to that of mentors to better ensure success in the research endeavor. Obviously the experiences these students have should be and are very different. We started this program in 2009 and have placed a few students with mentors. The success of these endeavors won't be evident for a couple of more years, although I am still very excited about this model of incorporating research into the DMD education process. In addition, I have been an active participant in the COD DMD Summer Research Program since 2007 where I have personally mentored six students during their summer research experience whereby two participants, Jessica Wiedey and Ann Decker have graduated with High Research Honors in 2011 and 2014 respectively.

Mentorship of graduate students goes hand in hand with a successful research program. To this end, I have successfully graduated three pre-doctoral fellow (Dana Catalfamo (August 2012), Christina Graves (January 2016), and Dan Delitto (April 2016)), two COM MS students (Jeff Tobler (2009) and Michael Nelson (2013)) and currently mentor two pre-doctoral fellows (Gavin Golas (second year), Bayli DiVita (first year), while currently serving on multiple PhD committees. All of my pre-doctoral fellows have been or currently are supported by institutional training grants held by COD (Dana Catalfamo T32 (Burne); Christina Graves T90 (Burne), Gavin Golas T90 (Burne) or COM Dan Delitto (T32 Behrns)), where the expectation is that all graduate students will apply for individual pre-doctoral awards in their second and/or third year of training. My PhD graduates Dana and Christina were successful in obtaining two years of F31 funding from the NIDCR and the NIDDK (with a perfect score of 10) respectively. In addition I have been the chair and member of several Masters of Science (MS) graduate committees through the COM basic science departments, as well as the COD and clinical departments. In addition to my participation on MS committees, I have in the past filled the role of the Periodontology Graduate Research Coordinator where I was responsible for overseeing the initiation, progression and completion of the MS thesis research projects of our Periodontology Residents (7- 9/year). Here my philosophy has been that students in both colleges should be held to the same standards. This includes an eventual ability to read the literature, know the deficiencies in their area of research, be able to design a research plan to answer the question(s) left by these deficiencies, execute the plan, troubleshoot any problems which arise and analyze and interpret the data. Importantly, work done in these experiences should result in a manuscript worthy of publication. Again, our MS students have been successful in project planning and execution.

A. Advising

University of Florida Undergraduate Students			
Student	Honors	Dates	Current Position
Tara Aboumahboub		2015 - present	
Melissa LaPato	UF Summer Research Scholar	2013-present	UF Dental School 2017
Byron Amador		2013 - 2015	UF Dental School 2015
Meghan Valdes		2013 -2015	UNC Dental School 2015
David Sollenberger		2010-2013	UAB Dental School 2013
Jenny Hernandez		2010-2013	unknown
Christina Choe		2010-2013	UF College of Dentistry 2013
Charles LaLane		2010-2012	UAB Dental School 2012
Kirsten Teresi	UF Summer Research Scholar	2010-2012	UF College of Dentistry 2012
Tess Alonzo	UF Summer Research Scholar	2009-2011	NYU Dental School 2011
Whitney Howard	UF Summer Research Scholar	2008-2010	Nova Dental School 2010

Alexander Brao		2007-2009	UCSF College of Dentistry 2012
Stephanie Strauss		2006-2008	UF College of Dentistry 2008
Christopher Rodriguez	UF Summer Research Scholar	2006-2008	UCSF College of Dentistry 2008
Tanya Bergerano		2006-2007	USC College of Dentistry 2008
Sybil Patel		2006-2007	unknown
University of Florida, College of Dentistry, DMD Students			
Student	Honors	Dates	Program
Amanda Mullersman		2014 - present	UFCD Summer Research UFCD Research Track
Stefhany Duque		2014 - present	UFCD Summer Research UFCD Research Track
Anne Sagstetter	UFCD High Research Honors; UMich Perio/PhD	2011-2014	UFCD Research Track
Jonathon Scott		2012	UFCD Summer Research
Samuel Landrian		2009	UFCD Summer Research
Stephanie Strauss		2008	UFCD Summer Research
Jessica Wiedey	UFCD High Research Honors	2007-2010	UFCD Summer Research
Leticia Acosta		2007	UFCD Summer Research
University of Florida, Post-Doc Junior Faculty			
Name	Position	Dates	Current Position
Fernanda Rocha, DDS, PhD	Post-doctoral Associate	2016-present	
Andrea Knowlton, PhD	Post-doctoral Associate	2013-present	
Maigan Hulme	Post-doctoral Fellow (T90)	2013-2014	Research Assistant Professor; UF Department of Biomedical Engineering
Kelly Naugle, PhD	Research Assistant Professor TSIA Award	2013-2014	Assistant Professor (tenure track); elsewhere
Yenisel Cruz-Almeida, PhD	Research Assistant Professor CSTI Pilot Award	2012-2014	Assistant Professor (tenure track); UFCOM
Kathleen Neiva, DDS, PhD	Post-doctoral Fellow (T90)	2010 – 2012	Assistant Professor (tenure track) UFCOD
Margaret DaSilva, DDS, MS	Assistant Professor KL2	2009-2012	Clinical Assistant Professor; UFCOD
Christopher King, PhD	Research Assistant Professor K99/R00	2009-2014	Assistant Professor (tenure track) University of Ohio
Theofolis Koutouzis, DDS	Assistant Professor (tenure track) UFCOD	2009-2013	Associate Professor NOVA Dental School
Luciana Shaddox, DDS, PhD	Assistant Professor (tenure track) UFCOD	2007-2012	Associate Professor (tenured) UFCOD

8. GRADUATE COMMITTEE ACTIVITIES

Interdisciplinary Program in Biomedical Sciences (IDP) Doctorate of Philosophy (PhD)				
Applicant's Role	Student	Research Topic		Completion
Chair (5)	Bayli DiVita	Inflammation and Pancreatic Cancer		current

	Gavin Golas	Viral Responses of GI Epithelial Cells in type 1 diabetes		current
	Daniel Delitto, MD	Inflammation and Pancreatic Cancer	Residency Fellow UF	2016
	Christina Graves	Epithelial cell responses in type 1 diabetes	Post-doctoral fellow Rockefeller	2016
	Dana Catalfamo	Osteoclast function in diabetes	Practicing PA in Boston, MA	2012

Member (21)	Andrea Knowlton	The effect of Chlamydial infection on chromosome instability		2012
	Yaima Luzardo	Protecting human β -cells from autoimmune destruction		2012
	Alex Cuenca	Innate immunity in neonatal sepsis		2012
	Edgardo Toro	VATPase-directed bone resorption		2012
	Maigan Hulme	sCD25 and type 1 diabetes		2011
	Byung Ha Lee	Therapeutic effect of IL27 in Sjogren's Syndrome		2011
	Ben Looney	DC Therapy for type 1 diabetes		current
	Adrienne Gauna	miRNA and Sjogren's Syndrome		2015
	Thu Le Trinh	Liver Cancer Immunotherapies		2014
	Amanda Posagi	Gut biome and type 1 diabetes		2014
	Emily Feldman	HPV and miRNA		2015
	Stephen Welc	Heat Stroke and Inflammation		2013
	Geoffrey Rogers	Cancer Immunotherapies		2015
	Ryan Gross	<i>Porphorymonas gingivalis</i> and Periodontal Disease		2014
	Ramya Sivakumar	Neutrophil Function in SLE		2016
	Neil Phillips	Exercise and Inflammation		2012
	Michelle King	Exercise and Inflammation		2015
	Jian Li	NK cells and IBD		current
	Charles Pugh	Evolution of Innate Immune Responses		current
	Changjie Xu	Nutritional Sciences		current
	Antonietta Restuccia	Novel nanomaterial platforms		current
	Alicia Chechele	T1D		current
	David Brice	Vitamin D and Oral Epithelial Cells		current
	Olivia Bayli	NK Cells and Type 1 Diabetes		current
	Alexa Roth	Viral Immunity		current
	Henrietta Fasanya	Biomedical Engineering		current

	Margaret Fettis	Biomedical Engineering		current
	Danielle Vermelliyea	Pathogenicity and Virulence of <i>Porphorymonas gingivalis</i>		current
	Ying Tang	IBD		current
	Rachel Nosacka	Cancer Cachexia		current
Applicant's Role				
Applicant's Role	Student	Research Topic		Completion
Chair (2)	Michael Nelson	Mucosal immunity in type 1 diabetes		2013
	Jeffrey Tobler	Epithelial cell innate immune function in type 1 diabetes		2009
Member (4)	Brittany Dickenson	Bacterial interactions with gingival epithelial cells		2010
	Marievic Bulosan	Sjogren's Syndrome		2009
	Mauros Tudaros	Autoantibodies in Sjogren's Syndrome		2009
	Courtney Myhr	Th17 in type 1 diabetes		2008
Applicant's Role				
Applicant's Role	Student	Research Topic		Completion
Chair (8)	Todd Jenny	Osteoclasts, Diabetes and Perio		2016
	Jeffrey Brown	Role of MyD88 in T1D associated periodontal disease		2015
	Rick Rasmussen	Role of MyD88 in periodontal disease		2014
	Daniel Northoek	Implant Design		2013
	Todd Britten	Implant function		2012
	Doug Storch	Human type 1 diabetes osteoclast phenotype and function		2012
	Jamie Amir	RAGE and gingival epithelial cells		2009
	Derek Haber	Autoimmunity and periodontal disease		2009
Member (17)	David Kellogg	Endodontic Root Fractures		2017
	Alyssa Emory	Osteoclast Biology		2017
	Mikilena Hall	Endodontics		2015
	Thomas Currie	Endodontics		2014
	Hal Coc	Inflammation and endodontics		2014

	Ashley Leavell	Endodontics		2014
	Marc Rasmussen	Endodontics		2014
	Kevin Nygard	Inflammation and Endodontics		2015
	Mary Kuhns	Periodontology implant therapies		2014
	John Loeffelholz	Inflammation and Endodontics		2012
	Dominick Catania	The effects of RAGE, TLR2 and TLR4 on implant success		2012
	Richard Donatelli	Osteoblast differentiation		2011
	Michael Tesmer	Implant colonization		2011
	Ruben Mesia	Immune hyper-reactivity of diabetic periodontal lesions		2011
	Ryan Donovan	Implants and bone thickness		2010
	Michael Lindsay	Cytokine responses in endodontic lesions		2009
	Matt Waite	RAGE and TLR signaling in epithelial cells		2009
	Ryan Mendro	Osteoprogenitor gene expression in periodontal disease		2008

8 . UNIVERSITY GOVERNANCE AND SERVICE

A. University

Member	Pre-eminence Search Committee	2016-present
Reviewer	Opportunity Seed Funds	2015
Member	Interdisciplinary PhD Program Admissions Committee	2012-2013
	College of Medicine	
Member	Interdisciplinary PhD Program Admissions Committee	2007-2011
	College of Medicine	
Member	Graduate Faculty	2007-present
	College of Medicine	
Member	Graduate Faculty	2007-present
	College of Dentistry	

B. College

Representative	2016 Summer Commencement	2016
Member	Orthodontics Search Committee	2016
Member	Curriculum Committee	2015-2016
Member	Constitution Committee	2015-present
Member	Faculty Advisory Board	2014-present
Chair	Culture Climate Workgroup	2014-present
Member	Endodontics Search Committee	2014
Member	Orthodontics Chair Search Committee	2013
Member	Accreditation Committee	2013-2016
	Research Program Committee	
Member	Accreditation Committee	2013 -2016

	Educational Program	
	Biomedical Sciences Committee	
Member	Tenure and Promotion Committee	2013-present
Member	Associate Dean for SADS Search Committee	2013
Chair	Research Committee	2013 - 2015
Vice-Chair	Research Committee	2012 - 2013
Member	Student Admissions and Recruitment Committee	2012 - 2015
Member	UFCD Student Affairs Committee	2012 - 2015

Faculty Advisor	AADR Student Research Group Fl Section	2010-present
Member	UFCD Research Committee	2007-2010
Member	Research Self-Study Ad Hoc Committee	2006-2007

C. Department/Center

Member	Faculty Search Committee	2015-2016
Coordinator	Periodontology Graduate Program Research Coordinator	2007-2015
	College of Dentistry	
Member	Oral Biology Faculty Search Committee	2012, 2013
	College of Dentistry	
Member	Director, Graduate Periodontology Search Committee	2010
Adjunct Faculty	Department of Oral Biology	2007 -2015

9. CONSULTATIONS OUTSIDE THE UNIVERSITY.

Oragenics	Advisory Board Committee Member	2013 - 2014
Colgate Palmolive	Advisory Board Committee Member	2012 - present

10. EDITOR OF SCHOLARLY JOURNALS, SERVICE ON EDITORIAL ADVISORY BOARDS, REVIEWER FOR SCHOLARLY JOURNALS

A. Reviewer for Scholarly Journals

Craniofacial Biology	2015–present	1- 2 articles/yr.
Journal of Immunology	2014-present	1- 2 articles/yr.
Cellular Immunology	2011-present	3 - 4 articles/yr.
Journal of Clinical Periodontology	2011-present	2 - 3 articles/yr.
Journal of Dental Research	2011-present	2 - 3 articles/yr.
Oral Diseases	2011-present	2 - 3 articles/yr.
Laboratory Investigation	2010	1 article/yr.
European Journal of Clinical Investigation	2010	1 article/yr.
Journal of Leukocyte Biology	2010-present	2 - 3 articles/yr.
Journal of Periodontology	2009-present	3 - 4 articles/yr.
Diabetes	2007-present	1-2 articles/yr.

B. Editor for Scholarly Journals

11. MEMBERSHIP AND ACTIVITIES IN THE PROFESSION

A. MEMBERSHIPS

a. International

Member	International Association of Dental Research (IADR)	2007-present
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b. National

Member	SLB Professional Development Committee	2016-present
Member	AAADR Science Information Committee	2016-2019
Member	American Association of Cancer Research (AACR)	2015-present
Member	Society of Leukocyte Biology (SLB)	2012 -present

Councilor	American Association of Dental Research (AADR)	2010-present
Member	American Association of Dental Research (AADR)	2007-present
Member	American Association of Immunology (AAI)	2008-present
Member	American Association for the Advancement of Science (AAAS)	2008-present
Member	American Diabetes Association (ADA)	2007-present
Member	American Dental Education Association (ADEA)	2007-present

c. State

President	American Association of Dental Research Fl Section	2009-present
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d. Local

Member	UF Shands Cancer Center (UFSCC)	2006-2015
Member	Xi Omicron Chapter of Omicron Kappa Upsilon Honorary Dental Society Honorary Faculty Membership	2015-present
Member	UF Health Cancer Center of Excellence	2015-present
Member	UF Center for Diabetes Excellence	2015-present

B. ACTIVITIES IN THE PROFESSION**International**

Study Section	Italian Ministry of Health (MOH)	2013
Study Section	American Diabetes Association UK	2011

National

Study Section	NIDCR – T32/T90 – Ad hoc	2017
Study Section	NIDCR – K, F and R03 – Ad hoc	2016, 2017
Study Section	NIDCR – ODCS – Ad hoc	2015
Study Section	Juvenile Diabetes Research Foundation (JDRF)	2014
Study Section	American Diabetes Association (ADA)	2009-2015
Study Section	Research into Ageing – PhD Studentship Award	2008

Local

Host	High School Students Science for Life Program	2015-present
Speaker	Successful Engagement of Today's Student (CE)	2015
Participant	UF CTSI Mentor Academy – Master Mentor	2015
Member	T32 Internal Advisory Committee	2014 - 2017
	Basic Microbiology and Infectious Diseases	
Member	Science Master's Program in Translational	2010-2012

12. HONORS**International**

none

National

Feature	Forecast Diabetes	2014
	Allie's Voice About Diabetes Podcast	
Feature	Diabetes Forefront Magazine	2014
AADR NSRG	Highest percentage of AADR student members relative to dental school enrollment	2010
AADR NSRG	Recruitment of the most new AADR SRG members	2012

Local

UFCOM	Faculty Doctoral Mentoring Award	2017
UFCD	Basic and Behavioral Sciences Teacher of the Year	2015
UF	University of Florida Research Foundation (UFRF)	2015

UF	Professorship Award	
UFCD	Excellence Award for Assistant Professor	2014
	Superior Accomplishment Award Division 5	2011
	Division of Health Affairs Academic Personnel	

Office of the
Vice Chancellor
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To: East Carolina University Board of Trustees
From: Phyllis N. Horns, PhD, RN, FAAN *PN Horns*
Vice Chancellor, Division of Health Sciences
Date: June 29, 2018
Re: Incentive Payment for Dr. Everett Pesci

The Division of Health Sciences is submitting for your consideration and approval a one-time incentive payment for Dr. Everett (Eb) Pesci, Chair, Department of Microbiology and Immunology, Brody School of Medicine. This one-time payment in the amount of \$25,000 is requested in consideration of the following factors:

- The American Association of Medical Schools and Colleges (AAMC) 2016-2017 Salary Survey indicates the 25th percentile annual salary for a Chair of Microbiology as \$233,000.
- Dr. Pesci's current annual (12-month) salary rate is \$215,000.
- The original request was for an annual (12-month) salary rate of \$240,000; however, the UNC System Office approved an annual (12-month) salary rate of only \$215,000. Dr. Pesci graciously accepted the chair position at this reduced salary rate and has performed exceptionally.
- Dr. Pesci is a career ECU employee with extensive research contributions including grant awards in excess of \$7 million dollars, 42 publications, 41 abstracts, 29 presentations and numerous textbook contributions.
- In addition, the Department Chairs in the related Basic Sciences disciplines in the Brody School of Medicine have the following base salaries:
 1. \$233,938
 2. \$228,530
 3. \$252,536

In summary, we are requesting this one-time payment in recognition that Dr. Pesci has served as the Chair of the Department of Microbiology since August 1, 2017 at a salary that is below that of his peers and below the AAMC 25th percentile.

University Affairs Committee - East Carolina University Board of Trustees
July 12, 2018 at 12:00pm in Harvey Hall

Academic Affairs – Ron Mitchelson

- **Part VIII – Faculty Manual Revision**
 - Dr. Mitchelson explained that this relates to personnel policies and procedures related to faculty at most every phase of employment. The goal is align this with the tenure statements in Part IX of the Faculty Manual and to avoid unnecessary redundancy. The major changes were outlined in Board materials, but some highlighted included a clear expectation of engagement for all probationary faculty and tenured faculty; the responsibility of faculty in the life of the unit; and the alignment in Part VIII with the salary language.
 - **MOTION – made by Jordan Koonts and seconded. Approved without dissent.**
- **Enrollment Management Task Force (EMTF) Update – Mitchelson with Chris Locklear**
 - Chris walked through the timeline for the Enrollment Management Task Force. He shared this this Task Force is picking up from the 2014-15 Task Force efforts. The plan from that EMTF projected ECU to be at 30,000 by Fall 2019. The new charge for the EMTF has five and ten year enrollment forecasts, targets and strategies. The target for recommendations and a report to the Chancellor is set for mid-Spring 2019. Chris added the ECU has partnered again with Ruffalo Noel Levitz to assist with our planning efforts. There are six working groups that are gathering data and information to feed the larger EMTF for better planning and structure toward a full report.
 - Provost Mitchelson shared that NC growth of enrollment is expected to flatten over the coming years. The growth from 2011-2016 shows 44% of the growth in NC is related to Wake and Mecklenburg county. And the largest growing counties in NC are not in rural communities, which goes against or commitment to grow enrollment in rural communities. He added if we stay the same with what we are doing today, we will see a decline in enrollment beyond 2025. We have to operate differently, which is why we have gone to using a Common Application, using AdmitHub (an AI platform that answers questions for incoming students) and RaiseMe (a micro-scholarship program to incentivize and financially reward high school students for their course work). We have also signed a partnership with 16 community colleges for Co-Admittance, which will help us build pathways and avenues for new students to come to ECU.

Research, Economic Development and Engagement (REDE) – Jay Golden

- Jay shared some divisional reorganization. Ted Morris will be leading the development with the Millennial Campus. We expect to see a growth of business partnerships and future jobs that ECU will be a large part of creating.
- New Ventures and Innovation – New director, who is starting at ECU soon, will lead the Micro-Business community. These are cohorts of students (about 60 in the first cohort) to develop micro-businesses with hopes that the students can start their own businesses in our area after they graduate. Students will be able to come to ECU, graduate and be better prepared to start and operate businesses in eastern North Carolina.

Summary of Approved Revisions to
ECU FACULTY MANUAL, PART VIII, SECTION I.
Personnel Policies and Procedures
for the Faculty of East Carolina University

Background:

After implementation in 2017 of the institution's revised tenure regulations contained in the *ECU Faculty Manual, Part IX*, it was necessary to update additional policies and procedures that coordinate with the tenure regulations. Faculty leaders and academic administrators collaborated to revise these documents, forums were held across campus to gather important feedback, comments and suggestions were considered, and appropriate revisions were incorporated. The final document, *ECU Faculty Manual, Part VIII, Section I*, complies with UNC policies and is consistent with relevant ECU policies and regulations.

Key Elements of Change from Existing Policy:

- 1) In the subsection related to determination of faculty positions, statements were included to clearly articulate that faculty should be involved in recommending the academic unit's needs to the administrative authorities.
- 2) In the general criteria for selection and appointment of faculty, the following statement was added: "ECU is committed to recruiting, retaining, and developing faculty members that are highly accomplished in teaching and scholarship, including research and creative activities. Accordingly, research and creative activities that align with the institution's mission, engage students in effective ways, and advance our academic disciplines are an expectation of all tenured and probationary term (tenure track) faculty."
- 3) Consistent with the revised tenure regulations, the academic rank of Instructor was deleted for probationary term faculty appointments.
- 4) Titles for Fixed-term faculty appointments were expanded to reflect changes in the tenure eligibility status of faculty in the two academic libraries. In addition, the title of Senior Teaching Instructor was added to recognize exceptional long-term contributions of fixed-term faculty to the institution's academic programs.
- 5) Subsections related to Fixed-term appointments, which formerly duplicated information contained in Part IX, were revised to instead refer to Part IX.
- 6) Throughout the various sections related to faculty responsibilities, references are made to expectat that faculty actively participate in the life of their unit, be physically present on campus to the extent necessary to effectively discharge their duties according to disciplinary norms, and to carry their fair load of assigned and assumed duties necessary for the effective and equitable operation of the unit.

- 7) Various references to salary increments and to benefits for faculty employees more clearly refer to required compliance with current State of North Carolina and University of North Carolina salary regulations.
- 8) The provisions regarding information contained in the institution's faculty personnel related files, including definition, location, content, access, and protection of confidential information, was updated to comply with current North Carolina General Statutes. Institutional procedures for maintaining these various records were simplified, to include removing individual personnel file checklists and replacing them with a comprehensive list of locations where related files may be found. The comprehensive list will be updated as necessary and is located on Division websites (Academic Affairs and Health Sciences, respectively) that is accessible to faculty members.

Faculty Senate Resolution #18-41

Approved by the Faculty Senate: April 24, 2018

Approved by the Chancellor: May 25, 2018, *after edits were agreed upon on June 21, 2018*

Revisions to the *ECU Faculty Manual*, Part VIII, Section I. Personnel Policies and Procedures for the Faculty of East Carolina University, as follows:

The proposed document would **replace** what is currently in the *ECU Faculty Manual* linked [here](#).

“Personnel Policies and Procedures for the Faculty of East Carolina University

(For other policies and procedures dealing with faculty appointments,
see *ECU Faculty Manual*, Part IX and Part X.)

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- I. Selection and Appointment of New Faculty
 - A. Determination of Number and Nature of Positions
 - B. Selection Procedure
 - C. General Criteria
 - D. Requirements for ranks and titles
 - E. Initial Appointment
- II. Assignments of Faculty Workload
 - A. Assignment of Teaching Responsibilities
 - B. Teaching Load
 - C. Assignment of Released Time
- III. Annual Evaluation
- IV. Reappointment of Probationary Term Faculty Members
- V. Subsequent New Appointments of Fixed-Term Faculty Members
- VI. Professional Advancement
- VII. Salary
 - A. Initial Salary
 - B. Determination of Annual Salary Increments
 - C. Benefits and Salary Increases for Fixed-Term Faculty
- VIII. Faculty Personnel Files
- IX. Amendment Procedure
- X. Effective Date

- I. Selection and Appointment of New Faculty
 - A. Determination of Number and Nature of Positions

Since faculty members of each academic unit are responsible for the curriculum, they shall make recommendations on the personnel needs of the unit.

Acting in accord with the policies and procedures set forth in the Unit Code, the unit administrator shall recommend, with input from the faculty, to the next higher administrator (for conveyance to the Academic Council) the number and nature of faculty positions needed to carry out the unit’s mission and achieve the university, division, college and unit planning goals. Such recommendations shall contain justifications addressing the unit staffing plan and appropriate planning goals of the university, division, college, and unit.

Allocation of faculty positions is the prerogative of the Academic Council. The deans and directors shall determine the distribution of positions within their college and schools in accordance with strategic priorities.

In general, tenured and probationary term (tenure-track) positions are preferred unless sound reasons exist. Such reasons include, but are not limited to; (a) the position is not permanently assigned to the unit, (b) the position is addressing temporary needs, (c) the position cannot be filled by a faculty member with a terminal degree, (d) the duties of the position are primarily clinical, (e) the position is by its nature term-limited (term-limited endowed professorships, for example), (f) this reflects the preference of the faculty member taking the position, or (g) budgetary or strategic considerations.

B. Selection Procedure

The selection of candidates must be conducted in accordance with the University's "Recruitment, Guidelines and Resources" policies, *Part IX, Section I. Tenure and Promotion Policies and Procedures*, and applicable unit code provisions.

C. General Criteria

ECU is committed to recruiting, retaining, and developing faculty members that are highly accomplished in teaching and scholarship, including research and creative activities. Accordingly, research and creative activities that align with the institution's mission, engage students in effective ways, and advance our academic disciplines are an expectation of all tenured and probationary (tenure-track) faculty members.

1. Tenured or Probationary-Term Positions

A candidate who is under consideration for a tenured or probationary-term position is evaluated on past achievements and potential for future contributions in teaching, scholarship, service, and, if applicable, contributions to patient care and related clinical responsibilities as described below:

a. Teaching

East Carolina University recognizes the primary importance of teaching. East Carolina University expects each member of the faculty to have knowledge of subject matter commensurate with one's teaching assignment, to maintain awareness of developments in one's discipline, and to communicate to students one's knowledge of and interest in the discipline. The faculty member will encourage students in responsible and careful inquiry, in appreciation of the interrelation of various disciplines, and in recognition of the uses of learning and the value of the educated mind. Teaching includes instructional activities and responsibilities beyond the classroom setting, e.g., advisement; mentoring; laboratory supervision; clinical rounds by a physician/professor accompanied by students; program direction; the direction of research projects and papers, dissertations, and theses; and other contacts and relationships outside the classroom.

b. Scholarship (Research, Creative Activity/Innovation, Engagement, and/or Outreach)

Scholarship refers to the scholarship of research, the scholarship of creative activity/innovation, and the scholarship of engagement and/or outreach.

- c. Service to the university, the profession, and the community
East Carolina University considers service to the university, the academic profession, and the community as an important aspect of a faculty member's contribution. Expectations for service shall be described in the unit code. (See Section III.4). Faculty members' on-campus presence is expected to the extent necessary in the performance of these responsibilities.
- d. Patient care and related clinical responsibilities, as appropriate

2. Fixed-Term Positions

A candidate who is under consideration for a fixed-term position is evaluated on past achievements and potential for future contributions in the areas of responsibility stated in the advertisement for the position and established in the unit code.

D. Requirements for ranks and titles

1. General Provisions

Appointments are made at the academic ranks of assistant professor, associate professor, and professor. These are the only ranks that may involve a permanent tenure commitment. Appointments to all other titles are for a definite term and do not involve a permanent tenure commitment.

The following are the minimum required qualifications that may be considered when making appointments.

2. Ranks of Probationary Term Appointments

Assistant Professor

- has demonstrated potential for effective teaching and other instructional responsibilities
- has demonstrated potential to develop a program of scholarship that will lead to professional recognition in the discipline
- has demonstrated effective clinical practice in disciplines, where appropriate
- holds the appropriate terminal degree (ABD may be considered for initial appointment) or alternate professional qualifications as determined by the units and the profession and affirmed by the appropriate vice chancellor
- exhibits evidence of potential for professional growth in teaching effectiveness and scholarship
- has demonstrated ability and willingness to participate in departmental, college, and university affairs
- has demonstrated active engagement with professional organizations within the discipline

Associate Professor

- has qualifications of the previous rank
- has demonstrated effectiveness in teaching and/or other instructional responsibilities
- has a record of scholarship resulting in publication and/or scholarly productivity appropriate to the discipline and established by the unit code
- has a demonstrated record of effective service to the university
- has a demonstrated record of effective service to the profession

Professor

- has qualifications of the previous rank
- has an established record of excellence in teaching and other instructional responsibilities
- has a significant record of scholarship resulting in publication and/or other scholarly productivity appropriate to the discipline and established in the unit code.

- has demonstrated excellent ability and willingness to participate in departmental, college, and university affairs
- has a demonstrated record of significant service/clinical practice to the university and the discipline, where appropriate

3. Titles of Fixed-Term Appointments

- a. Faculty members with duties primarily in instruction have titles of Teaching Instructor, Senior Teaching Instructor, Teaching Assistant Professor, Teaching Associate Professor or Teaching Professor.

Fixed Term Librarians are called Library Assistant Professor, Library Associate Professor, or Library Professor. Unit codes define expectations for each title. The following general criteria apply to both titles:

Teaching Instructor

- holds, at a minimum, a master's degree appropriate to the area of instruction, or has equivalent professional qualifications
- has demonstrated potential for effective teaching and/or other instructional responsibilities

Senior Teaching Instructor

- has qualifications of the previous title
- has demonstrated excellence in teaching and/or other instructional responsibilities
- engages in professional development activity

Teaching Assistant Professor

- has qualifications of the previous title
- holds the appropriate terminal degree, or alternate professional qualifications, as evaluated by the academic unit and affirmed by the appropriate vice chancellor and the profession concerned
- has demonstrated effectiveness in teaching

Teaching Associate Professor

- has qualifications of the previous title
- has demonstrated superior teaching ability and/or other instructional responsibilities
- engages in professional development activities

Teaching Professor

- has qualifications of the previous title
- has demonstrated excellence in teaching
- has established an excellent professional reputation among colleagues
- is qualified and competent in mentoring others (such as graduate students, teaching instructors, etc.)

- b. Faculty members with duties primarily in research

Research faculty members are typically funded externally. Research faculty members are encouraged to give seminars and teach occasional courses in their specialty.

Teaching is at the discretion of the unit and the availability of funds.

Research Instructor

- holds a minimum of a master's degree appropriate for the specific position or has alternate professional qualifications.
- has demonstrated potential for effective research
- should be capable of carrying out individual research or should be trained in research procedures
- should have the experience and specialized training necessary to develop and interpret data required for success in such research projects as may be undertaken

Research Assistant Professor

- has qualifications of the previous title
- holds the appropriate terminal degree, or alternate professional qualifications, as evaluated by the academic unit and affirmed by the appointing officer and the profession concerned
- has demonstrated effectiveness in research
- is qualified and competent to direct the work of others (such as technicians, graduate students, etc.)

Research Associate Professor

- has qualifications of the previous title
- has extensive successful experience in scholarly or creative endeavors
- has the ability to propose, develop, and manage major research projects

Research Professor.

- has qualifications of the previous title
- has established an excellent reputation among colleagues
- has demonstrated scholarly production in research, publications, professional achievements, or other distinguished and creative activity.

c. Faculty members with duties primarily in clinical teaching

Clinical Instructor

- holds, at a minimum, a graduate degree appropriate for the specific position or has equivalent professional experience
- has demonstrated potential in clinical practice and teaching in the field

Clinical Assistant Professor

- has qualifications of the previous title
- holds the appropriate professional degree, as evaluated by the academic unit and affirmed by the appropriate vice chancellor and the profession concerned
- has training and experience in an area of specialization
- has demonstrated expertise in clinical practice and teaching and other instructional responsibilities in the discipline

Clinical Associate Professor

- has qualifications of the previous title
- has extensive successful experience in clinical or professional practice in an area of specialization, or in a subdivision of the specialty area, and in working with and/or directing others (such as professionals, faculty members, graduate students, etc.) in clinical activities in the field

Clinical Professor

- has qualifications of the previous title
- has established an outstanding reputation of excellence in clinical practice and teaching and/or other instructional responsibilities

d. Faculty members with duties primarily in the libraries

Library Assistant Professor

- holds the appropriate terminal degree, or alternate professional qualifications, as evaluated by the academic unit and affirmed by the appropriate vice chancellor
- has demonstrated evidence of, or potential for, the following: effective teaching and/or other professional responsibilities; collegiality and professional integrity; continued professional growth; service to the Library; service to the University, and/or to the profession; a record of contributions to scholarship/creative activity, if applicable

Library Associate Professor

- has qualifications of the previous title

- has demonstrated: substantive accomplishments in professional performance; collegiality and professional integrity; substantial and continued professional growth; sustained institutional; and professional service
- has a record of regular contributions to scholarship/creative activity

Library Professor

- has qualifications of the previous title
- has demonstrated: sustained and substantive accomplishments in professional performance; collegiality and professional integrity
- has demonstrated: superior knowledge and mastery of assigned area of specialization; and exemplary institutional and professional service;
- has attained national or international recognition as an authority and leader in the assigned area of specialization;
- has a sustained and substantive record of scholarship/creative activity

e. Additional faculty titles

Adjunct Instructor; Adjunct Assistant Professor; Adjunct Associate Professor; Adjunct Professor: These titles are used to appoint outstanding persons who have a primary employment responsibility outside the university or in a different department in the university and who bring some specific professional expertise to the academic program. These positions are typically unfunded.

Affiliate Instructor; Affiliate Assistant Professor; Affiliate Associate Professor; Affiliate Professor: These titles are used in the School of Medicine to appoint outstanding persons who have a primary employment responsibility outside the university and who bring some specific professional expertise to the academic program. These positions are typically unfunded.

Artist-in-Residence; Writer-in-Residence: These titles are used to designate temporary appointments, at any salary and experience level, of persons who are serving for a limited time or part-time and who are not intended to be considered for professorial appointment.

Visiting Instructor; Visiting Assistant Professor; Visiting Associate Professor; Visiting Professor. The prefix “visiting” before an academic title is used to designate a short-term full-time or part-time appointment without tenure. Therefore, the visiting title shall not be used for periods of time beyond the initial contract period. It shall be used only for those fixed-term faculty members who are visitors, temporary replacements, or for whose disciplines the institution in good faith expects to have only a short-term need. Use of the visiting title for an individual for more than 3 years is a misuse of this title.

4. Emeritus status

All unit codes must specify criteria for conferring of “emeritus” or “emerita” status. Based on those criteria specified in the unit code and the recommendations of the unit personnel committee and appropriate administrators, the Chancellor may confer the title emeritus or emerita upon a retired (including Phased Retirement participant), permanently disabled, or deceased faculty member, who has made a significant contribution to the university through a long and distinguished record of scholarship, teaching, and/or service (FS Resolution #13-97, December 2013).

E. Initial Appointment

[For additional provisions related to initial faculty appointments, see *ECU Faculty Manual*, Part IX, Section I (II).]

Appointment to the faculty is made by the Chancellor or the Chancellor's designee. Upon receiving recommendations by appropriate unit committees and administrators, the Chancellor or his/her designee shall issue an appointment letter to the faculty candidate. No offer is binding and no appointment is effective until signed by the Chancellor or the Chancellor's designee and subsequently signed by the faculty appointee.

The appointment letter shall specify, at minimum: rank or title; salary rate; length of appointment, tenure status [either fixed-term, probationary-term, or appointment with permanent tenure, as defined in the *Faculty Manual*, Part IX]; initial assignments and/or responsibilities; reference to the criteria for evaluation of faculty performance, as provided in Part IX, unit codes, and other appropriate documents; and any specific terms and conditions of employment.

Any action conferring permanent tenure with the initial faculty appointment requires approval of the Board of Trustees.

II. Assignments of Faculty Workload

Faculty workload is governed by the [Faculty Workload Administrative Regulation](#).

By the end of the spring semester for 9-month faculty, and by the end of the summer session for 12-month faculty, and prior to making final faculty workload assignments and after soliciting faculty preferences, the unit administrator shall apprise each unit faculty member, in writing, of the duties and responsibilities for the coming academic year.

A. Teaching Responsibilities

The unit administrator assigns teaching responsibilities and determines the method of delivery. If changes in a faculty member's assignment subsequently become necessary, the faculty member shall be notified at the earliest possible opportunity.

The definition of a semester credit hour is governed by [PRR #02.07.01](#).

Full-time faculty members whose primary responsibilities are teaching and other instructional responsibilities should not be required to teach more than the equivalent of 12 credit hours per semester or 6 credit hours per summer session, as consistent with the discipline norms, with the exception of faculty members who voluntarily teach directed readings and similar courses. If exceptional circumstances require that a faculty member be assigned more than the equivalent of 12 credit hours in a semester, he or she should be appropriately compensated for the excess teaching load during that term or be given the equivalent reduced teaching load at a time to be negotiated between the unit administrator and the faculty member.

Consistent with Part VI, Section I.II., faculty members teaching one or more courses must maintain five hours of office hours during the workweek. Faculty members are also expected to be on campus an appropriate number of hours consistent with assigned instructional duties and disciplinary norms.

B. Scholarly Responsibilities

A faculty member's scholarship shall reflect the high professional standards incumbent upon those who enjoy full academic freedom; such activities must be measured by standards of quality, not merely by quantity, as appropriate to the discipline. Faculty members shall fulfill their scholarly responsibilities as outlined in the unit code and consistent with overall assigned duties.

C. Service Responsibilities

Each faculty member will be assigned and/or will assume responsibilities to serve diverse service roles in the department/program, the college, the university, the

profession and/or the community in consultation with their unit administrator. These roles may include formal service in committees at various levels or informal activities, such as mentoring students or junior faculty members. Consequently, as appropriate in each unit, faculty members are expected to actively participate in the life of their unit, be physically present on campus to the extent necessary to discharge their particular service duties, and to carry their fair load of assigned and assumed duties necessary for the effective and equitable operation of the unit.

- D. Patient Care and Related Clinical Responsibilities, as appropriate Standards are described in the unit code.

Faculty reassigned time is governed by [Faculty Scholarly Reassignment Administrative Regulation](#). Faculty members who are to be granted reassigned time shall be informed in writing of the purpose of the reassignment. (FS Resolution #14-04, March 2014)

III. Annual Evaluation

Each faculty member with either a fixed term, probationary term, or permanently tenured appointment shall perform his/her duties according to ECU's [Statement on Professional Ethics](#) and shall receive annually an evaluation of his/her performance from the unit administrator which shall be based upon current academic year data. The annual performance evaluation of faculty members shall employ the criteria contained in the unit code approved by the chancellor.

The process for determining the relative weight given to teaching, scholarship, service, and where appropriate, clinical duties, for purposes of annual evaluations shall be contained in the unit code. In no case, however, shall service be weighed more heavily than either teaching or scholarship.

This annual evaluation shall:

- be in writing;
- be discussed with the faculty member prior to being sent to any other administrator or placed in the faculty member's personnel file; in the case of faculty members with probationary term appointments, a record of this discussion shall be placed in the faculty member's personnel file;
- be signed and dated by the unit administrator and the faculty member, who may attach to the evaluation a concise comment regarding the evaluation. The faculty member has seven working days after receiving the evaluation to attach the statement. The signature of the faculty member signifies that he or she has read the evaluation, but it does not necessarily indicate concurrence.

The unit administrator shall forward to each faculty member a copy of that member's annual evaluation within ten calendar days of completing the evaluations of unit members.

A. Probationary-term and permanently tenured faculty

The evaluation of probationary-term and permanently-tenured faculty members shall be based upon that year's duties and responsibilities (except data from the previous year's spring semester survey of student opinion). Such evaluations shall consider, as appropriate:

1. Teaching and Other Instructional Responsibilities

Teaching is the primary function of the university. Teaching may include classroom and laboratory instruction, student advising, mentoring student research, and other instructional

activities. Teaching and other instructional responsibilities must be evaluated using multiple methods selected from the list below:

- a. review by the unit administrator and/or peers of course materials such as syllabi, reading lists, teaching outlines, audiovisual materials, student manuals, student assignments and examinations, and/or other materials prepared for or relevant to teaching.
- b. samples of student work on assignments, projects, papers, juries, or other examples of student achievement.
- c. formal methods of peer review, including direct observation of teaching utilizing the appropriate university approved format (including direct observation of the teaching of new and tenure-track faculty). Methods to be used for this peer review are detailed in Faculty Senate resolution #93-44. The peer review instrument is provided in Faculty Senate resolution #16-60. The peer review instrument for on-line courses is provided in Faculty Senate resolution #11-53.
- d. direct observation of teaching by the unit administrator.
- e. review of student opinion data from course evaluations.
- f. other procedures provided for in unit codes (FS Resolution #12-76, July 2012).

2. Scholarship

Measures of success in the area of scholarship include, but are not limited to, peer-reviewed publications, books, presentations, performances, patents, and national awards, including both honorary awards and competitively awarded external funding as appropriate to the discipline. These measures, and particularly national awards that recognize prominence in the discipline, will be positively reflected in annual evaluations and other personnel actions. Unit codes should define these criteria, and relative importance, in detail.

3. Patient Care and Related Clinical Responsibilities

Unit codes will describe expectations for clinical services and criteria for evaluation.

4. Service

Service on department, school, college, and university committees, councils, and senates; service to professional organizations; service to local, state and national governments; contributions to the development of public forums, institutes, continuing education projects, patient services and consulting in the private and public sectors; unit codes should define these criteria, and relative importance, in detail.

5. Other assigned responsibilities.

B. Fixed-term faculty members

The evaluation of fixed-term faculty members shall be based on their performance of duties as stated in their appointment letters, utilizing the criteria stated in the unit code.

IV. Reappointment of Probationary-Term Faculty Members

Refer to Part IX of the *ECU Faculty Manual*.

V. Subsequent appointments of Fixed-Term Faculty Members

Refer to Part IX of the *Faculty Manual*.

VI. Professional Advancement

Promotion for tenured and probationary-term faculty members and advancement in title for fixed-term faculty members are means through which professional achievement is encouraged, recognized, and rewarded by the university. The evaluation of faculty members for purposes of promotion or advancement in title shall accord with the regulations established in the unit code

and shall employ the criteria contained in the unit code approved by the Chancellor (*ECU Faculty Manual, Part IV*).

Specific regulations and criteria governing evaluation of faculty for purposes of promotion or advancement in title may vary from unit to unit. For evaluations pertaining to fixed-term subsequent new appointment at a higher title, the criteria shall be stated in the unit code.

As a minimum, each unit shall:

- apply published criteria in teaching, scholarship, service, and clinical service, where relevant to the discipline, for evaluating faculty for promotion or advancement in title;
- make available procedures which will permit each faculty member to report achievements annually or on a more frequent basis; and
- inform each faculty member of the right to discuss his or her candidacy with the unit administrator and/or the appropriate unit committee at any time prior to the deadline for submission of materials.

A. Promotion for tenured and probationary-term faculty members

Upon request by a tenured faculty member, the unit administrator and the unit promotion committee shall evaluate the faculty member for promotion. Following such evaluations, the unit administrator and appropriate unit committee shall inform the faculty member of their respective recommendations. Promotion shall be based upon the faculty member's demonstrated professional competence and achievements. Procedures to be followed for promotion are found in *ECU Faculty Manual, Part IX and Part X*.

Promotion in academic rank should be accompanied by a salary increment, which shall be separate from any and all other increments to which the individual may be entitled, unless State of North Carolina or University of North Carolina regulations state otherwise.

B. Advancement in title for fixed-term faculty members

The unit code shall specify the criteria and the means of evaluation of fixed-term faculty members to be used for a subsequent new appointment at a higher title. Advancement in title shall be based upon the faculty member's demonstrated professional competence and achievements, and should be accompanied by a salary increment, which shall be separate from any and all other increments to which the individual may be entitled, unless State of North Carolina or University of North Carolina regulations state otherwise. Competence for advancement in title may be attested to by demonstrated excellence in the performance of duties specified in the appointment letter of the fixed-term faculty member and supported by the faculty member's annual performance evaluation.

The unit administrator shall notify eligible faculty members within four working days of receipt of the next higher administrator's call for advancement in title recommendations. Upon request by a fixed-term faculty member, the unit administrator and the personnel committee shall evaluate the faculty member for advancement in title. Following such evaluations, the unit administrator and appropriate unit committee shall inform the faculty member of their respective recommendations. Procedures to be followed for advancement in title should be specified in the unit code in accordance with *ECU Faculty Manual, Part IX, Section I (II.B.3)* and Part VIII, Section I.

VII. Salary

A. Initial Salary

Initial salary shall be based on degree attainment, academic rank, pertinent professional experience and qualifications, scholarly publication or its equivalent, and level of responsibility.

Consideration should be given to the salaries of personnel presently in the unit and must be consistent with University-established faculty salary ranges.

B. Determination of Annual Salary Increments

The unit administrator shall recommend annual salary increments to the appropriate administrative officials in accordance with requirements imposed by the North Carolina General Assembly, The University of North Carolina Board of Governors, the ECU Board of Trustees, and the university administration. Recommended salary adjustments shall rely upon criteria that have been established in the *Faculty Manual*, in unit codes, or in guidelines referenced in unit codes. Criteria for assessing merit are contained in unit codes. The unit administrator shall also inform the unit, in dollar amounts and percentages, the total adjustment, mean salary increment, and range in salary increments for the unit. Each faculty member shall be informed by the unit administrator of any salary increment recommendations made on behalf of the faculty member.

C. Benefits and Salary Increases for Fixed-Term Faculty

Equitability of salary and benefits for fixed-term faculty members should be reviewed annually. When salary increments are provided by the Board of Governors, full-time fixed-term faculty members who have completed one year of employment and have received a subsequent new appointment should be considered for a salary increase based upon their annual evaluation and criteria established by the Board of Governors, ECU Board of Trustees, and the unit code.

Full-time, fixed-term permanently appointed faculty members are entitled to those benefits that are provided to other full-time permanent faculty employees of ECU, unless State of North Carolina or University of North Carolina regulations state otherwise.

VIII. Faculty Personnel Files

- A. [Article 7 of Chapter 126](#) of the General Statute of North Carolina shall govern matters relating to an employee's personnel file, its contents, and permissible access. Current General Statutes may be requested through the Office of University Counsel (formerly, the University Attorney) or through references in Joyner Library.

For questions regarding personnel file, contact the Faculty Senate Office, the appropriate Division Vice Chancellor, or the University Counsel Office.

B. Definition

"Personnel File" means any employment-related or personal information gathered by an employer or by the Office of State Human Resources. Employment-related information contained in a personnel file includes information related to an individual's application, selection, promotion, demotion, transfer, leave, salary, contract for employment, benefits, suspension, performance evaluation, disciplinary actions, and termination. Personal information contained in a personnel file includes an individual's home address, social security number, medical history, personal financial data, marital status, dependents, and beneficiaries. "Record," as used in this Part VIII of the *Faculty Manual*, means the personnel information that each employer is required to maintain in accordance with G.S. 126-123.

The Personnel Action Dossier (PAD), defined in the ECU Faculty Manual Part X, Section I, is an evaluative document, employment-related personnel information, and a part of the faculty member's personnel file. The personnel file is University property and is retained by the University.

Contents of the personnel file are kept in accordance with the Records Retention and Disposition Schedule approved by the Chancellor. Timing of storage and transfer vary depending on the specific type of document. (See <http://www.ecu.edu/cs-lib/recordsmanagement/ecugeneralschedule.cfm> for reference).

C. Location

Personnel records exist in various locations across campus. Academic Affairs and the Health Sciences divisions will maintain comprehensive lists of locations where files may be found on a website accessible to faculty members. The Faculty Senate office can direct faculty members to the appropriate website.

All records used in the formal evaluation of faculty members should be located in the primary collection of documents that are kept in the department or unit that are part of the personnel file, hereafter referred to as the department/unit personnel file. The unit administrator can inform the faculty member of the location of evaluative material.

An appeal hearing file or an investigative file prepared by the EEO Office or by the Office of University Counsel may include materials such as: filed grievances; appeals of non-reappointment or non-conferral of tenure; complaints filed by or against a faculty member with the ECU EEO Office alleging sexual harassment, discrimination based on race/ethnicity, color, genetic information, national origin, religion, sex (including pregnancy and pregnancy related conditions), sexual orientation, gender identity, age, disability, political affiliation, and veteran status ("Protected Class"), or a violation of the amorous relations policy; and records relating to any disciplinary action against a faculty member.

Information retained in the EEO Office or the University Counsel's Office will remain confidential, but the documents collected and/or created in those offices are usually considered part of an investigative/preparation file and are not considered part of the department/unit personnel file. Disclosure of documents in those files is subject to applicable University policies and state laws. Additionally, in accordance with the relevant University policy and state laws, the University will formally notify the faculty member of any complaint or grievance formally filed against a faculty member and will follow the procedures prescribed for due process. In most cases, documents containing employment-related or personal information maintained in the EEO Office or University Counsel's Office will be duplicates of documents in the department/unit personnel file. In all cases, the documents in those files will be available for review by the faculty member, except that the University does not waive rights and responsibilities to limit disclosure recognized by law, including but not limited to attorney-client communication privilege and attorney work product privilege.

D. Content

State law requires that the University permit the public to have access to the following employment related information about each employee:

- name;
- age;
- date of original employment or appointment to state service;
- the terms of any contract by which the employee is employed whether written or oral, past and current, to the extent that the university has the written contract or a record of the oral contract in its possession;
- current position;
- title;
- current salary;

- date and amount of each increase or decrease in salary with the university;
- date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with the university;
- date and general description of the reasons for each promotion with the university;
- date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the university. If the disciplinary action was a dismissal, a copy of the written notice of the final decision of the Chancellor setting forth the specific acts or omissions that are the basis of the dismissal; and
- the office to which the employee is currently assigned.

To the extent allowed by applicable law (e.g., [Article 7 of Chapter 126](#) of the General Statutes of North Carolina), all other information contained in the personnel file is confidential and shall not be open for inspection and examination except to the following persons:

- (1) The employee, applicant for employment, former employee, or his or her properly authorized agent, who may examine his or her own personnel file in its entirety except for (i) letters of reference solicited prior to employment or (ii) information concerning a medical disability, mental or physical, that a prudent physician would not divulge to a patient. An employee's medical record may be disclosed to a licensed physician designated in writing by the employee;
- (2) The supervisor of the employee;
- (3) A potential state or local government supervisor, during the interview process, only with regard to the performance management documents;
- (4) Members of the General Assembly who may inspect and examine personnel records under the authority of G.S. 120-19;
- (5) A party by authority of a proper court order may inspect and examine a particular confidential portion of a State employee's personnel file; and
- (6) An official of an agency of the federal government, state government, or any political subdivision thereof. Such an official may inspect any personnel records when such inspection is deemed by the department head of the employee whose record is to be inspected or, in the case of an applicant for employment or a former employee, by the department head of the agency in which the record is maintained as necessary and essential to the pursuance of a proper function of said agency; provided, however, that such information shall not be divulged for purposes of assisting in a criminal prosecution, nor for purposes of assisting in a tax investigation; and
- (7) Any person or corporation to which the Chancellor determines release of such information is essential as allowed by [General Statute §126-24](#).

Evaluative materials or summaries thereof prepared by peer committees as part of a regular evaluation system are placed in the department/unit personnel file when signed by a representative of the committee. In particular, official copies of Personnel Action Dossiers, as outlined in Part X of the ECU Faculty Manual, including documentation submitted by faculty members for consideration in the tenure, reappointment, and promotion processes, shall reside in the department/unit personnel file.

No material obtained from an anonymous source shall be placed in the -personnel file except for data from student opinion surveys. Data from student opinion surveys shall be submitted by the authorized surveying agent to the faculty member and the unit administrator. Administrators shall not keep secret files.

A faculty member who objects to material in the department/unit personnel file or other employment-related or personal information contained in the personnel file may place in the file a statement relating to the material the faculty member considers to be inaccurate or misleading. This concise statement shall be submitted to the custodian for inclusion as an attachment to the specific document. A faculty member who objects to material in the personnel file because it is inaccurate or misleading may seek the removal of such material from the personnel file in accordance with Part XII of the *Faculty Manual*.

E. Access

Personnel records may be located at various locations across campus. The personnel offices of Academic Affairs and the Health Sciences divisions will maintain comprehensive lists of locations where files may be found.

Faculty members may obtain access to their departmental/unit personnel file by submitting advance notice of at least 4 calendar days to the unit administrator. Confidential documents, as specified in D.1 (above), will be removed. The faculty member may request the unit administrator's assistance in gathering files from various locations. The unit administrator must make arrangements to have office staff available to oversee the review process to ensure the integrity and safekeeping of the records and to assist in making copies of the file, if applicable. A faculty member may obtain copies of any materials contained in the personnel file subject only to restrictions provided by state law.

F. Disclosure of Confidential Information

Willful disclosure of confidential information or unauthorized access to a personnel file by any person violates state law and university regulations and may result in disciplinary action under university regulations. Any public official, employee, agent, University contractor, student worker, intern, or volunteer who knowingly and willfully permits these violations but does not act to address them has neglected his or her duties and may also be disciplined in accordance with university regulations.

IX. Amendment Procedure

Amendment procedures are subject to the University's Regulation on Policies, Rules, and Regulations. The Faculty Senate will consider amendments to *ECU Faculty Manual*, Part VIII, Section I - Personnel Policies and Procedures that are proposed by any full-time member of the faculty, by any faculty committee, or by any member of the administration of East Carolina University. Amendment(s) submitted to the Faculty Senate for consideration shall be handled as any other item of legislation that comes before the Senate. If the Senate approves such a proposed amendment, the Senate shall submit the proposed amendment to the Chancellor and, if approved by the Chancellor, the amendment will be forwarded to the Board of Trustees for its approval. Consideration by the Board of Trustees is not required if the Chancellor has final authority to enact the amendment.

X. Effective Date

All provisions of these policies and procedures shall become effective on the date they are approved by the East Carolina University Board of Trustees or its designee.

(FS Resolution #11-94, November 2011; FS Resolution #12-76, April 2012; FS Resolution #14-04, March 2014; FS Resolution #18-41, June 2018)



Office of the Provost and Senior Vice Chancellor for Academic Affairs
 210 Spilman Building | Mail Stop 501 | East Carolina University | Greenville, NC 27858-4353
 252-328-5419 office | 252-328-4010 fax

Memorandum

TO: Ms. Megan Ayers
 ECU Board of Trustees

FROM: Dr. Ronald L. Mitchelson 
 Provost and Senior Vice Chancellor for Academic Affairs

Date: June 27, 2018

RE: Request for BOT Action on 2018 Recommendations for Tenure

Ms. Ayers, attached are the 2018 tenure recommendations that need to be submitted to the Board of Trustees for their consideration at the upcoming July 12 meeting. These actions have been approved by Chancellor Staton. Formats are attached for the following faculty members:

Harriot College of Arts and Sciences (2)

Jun-yong Choe, Chemistry
 Stephen Moysey, Geological Sciences

College of Business (1)

Diana Haytko, Marketing and Supply Chain Management

College of Education (1)

Kristin Gehsmann, Literacy Studies, English Education, and History Education

Since these recommendations require approval of the Board of Trustees before tenure may be conferred, I am requesting that these actions be placed on the agenda for consideration by the Board at their July 12 meeting. Each of the above recommendations has been approved by all appropriate parties, including the Chancellor.

Please let me know if you have questions about this request.

Attachments: 4 BOT Tenure Formats



Pledge Form

John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes			1969
Name			Class
1405 Kelly Circle	Grimesland	NC	27837
Street Address	City	State	Zip
215-714-4307			
Phone (home)	Phone (office)	Phone (cell)	
E-mail			Fax
Spouse's Name			Class

GIFT COMMITMENT

As an investment in ECU, I/we will commit a gift to the ECU Foundation Inc. in the sum of \$ 50,000 to be paid in cash, securities, and/or other property of equivalent value.

DESIGNATION OF GIFT:

John Sarantos Laliotes Political Science Library - Naming

METHOD OF PAYMENT:

- Check enclosed for the amount of \$ _____, made payable to the **ECU Foundation Inc.**
- Credit Card: American Express Master Card Visa Amount \$ _____

Card Number	Expiration Date	Signature
<input type="checkbox"/> I/we intend to request our donor advised fund to make the following payments to the Foundation.		
<i>*Gifts from donor advised funds cannot be used to satisfy personal pledges (thereby converting this into an intent).</i>		

PAYMENT SCHEDULE:

	Balance to be paid as follows:		
Total Commitment \$ <u>50,000</u>	Month <u>12/31</u>	Year <u>2018</u>	Amount \$ <u>\$50,000</u>
Amount Paid \$ _____	Month _____	Year _____	Amount \$ _____
Balance Due \$ <u>50,000</u>	Month _____	Year _____	Amount \$ _____
	Month _____	Year _____	Amount \$ _____
	Month _____	Year _____	Amount \$ _____

Please send reminders one month before each installment due date.

I/we work for the following matching-gift company: _____

		<u>6/22/18</u>
Donor Signature	Gift Officer Signature	Date

June 27, 2018

University Advancement • 2200 South Charles Boulevard • Greenville Centre, Suite 1100
 East Carolina University • Greenville, NC • 27858-4353
 E-mail: give2ecu@ecu.edu • Phone: 252-328-9550 • Fax: 252-328-4904

PROPOSAL TO EAST CAROLINA UNIVERSITY BOARD OF TRUSTEES
TO NAME A FACILITY OR ACTIVITY

ROUTING SHEET

Office of Vice Chancellor for University Advancement:

Received [Signature] / 6/28/2018
Action _____ / _____
Date

Forwarded or returned _____
Vice Chancellor's Signature _____ Date

Comments _____

Chancellor's Office:

Received _____
Action _____ / _____
Date
[Signature] Forwarded or returned _____
Chancellor's Signature _____ Date

Comments _____

Athletics and Advancement Committee of the Board of Trustees:

Received _____
Action _____ / _____
Date
Forwarded or returned _____
Chair's Signature _____ Date

Comments _____

Board of Trustees:

Received _____
Action _____ / _____
Date
Forwarded or returned _____
Chair's Signature _____ Date

Comments _____



Pledge Form

John Sarantos Lalioles and Elizabeth Ann Brandon Lalioles 1969
 Name Class
 1405 Kelly Circle Grimesland NC 27837
 Street Address City State Zip
 215-714-4307
 Phone (home) Phone (office) Phone (cell)
 E-mail Fax

Spouse's Name Class

GIFT COMMITMENT

As an investment in ECU, I/we will commit a gift to the ECU Foundation Inc. in the sum of \$ ~~50,000~~ ^{37,500} to be paid in cash, securities, and/or other property of equivalent value.

DESIGNATION OF GIFT:

Ann and John Lalioles Reading Room at Joyner Library - Naming ((\$37,500 by 12/31/19 and the second \$37,500 in Irrevocable Bequest Promissory Note)

METHOD OF PAYMENT:

- Check enclosed for the amount of \$ _____, made payable to the **ECU Foundation Inc.**
 Credit Card: American Express Master Card Visa Amount \$ _____

Card Number Expiration Date Signature

- I/we intend to request our donor advised fund to make the following payments to the Foundation.

**Gifts from donor advised funds cannot be used to satisfy personal pledges (thereby converting this into an intent).*

PAYMENT SCHEDULE:

		Balance to be paid as follows:		
Total Commitment	\$ 37,500	Month 12/31	Year 2019	Amount \$ 37,500
Amount Paid	\$ _____	Month _____	Year _____	Amount \$ _____
Balance Due	\$ 37,500	Month _____	Year _____	Amount \$ _____
		Month _____	Year _____	Amount \$ _____
		Month _____	Year _____	Amount \$ _____

- Please send reminders one month before each installment due date.

- I/we work for the following matching-gift company: _____

Donor Signature

Date

Gift Officer Signature

Date

University Advancement • 2200 South Charles Boulevard • Greenville Centre, Suite 1100
 East Carolina University • Greenville, NC • 27858-4353
 E-mail: give2ecu@ecu.edu • Phone: 252-328-9550 • Fax: 252-328-4904

State of North Carolina)
County of Pitt)

No. _____

**ENFORCEABLE PLEDGE & PROMISSORY NOTE
TO THE ECU FOUNDATION, INC.**

Donor: John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes
Address: 1405 Kelly Circle, Grimesland, NC 27837
Telephone: 215-741-4307
Banner ID Number:
Social Security Number:
Total Pledge & Note: \$37,500
Commemoration:
Purpose: ½ naming amount for naming of the Ann and John Laliotes Reading Room at Joyner Library

THIS ENFORCEABLE PLEDGE & PROMISSARY NOTE (hereinafter referred to as “Pledge”), made this 27nd day of June, 2018, by and between the above-named Donor (hereinafter referred to as “Donor”) and The ECU Foundation, Inc., a non-profit corporation organized and existing under the laws of the State of North Carolina, with its principal office located at East Carolina University in Greenville, North Carolina (hereinafter referred to as the “Foundation”),

WITNESSETH:

WHEREAS, the Foundation is an educational organization wholly supporting East Carolina University located in Greenville, North Carolina; a public charity within the meaning of §509(a)(1) of the Internal Revenue Code of the United States and recognized as exempt from federal income taxes under §501(c)(3) of said Code; identified by federal taxpayer identification number 56-6093187; described in each of §170(b)(1)(A), §170(c), §2055(a), and §2522(a) of said Code; and has its principal office at East Carolina University in Greenville. The mailing address of the Foundation being: 2200 South Charles Blvd., Greenville, NC 27858.


AND WHEREAS, Donor shall pledge \$37,500 for the purpose as the second installment for establishing Ann and John Laliotes Reading Room at Joyner Library; said purpose is within the charitable purpose and educational mission of the Foundation.

AND WHEREAS, Donor desires to make charitable pledge of funds in the amount of \$37,500 for the purpose as the second installment for establishing Ann and John Laliotes Reading Room at Joyner Library and designated said funds for the purpose of enabling the Foundation to establish.

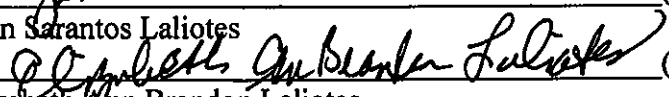
AND WHEREAS, the Foundation will rely upon the pledge of the Donor, and the Foundation promises to designate funds as the Donor directed as set forth herein. The Foundation will rely to its financial detriment upon the pledge of the Donor as set forth herein to enable the Foundation to establish the Ann and John Laliotes Reading Room at Joyner Library and fulfill its financial duties under this future bequest agreement; and that Donor is aware of such reliance.

1. Donor acknowledged that he has heretofore executed a will in which Donor has specifically bequeathed the Foundation an amount equal to \$37,500 for the purpose as the second installment for establishing Ann and John Laliotes Reading Room at Joyner Library. Donor shall keep and maintain said bequest in full force and effect, and agrees not to revoke said bequest.
2. Donor acknowledges that the Foundation is relying upon this Pledge in a substantial financial manner in furtherance of its charitable purpose, and that the Foundation is incurring substantial financial liabilities in so relying on and will suffer material detriment if this Pledge is not honored.
3. Donor acknowledges and agrees that this Pledge is a LEGAL OBLIGATION of the Donor, and of the Donor's heirs, successors, assigns, her legal representatives, and her estate, executors, administrators, and personal representatives.
4. Donor acknowledges and agrees that this Pledge is valid and enforceable, and may not be revoked or rescinded without the Foundations written consent.
5. Donor acknowledges and agrees that the Foundation is entitled to, in addition to recovery of any unpaid amount set forth herein, its costs and reasonable attorney's fees incurred in enforcing its rights under this Pledge, whether such enforcement action be by an action or proceeding before a duly constituted court having jurisdiction of the same, or simply by way of negotiation, mediation, or arbitration.
6. Donor acknowledges and agrees that all property delivered to the Foundation pursuant to this Pledge becomes the sole property of the Foundation at the time of delivery, to be used and applied as provided in this Pledge. However, Donor also acknowledges and agrees that, should the Donor fail or refuse for whatever reason to complete the full payment contemplated by this Pledge, then the Foundation may then use all payments made to the Foundation pursuant to this Pledge for whatever purpose it shall in its sole discretion deem to be in furtherance of its charitable purpose.
7. This Pledge is to be governed by and constructed in accordance with the laws of the State of North Carolina.

IN TESTIMONY WHEREOF THE Donor has hereunto set his hand *in duplicate* and adopted as his seal the word "SEAL" appearing beside his name, the day and year first above written.



John Sarantos Laliotes (SEAL)



Elizabeth Ann Brandon Laliotes (SEAL)

State of NC)
County of Pitt)

I, Maha Z. Banning, a Notary Public in and for said County and State, do hereby certify that Elizabeth Ann Brandon Laliotes (Power of Attorney for John Sarantos Laliotes) personally appeared before me this day and acknowledged the due execution of the foregoing ENFORCEABLE PLEDGE & PROMISSARY NOTE as Donor. Witness my hand and notary seal, this the 27 day of June 2018.

Maha Z. Banning
Notary Public

My commission expires:
10-10-19

{Notary Stamp or Seal}



ACCEPTANCE OF ENFORCEABLE PLEDGE & PROMISSARY NOTE

The ECU Foundation, Inc., by and through its duly authorized undersigned officer, by authority duly given and as the act of the Foundation, hereby accepts the foregoing Enforceable Pledge and Promissory Note and agrees to use the charitable contributions and gifts from the Donor made pursuant thereto in accordance with the Purpose set forth therein.

THE ECU FOUNDATION, INC.,

by:

Sara Thorndike
Vice Chancellor for Administration & Finance, Sara Thorndike
Christopher M. Dyba
President, Christopher M. Dyba

State of North Carolina)
County of Pitt)

I, Maha Z. Banning, a Notary Public in and for said County and State, do hereby certify that Sara Thorndike personally appeared before me this day and, being by me duly sworn, says that she is the Treasurer of The ECU Foundation, Inc., and that by authority duly given as the act of the Foundation, the foregoing ACCEPTANCE OF ENFORCEABLE PLEDGE & PROMISSARY NOTE was signed in the name of said Foundation by him as its Treasurer. Witness my hand and notary seal, this the 28 day of June, 20 18.

Maha Z. Banning
Notary Public

My commission expires:
10-10-19

{Notary Stamp or Seal}



Fund Title:

Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES ACCESS SCHOLARSHIP ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the Foundation known as the John and Ann Laliotes Access Scholarship Endowment (Fund). The fund manager will be the President of the Foundation or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in his will. The endowment will be considered fully funded when the corpus reaches \$125,000.

II. STATEMENT OF INTENT

The Donor wishes to establish this fund to provide need based scholarship support for full-time students at ECU majoring within the College of Fine Arts and Communication.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

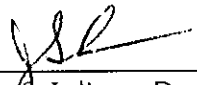
- A. Bequest provision in the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes currently estimated at \$125,000

Fund Title:

Fund Number:

- H. A supplemental fund may be established if the Donor wishes to make annual gifts that will be used for the same purpose as the endowment. The Donor may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donor wishes to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donor as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donor as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the ECU Foundation and used for the same purpose as stated in this fund agreement.

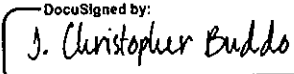
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
 John G. Laliotes, Donor

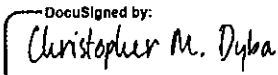
Date: June 22, 2018

By: 
 Ann B. Laliotes, Donor

Date: June 22, 2018

By: 
88E9904135424C6...
 Dr. J. Christopher Buddo, Dean
 College of Fine Arts & Communication

Date: 6/11/2018

By: 
527E762472AB4B8...
 Christopher M. Dyba
 Vice Chancellor of University Advancement &
 President of the ECU Foundation

Date: 6/8/2018

Fund Title:
Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOOTES SCHOLARSHIP ENDOWMENT IN DANCE

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the ECU Foundation known as the John and Ann Laliotes Scholarship Endowment in Dance (Fund). The fund manager will be the Director of Theatre and Dance or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support to the School of Theatre and Dance.

III. SOURCE OF FUNDS


The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

- 1. Bequest provision for \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

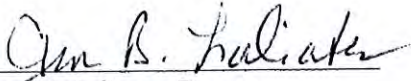
Fund Title:
Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the School of Theatre and Dance and used for the same purpose as stated in this fund agreement.

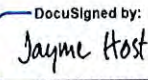
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

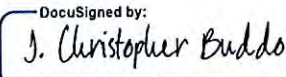
Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

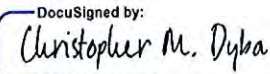
Date: June 22, 2018

By: 
C7283437E9B84E2...
Jayme Host, Director
School of Theatre and Dance

Date: 6/8/2018

By: 
88E9904135424C0...
Dr. J. Christopher Buddo, Dean
College of Fine Arts & Communication

Date: 6/11/2018

By: 
527E762472AB4BB...
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018

Fund Title:

Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES FACULTY STUDY ABROAD SUMMER PROGRAM ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted endowment in the ECU Foundation known as the John and Ann Laliotes Faculty Study Abroad Summer Program Endowment (Fund). The fund manager will be the Director of Theatre and Dance or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support for ECU School of Theatre and Dance faculty who lead the ECU Theatre Arts study abroad summer program in Dance or Musical Theatre.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

1. Bequest provision for \$25,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

IV. PURPOSE AND USE OF FUNDS

The Donors wish to establish this fund to provide support for ECU School of Theatre and Dance faculty who lead the ECU Theatre Arts study abroad summer program in Dance or Musical Theatre. The amount and terms of each stipend and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

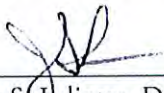
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. An additional one-time Thomas Harriot College of Arts and Sciences fee, at a rate determined by the college, will be imposed on all gifts made by telefund or annual fund solicitation. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:

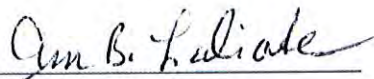
Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the School of Theatre and Dance and used for the same purpose as stated in this fund agreement.

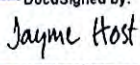
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
 John S. Laliotes, Donor

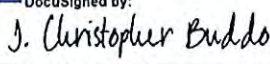
Date: June 27, 2018

By: 
 Ann B. Laliotes, Donor

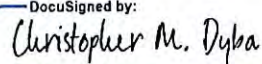
Date: June 27, 2018

By: DocuSigned by:

 C7293437E9B84F2...
 Jayme Host, Director
 School of Theatre and Dance

Date: 6/8/2018

By: DocuSigned by:

 88C9904135424C0...
 Dr. J. Christopher Buddo, Dean
 College of Fine Arts and Communication

Date: 6/11/2018

By: DocuSigned by:

 527E782472A849B...
 Christopher M. Dyba
 Vice Chancellor of University Advancement &
 President of the ECU Foundation

Date: 6/8/2018

Fund Title:
Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOOTES CENTENNIAL SCHOLARSHIP ENDOWMENT IN THE HONORS COLLEGE

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the ECU Foundation known as the John and Ann Laliotes Centennial Scholarship Endowment in the Honors College (Fund). The fund manager will be the Dean of the Honors College or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide merit-based scholarship support to the Honors College for full-time students majoring within the Thomas Harriot College of Arts & Sciences.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:


- 1. Bequest provision for \$75,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the School of Theatre and Dance and used for the same purpose as stated in this fund agreement.

IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

Date: June 27, 2018

By: DocuSigned by:
William M. Downs
1C7E15F4EBFE4FA
Dr. William M. Downs, Dean
Thomas Harriot College of Arts and Science

Date: 6/8/2018

By: DocuSigned by:
David White
CFD884478084BB
Dr. David White, Dean
Honors College

Date: 6/12/2018

By: DocuSigned by:
Christopher M. Dyba
527E762472AB4BB
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018

Fund Title:
Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES ENDOWMENT IN JOYNER LIBRARY

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the ECU Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted endowment in the Foundation known as the John and Ann Laliotes Endowment in Joyner Library (Fund). The fund manager will be the Director of Joyner Library or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support to Joyner Library.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

- A. This fund will be established through a current gift and irrevocable bequest/promissory note for the Reading Room naming opportunity contingent upon approval of the ECU Board of Trustees. The breakdown will be 50% of the naming cost up front and 50% deferred and will be routed through the appropriate naming committee/processes per the ECU Board of Trustee Guidelines for approval.
- B. The total gift will be \$75,000. \$37,500 will be a gift made in 2019 and \$37,500 will be given by a bequest from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

IV. PURPOSE AND USE OF FUNDS

This Fund shall be used to fund the Joyner Library Priority Fund for planning, implementation, and other needs for programs, exhibits, and events anywhere in Joyner Library. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:
Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.

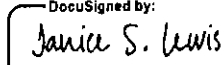
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor


Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

Date: June 22, 2018

By: 
4710DF0812584CU
Janice S. Lewis, Director
Joyner Library

Date: 6/9/2018

By: 
527E7B2472AB4BB
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES LAUPUS LIBRARY ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes Laupus Library Endowment (Fund). The fund manager will be the Director of the William E. Laupus Health Sciences Library (Laupus Library) or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to support research opportunities for medical and health sciences librarians within the William E. Laupus Library.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

- I. Bequest provision of \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

IV. PURPOSE AND USE OF FUNDS

The purpose of the Fund is to support research opportunities for medical and health sciences librarians within the William E. Laupus Library. Expenditures may be used for, but are not limited to research supplies, travel expenses, other costs associated with attending and presenting research at professional meetings, or for publication. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

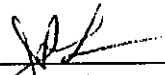
V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

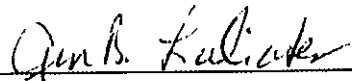
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c)(3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Medical and Health Sciences Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee as determined by the East Carolina University Foundation, Inc. Board of Directors. All fees will be charged to the endowment's investment earnings fund and will not reduce the Fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who vote annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donor as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donor as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the Laupus Library and used for the same purpose as stated in this fund agreement.

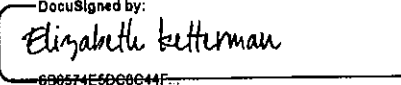
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
 John S. Laliotes, Donor

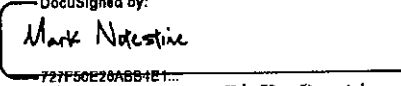
Date: June 22, 2018

By: 
 Ann B. Laliotes, Donor

Date: June 22, 2018

By: 
 Beth Ketterman, Director
 William E. Laupus Health Sciences Library

Date: 5/17/2018

By: 
 Mark A. Notestine, Ph.D., President
 ECU Medical & Health Sciences Foundation, Inc.

Date: 5/17/2018



FUND AGREEMENT

FOR THE
JOHN AND ANN LALIOTES LINC SCHOLARS
ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes LINC Scholars Endowment (Fund). The fund manager will be the Senior Associate Dean of Academic Affairs for the Brody School of Medicine or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support for the LINC Scholars Program within the Brody School of Medicine.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

- I. Bequest provision of \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

IV. PURPOSE AND USE OF FUNDS

The purpose of the Fund is to provide support for the LINC Scholars Program within the Brody School of Medicine. Expenditures may include, but are not limited to, costs associated with program goals, travel for student clinic experiences, and books and materials. In the event that the LINC Scholars Program no longer exists, funds may be used to support other medical education initiatives with emphasis on leadership, teamwork, innovation, data analysis, quality improvement, healthcare finance, and policy, or public health. In this event, the name of the Fund shall be changed to the John and Ann Laliotes Patient Centered Medical Education Endowment. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

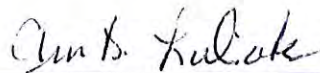
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c)(3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Medical and Health Sciences Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee as determined by the East Carolina University Foundation, Inc. Board of Directors. All fees will be charged to the endowment's investment earnings fund and will not reduce the Fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who vote annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the Brody School of Medicine and used for the same purpose as stated in this fund agreement.


IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
 John S. Laliotes, Donor

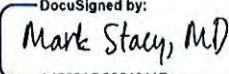
Date: June 22, 2018

By: 
 Ann B. Laliotes, Donor

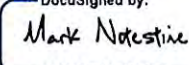
Date: June 22, 2018

By: 
EC074AC1FC0443E...
 Kendall M. Campbell, MD
 Interim, Senior Associate Dean for Academic Affairs
 Brody School of Medicine

Date: 5/21/2018

By: 
A4792AD0004041F...
 Mark Stacy, MD
 Dean, Brody School of Medicine

Date: 5/21/2018

By: 
727F50E26ABB4E1...
 Mark A. Notestine, Ph.D., President
 ECU Medical & Health Sciences Foundation, Inc.

Date: 5/21/2018



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES PHYSICAL THERAPY SCHOLARSHIP ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes Physical Therapy Scholarship Endowment (Fund). The fund manager will be the Dean of the College of Allied Health Sciences or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.
- D. With the establishment of the Fund, the Donors wish to honor Georgia Westbrook, DPT, for her professionalism and outstanding care that she has provided.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide scholarship support to students enrolled in the doctoral program within the Department of Physical Therapy.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

1. Bequest provision of \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

IV. PURPOSE AND USE OF FUNDS

The purpose of the Fund is to provide scholarship support to students enrolled in the doctoral program within the Department of Physical Therapy. Scholarships may also be awarded to students completing clinical rotation or internship programs as part of their educational experience. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures. The amount and terms of each scholarship and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect, and in accordance with the following considerations:

1. First preference to student from one of the following Eastern North Carolina counties: Northampton, Halifax, Nash, Wilson, Wayne, Duplin, Onslow, Jones, Lenoir, Greene, Edgecombe, Hertford, Chowan, Gates, Perquimans, Pasquotank, Camden, Currituck, Dare, Tyrrell, Bertie, Washington, Martin, Hyde, Beaufort, Pitt, Pamlico, Carteret, Pender, New Hanover, Brunswick, Columbus, Bladen, Sampson, Cumberland, Johnston, Harnett, Hoke, Robeson, Scotland, or Craven.
2. Recipient must intend to practice in eastern North Carolina

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c)(3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Medical and Health Sciences Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee as determined by the East Carolina University Foundation, Inc. Board of Directors. All fees will be charged to the endowment's investment earnings fund and will not reduce the Fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who vote annually to adopt a rate of spending distribution applicable to all endowment funds.

- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.
- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the College of Allied Health Sciences and used for the same purpose as stated in this fund agreement.

IN WITNESS WHEREOF, these parties execute this Agreement.

By: *JSL*
John S. Laliotes, Donor

Date: *June 22, 2018*

By: *Ann B. Laliotes*
Ann B. Laliotes, Donor

Date: *June 22, 2018*

By: DocuSigned by:
Amy Gross McMillan
8E34E2F96A6D448...
Amy Gross McMillan, Ph.D., PT, Chair
Department of Physical Therapy

Date: 5/21/2018

By: DocuSigned by:
Robert Orlikoff
721E8660EB2B4E1...
Robert F. Orlikoff, Ph.D., Dean
College of Allied Health Sciences

Date: 5/18/2018

By: DocuSigned by:
Mark Notestine
727F50E26ABB4E1...
Mark A. Notestine, Ph.D., President
ECU Medical & Health Sciences Foundation, Inc.

Date: 5/17/2018



FUND AGREEMENT

FOR THE
JOHN AND ANN LALIOTES PHYSICIAN ASSISTANT
SCHOLARSHIP ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes Physician Assistant Scholarship Endowment (Fund). The fund manager will be the Dean of the College of Allied Health Sciences or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.
- D. With the establishment of this Fund, the Donors wish to honor Elizabeth Bunting, PA, for her professionalism and outstanding care that she has provided.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide scholarship support to students enrolled in the Department of Physician Assistant Studies.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

- I. Bequest provision of \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

IV. PURPOSE AND USE OF FUNDS

The purpose of the Fund is to provide scholarship support to students enrolled in the Department of Physician Assistant Studies. Scholarships may also be awarded to students completing didactic or clinical parts of their educational experience. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures. The amount and terms of each scholarship and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect, and in accordance with the following considerations:

1. First preference to student from one of the following Eastern North Carolina counties: Northampton, Halifax, Nash, Wilson, Wayne, Duplin, Onslow, Jones, Lenoir, Greene, Edgecombe, Hertford, Chowan, Gates, Perquimans, Pasquotank, Camden, Currituck, Dare, Tyrrell, Bertie, Washington, Martin, Hyde, Beaufort, Pitr, Pamlico, Carteret, Pender, New Hanover, Brunswick, Columbus, Bladen, Sampson, Cumberland, Johnston, Harnett, Hoke, Robeson, Scotland, or Craven.
2. Recipient must intend to practice in eastern North Carolina

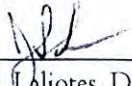
V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:


- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c)(3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Medical and Health Sciences Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee as determined by the East Carolina University Foundation, Inc. Board of Directors. All fees will be charged to the endowment's investment earnings fund and will not reduce the Fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who vote annually to adopt a rate of spending distribution applicable to all endowment funds.

- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.
- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the College of Allied Health Sciences and used for the same purpose as stated in this fund agreement.

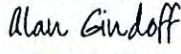
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor


Date: June 27, 2018

By: 
Ann B. Laliotes, Donor

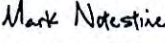
Date: June 22, 2018

By: DocuSigned by:

92868A08EAD94E...
Alan Gindoff, DHSc, PA-C, Chair
Department of Physician Assistant Studies

Date: 5/21/2018

By: DocuSigned by:

721E8689EB2B4E1...
Robert F. Orlikoff, Ph.D., Dean
College of Allied Health Sciences

Date: 5/18/2018

By: DocuSigned by:

727F30E26ABB4E1...
Mark A. Notestine, Ph.D., President
ECU Medical & Health Sciences Foundation, Inc.

Date: 5/17/2018



FUND AGREEMENT

FOR THE
JOHN AND ANN LALIOTES PHYSICAL MEDICINE & REHABILITATION
RESIDENCY PROGRAM ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes Physical Medicine and Rehabilitation Residency Program Endowment (Fund). The fund manager will be the Director of the Physical Medicine and Rehabilitation Residency Program or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to support research opportunities for residents within the Physical Medicine and Rehabilitation Residency Program.

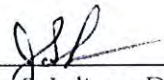
III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

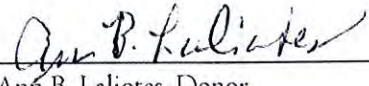
- I. Bequest provision of \$100,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the Brody School of Medicine and used for the same purpose as stated in this fund agreement.

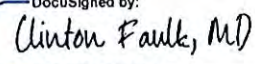
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

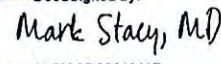
Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

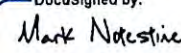
Date: June 22, 2018

By: DocuSigned by:

DEF4ED6E7713468
Clinton E. Faulk, MD, Director
Physical Medicine & Rehabilitation Residency Program

Date: 5/21/2018

By: DocuSigned by:

A4792AD6064641F
Mark Stacy, MD
Dean, Brody School of Medicine

Date: 5/21/2018

By: DocuSigned by:

727F50E26A8B4E1
Mark A. Notestine, Ph.D., President
ECU Medical & Health Sciences Foundation, Inc.

Date: 5/21/2018

Fund Title:

Fund Number:



FUND AGREEMENT

FOR THE JOHN S. LALIOTES ENDOWMENT IN POLITICAL SCIENCE

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the ECU Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the Foundation known as the John S. Laliotes Endowment in Political Science (Fund). The fund manager will be the Chair of the Department of Political Science or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide educational resources for a Political Science Library/Conference Room and/or to support ongoing technological or physical enhancements to the Political Science Library/Conference Room.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

- A. The total gift will be \$25,000 and will be given by a bequest from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

IV. PURPOSE AND USE OF FUNDS

This Fund shall be used to provide educational resources for a Political Science Library/Conference Room and/or to support technological or physical enhancements to the Political Science Library/Conference Room. If upgrades are not needed to the Library/Conference Room, then the proceeds can be used for student scholarships. The amount and terms of each scholarship award and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:


- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. An additional one-time Thomas Harriot College of Arts and Sciences fee, at a rate determined by the college, will be imposed on all gifts made by telefund or annual fund solicitation. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:

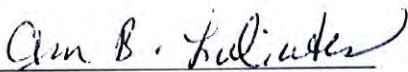
Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.


IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

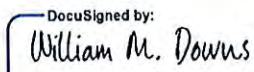
Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

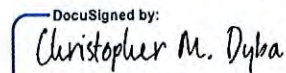
Date: June 22, 2018

By: 
DocuSigned by:
Alethia Cook
800ED7A880527423...
Dr. Alethia Cook, Chair
Department of Political Science

Date: 6/8/2018

By: 
DocuSigned by:
William M. Downs
1C7E15F4EBFE4FA...
Dr. William M. Downs, Dean
Thomas Harriot College of Arts & Sciences

Date: 6/8/2018

By: 
DocuSigned by:
Christopher M. Dyba
527E782472A848B...
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018

Fund Title:
Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES ENDOWMENT FOR THE S. RUDOLPH ALEXANDER PERFORMING ARTS SERIES

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the ECU Foundation known as the John and Ann Laliotes Endowment for the S. Rudolph Alexander Performing Arts Series (Fund). The fund manager will be the Dean of the College of Fine Arts and Communication or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support to the S. Rudolph Alexander Performing Arts Series.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

1. Bequest provision for \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:
Fund Number:

IV. PURPOSE AND USE OF FUNDS

This Fund shall be used to provide support to public programming for the S. Rudolph Alexander Performing Arts Series. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:

Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the School of Theatre and Dance and used for the same purpose as stated in this fund agreement.

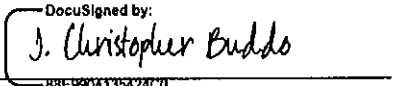
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

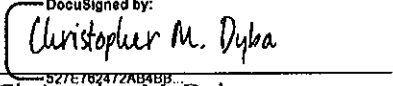
Date: June 27, 2018

By: 
Ann B. Laliotes, Donor

Date: June 27, 2018

By: 
Dr. J. Christopher Buddo, Dean
College of Fine Arts and Communication

Date: 6/11/2018

By: 
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018



FUND AGREEMENT

FOR THE
JOHN AND ANN LALIOTES PHYSICAL THERAPY STUDENT-RUN CLINIC
ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. Laliotes and Ann B. Laliotes (Donors) and the East Carolina University Medical & Health Sciences Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a restricted **endowed fund** in the Foundation known as the John and Ann Laliotes Physical Therapy Student-Run Clinic Endowment (Fund). The fund manager will be the Dean of the College of Allied Health Sciences or a comparable position should this position title no longer exist (Administrator).
- C. The Fund will be activated upon receipt of a gift or written commitment of at least \$25,000 which must be paid within five years. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support for the student-run Physical Therapy Clinic housed in the College of Allied Health Sciences.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gift and shall be consistent with the Foundation's Gift Acceptance Policy:

- I. Bequest provision of \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

IV. PURPOSE AND USE OF FUNDS

The purpose of the Fund is to provide support for the student-run Physical Therapy Clinic housed in the College of Allied Health Sciences. Expenditures may be used for, but are not limited to supplies, materials, and other items necessary to operate the clinic. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures.


V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

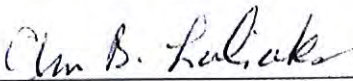
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c)(3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Medical and Health Sciences Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee as determined by the East Carolina University Foundation, Inc. Board of Directors. All fees will be charged to the endowment's investment earnings fund and will not reduce the Fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who vote annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supplemental fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the College of Allied Health Sciences and used for the same purpose as stated in this fund agreement.

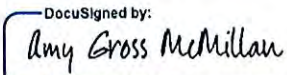
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
 John C. Laliotes, Donor

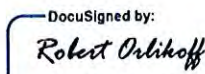
Date: June 22, 2018

By: 
 Ann B. Laliotes, Donor

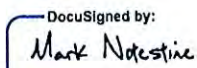
Date: June 27, 2018

By: 
0E34E2F9CAG0440...
 Amy Gross McMillan, Chair
 Department of Physical Therapy

Date: 5/21/2018

By: 
721E8669E92D4E1...
 Robert F. Orlikoff, Ph.D., Dean
 College of Allied Health Sciences

Date: 5/18/2018

By: 
727F50E26ADD4E1...
 Mark A. Notestine, Ph.D., President
 ECU Medical & Health Sciences Foundation, Inc.

Date: 5/17/2018

Fund Title:

Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOES STUDY ABROAD SUMMER PROGRAM ENDOWMENT

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the ECU Foundation known as the John and Ann Laliotes Study Abroad Summer Program Endowment (Fund). The fund manager will be the Director of Theatre and Dance or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide support for students in the School of Theatre and Dance to participate in a Theatre Arts study abroad summer program.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

1. Bequest provision for \$25,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

IV. PURPOSE AND USE OF FUNDS

This Fund shall be used to provide support for students in the School of Theatre and Dance to participate in a study abroad summer program. The amount and terms of each scholarship award and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures and the following preferences:

1. Must be an ECU faculty-led Theatre Arts study abroad summer program.
2. First preference is to alternate students between Dance Performance and Musical Theatre.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

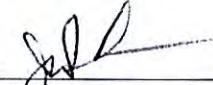
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. An additional one-time Thomas Harriot College of Arts and Sciences fee, at a rate determined by the college, will be imposed on all gifts made by telefund or annual fund solicitation. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:

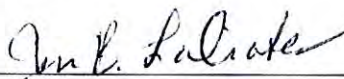
Fund Number:

- H. A supplemental fund may be established if the Donors wish to make annual gifts that will be used for the same purpose as the endowment. The Donors may direct gifts to the supplemental fund to make annual awards while the endowment is building, to support annual awards in the event the endowment is underwater, or if the Donors wish to supplement the annual award from the endowment. The supporting fund is for annual awards, and like other annually funded awards, will be exempt from gift fees. Annually funded funds do not participate in investment earnings and are available to be spent at any time. Gifts made to the supplemental fund must clearly be stated as such or they will be deposited into the related endowed fund.
- I. If at some future time, it becomes impractical for the Foundation to achieve the designated purpose of the Fund, circumstances change, or it becomes unlawful or wasteful to expend the earnings from the Fund in the manner stated above, then, at the discretion of the Foundation Board of Directors, the Fund shall be used to further the objectives and purposes of East Carolina University, bearing in mind the desires of the Donors as expressed in this agreement. Should the academic area move to another school/college, have a name change, or other placement issue related to this Fund that may require a movement of the funding within or between Foundations at ECU, the Foundation Board of Directors shall review and approve the changes, again, bearing in mind the desires of the Donors as expressed in this fund agreement.
- J. If the funds realized from the planned gift do not reach the permanently restricted fund minimums, the fund will be set up as a temporarily restricted fund in the School of Theatre and Dance and used for the same purpose as stated in this fund agreement.

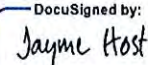
IN WITNESS WHEREOF, these parties execute this Agreement.

By: 
John S. Laliotes, Donor

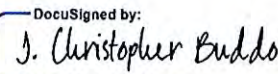
Date: June 22, 2018

By: 
Ann B. Laliotes, Donor

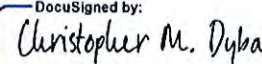
Date: June 22, 2018

By: DocuSigned by:

C7293437E9884F2
Jayme Host, Director
School of Theatre and Dance

Date: 6/8/2018

By: DocuSigned by:

88E9904135424C0
Dr. J. Christopher Buddo, Dean
College of Fine Arts and Communication

Date: 6/11/2018

By: DocuSigned by:

527E762472A849D
Christopher M. Dyba
Vice Chancellor of University Advancement &
President of the ECU Foundation

Date: 6/8/2018

Fund Title:

Fund Number:



FUND AGREEMENT

FOR THE JOHN AND ANN LALIOTES SCHOLARSHIP ENDOWMENT IN THEATRE

I. ESTABLISHMENT

- A. THIS AGREEMENT is made effective as of the date of the last signature affixed between John S. and Ann B. Laliotes (Donors) and the East Carolina University Foundation, Inc. (Foundation).
- B. The Donors and the Foundation agree to establish a **restricted endowment** in the ECU Foundation known as the John and Ann Laliotes Scholarship Endowment in Theatre (Fund). The fund manager will be the Director of Theatre and Dance or a comparable position should this position title no longer exist (Administrator).
- C. The Donor intends to establish the Fund with a gift to be made by bequest under provisions made in their will. The endowment will be considered fully funded when the corpus reaches \$25,000.

II. STATEMENT OF INTENT

The Donors wish to establish this fund to provide scholarship support for students in the School of Theatre and Dance.

III. SOURCE OF FUNDS

The Fund shall be initially established with the following gifts and shall be consistent with the Foundation's Gift Acceptance Policy:

1. Bequest provision for \$50,000 from the will of John Sarantos Laliotes and Elizabeth Ann Brandon Laliotes.

Fund Title:

Fund Number:

IV. PURPOSE AND USE OF FUNDS

This Fund shall be used to provide scholarship support for students in the School of Theatre and Dance. The amount and terms of each scholarship award and the recipient thereof shall be determined in accordance with College, University, and Foundation guidelines and procedures then in effect. The Administrator shall be responsible for administering the distributions from the Fund and applying such distributions in accordance with Foundation and University policies and procedures and the following preferences:

1. Student majoring in Theatre Arts with a concentration in Musical Theatre or Professional Training.

V. FUND ADMINISTRATION

This Fund shall be administered in accordance with the Foundation's policies and procedures and shall be consistent with the University's policies, as follows:

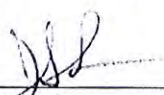
- A. The Fund shall be used only for a qualified charitable purpose consistent with the laws of the State of North Carolina and section 501(c) (3) of the Internal Revenue Code.
- B. The Foundation will hold and administer these proceeds and any subsequent additions to the Fund in accordance with the terms and conditions of this agreement and current endowment policies as regulated by the East Carolina University Foundation, Inc. Board of Directors (Foundation Board of Directors).
- C. With the consent of the Foundation, other parties may also make gifts to the Fund, but they may not change the purpose of the Fund.
- D. Fees: A one-time fee is charged to all new gifts to the Fund. An annual endowment management fee is also charged to the fund. Gifts made to the Fund via telefund or annual fund solicitations are subject to a one-time Annual Fund department fee. These fee amounts are determined annually by the Foundation Board of Directors and will be in accordance with the Foundation's Endowment Spending and Gift Fee Policy. All fees will be charged to the endowment's investment earnings fund and will not reduce the fund's corpus amount.
- E. All gifts to and accumulated earnings of the Fund will be invested in the Foundation's investment pool and will receive a prorated share of the net income or losses.
- F. The spending distribution is determined by the Foundation Board of Directors who votes annually to adopt a rate of spending distribution applicable to all endowment funds.
- G. In years when earned and accumulated investment earnings may be insufficient to meet the amount needed for the annual distribution or when multiyear commitments have been made, the Foundation Board of Directors may continue to make distributions, even if such distributions will reduce the total value of the endowment below the historical value of the corpus (the value of all gifts to the Fund). These spending distributions must be in accordance with the Foundation's Endowment Spending and Gift Fee Policy, within what the Board has determined reasonable and prudent as noted within the North Carolina Uniform Prudent Management of Institutional Funds Act (UPMIFA), and consistent with the spending distributions from similar endowments within the Foundation.

Fund Title:

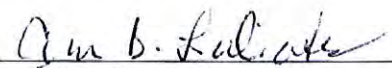
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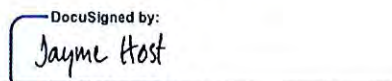
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By: 
 John S. Laliotes, Donor

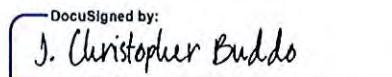
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By: 
 Ann B. Laliotes, Donor

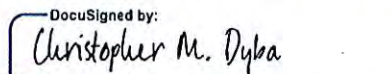
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