

BOARD OF TRUSTEES

East Carolina University

September 19, 2014

The Board of Trustees met in regular session in the Mendenhall Student Center on the campus of East Carolina University. Chair Robert Brinkley called the meeting to order and called on ROTC cadets to lead the Pledge of Allegiance.

In compliance with the State Government Ethics Act, Mr. Brinkley asked if anyone has a conflict of interest. No conflicts were identified.

Mr. Brinkley called on Secretary Edwin Clark to call the roll:

Members Present

Robert Brinkley
Edwin Clark
Mark Copeland
Vern Davenport
Deborah Davis
Steve Jones
Max Joyner
Michael King
Carol Mabe
Bobby Owens (via phone)
Bob Plybon
Danny Scott
Terry Yeargan

Members Absent

Max Joyner

APPROVAL OF MINUTES

Mr. Brinkley asked for a motion to approve the minutes from the Board meeting on July 18, 2014. Mr. Jones moved approval of the minutes. Ms. Mabe seconded the motion. The motion passed with no negative votes.

UNIVERSITY REPORTS

CHANCELLOR'S REPORT

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

CHAIR OF THE FACULTY REPORT

Dr. Andrew Morehead, Chair of the Faculty, brought the report from the Faculty. A summary of his remarks are included as "Attachment B."

STAFF SENATE REPORT

Mr. Brinkley introduced Ms. Mary Schiller, Chair of the Staff Senate. A summary of Ms. Schiller's remarks are included as "Attachment C."

REPORT FROM THE STUDENT GOVERNMENT ASSOCIATION

Michael King, SGA President brought the report from the SGA. Mr. King updated the board on several key initiatives from SGA, including the first alcohol-free tailgate co-sponsored by the Residence Hall Association, Student Government Association and Greek Life. This initiative will provide students an alternative to traditional tailgating. Also, the Student Government Association has been working closely with the Office of Student Rights and Responsibilities in developing and implementing the new disciplinary review process. Mr. King also said that the SGA is being proactive about the recent incident of hate crimes on campus. The SGA drafted and approved a resolution condemning any acts of hate or discrimination on campus.

REPORT FROM THE BOARD OF VISITORS

Mr. Brinkley introduced the Chair of the Board of Visitors, Ms. Angie Moss. Ms. Moss summarized the last Board of Visitors meeting, which also included a new member orientation. Ms. Moss also updated the board on the work of each of the three Board of Visitors' committees.

REPORT FROM THE BOARD OF GOVERNORS

Board of Governors member, Henry Hinton, brought an update from the BOG. Mr. Hinton said that each BOG member is expected to make campus visits to each of the UNC system campuses. He has been very impressed with the quality of each institution. Mr. Hinton also talked about the Carnegie classification, and how ECU is viewed within the system. Mr. Hinton said that in terms of tuition, the Board of Governors are expecting campuses to ask for tuition increases. The position of the Board of Governors is that they hope the requests are within about 3% and if a campus ask for a greater increase, the campus should have strong justification. Mr. Hinton concluded his remarks by commenting on how ECU is truly impacting Eastern North Carolina, but could do even more. ECU has a tremendous opportunity to lead the charge on developing a plan for Eastern North Carolina that will create growth and jobs.

COMMITTEE REPORTS

ATHLETICS AND ADVANCEMENT COMMITTEE

Mr. Edwin Clark, chair of the Athletics and Advancement Committee, gave the report. A full summary of the committee meeting is listed as "Attachment D." There were three items that needed board attention.

Mr. Clark moved that the board approve the six naming proposals as presented in board materials. The motion was approved with no negative votes. A summary of naming items is listed as "Attachment E."

Mr. Clark moved that the board approve the naming menu for the Music Library. The motion was approved with no negative votes. The naming menu can also be found in "Attachment E."

Mr. Clark moved that the board authorize the university committee established by the Chancellor to review building names, to resume its work, and for that committee to be prepared to make recommendations, to include process recommendations, at the November meeting. The motion was approved with no negative votes. Danny Scott asked that the board consider bringing this issue to a close at the November board meeting.

AUDIT COMMITTEE

Mr. Mark Copeland, chair of the Audit Committee, gave the report. A full summary of the committee meeting is listed as “Attachment F.”

FINANCE AND FACILITIES COMMITTEE

Mr. Terry Yeargan, chair of the Finance and Facilities Committee, gave the report. A full summary of committee meeting is listed as “Attachment G.” There were several items that needed board attention.

Mr. Yeargan moved that the board approve the Dance Building elevations request in accordance with the terms and conditions provided in the Board materials. The motion was approved with no negative votes.

Mr. Yeargan moved that the board approve the request to sublease 2365 Stantonsburg Road as presented in board materials. The motion was approved with no negative votes.

Mr. Yeargan moved that the board approve a revision to the Policy for the Review Process and Procedures for EPA Non-Faculty Employees as presented in board materials. The motion was approved with no negative votes. The policy is listed as “Attachment H.”

HEALTH SCIENCES COMMITTEE

Mr. Steve Jones, chair of the Health Sciences Committee, gave the report. A full summary of the committee meeting is listed as “Attachment I.” There was one item that required board attention. Steve Jones moved that the board approve the Professional Liability Insurance Program and Plan as presented to the Board with an amendment to add a sentence or clause to expressly allow for collaborative insurance arrangements. The board approved the motion with no negative votes.

UNIVERSITY AFFAIRS COMMITTEE

Ms. Deborah Davis, chair of the University Affairs Committee, gave the report. A full summary of the committee meeting is listed as “Attachment J.” There were no action items.

EXECUTIVE COMMITTEE

Mr. Brinkley made brief comments about the Enrollment Management presentation during the Executive Committee meeting. He said it will be critical to increase applications, develop graduate enrollment and improve the marketing strategy for all populations.

UNFINISHED BUSINESS

Max Joyner gave a brief update on the Board of Trustees’ orientation program. Mr. Joyner said that there has been a considerable amount of work done on developing a module format for a board resource manual and orientation program. Mr. Joyner said the modules should be completed in early spring 2015. If any board member has thoughts or ideas about this work, please contact the Assistant Secretary’s Office.

NEW BUSINESS

ADJOURNMENT

Mr. Brinkley adjourned the meeting at 11:30 a.m.

Respectfully Submitted,

Megan Ayers
Office of the ECU Board of Trustees

BOT Sept 2014

Thank you Mr. Brinkley.

ATHLETICS

The beginning of the school year is always exciting as we welcome new faculty, new students, new employees and as we renew our commitment to making a difference for North Carolina.

Athletics remains “our front porch” and we are looking forward to this weekend’s game... against some school from the Power 5. Let me take this opportunity to talk about the recent changes in the landscape of division I athletics.

Most experts now believe that conference realignment... which was primarily driven by TV contracts... is at least stalled if not over for quite some time. The ACC has attempted to prevent further realignment with its new rules on delegation of media rights to the conference... this makes jumping conferences extremely expensive, at least for the ACC.

Beyond conference changes, everything else is somewhat up for grabs. The amateur athlete or “student athlete” model... which I have supported for my entire career...is under attack and probably not going to survive. Numerous legal challenges could fundamentally change the way we define college sports and certainly how compensate athletes. Autonomy legislation changes the relationships among conferences.

So how will the American Conference and ECU fare under this era of continuous change. The honest answer is that no one really knows. However, ECU leadership has been working on this for well over a year and in fact we have helped to prevent some of the most onerous suggestions for change...such as making transfers easier for the power conferences. I do believe in two things, however:

- I believe our strongest position is to succeed in the American conference and especially on the field in the four primary revenue-generation sports; and
- I have great confidence in commissioner Aresco who understands the television business. Thus, I think it is likely within a couple of years that we will be discussing the “Power 6” which will include the

American conference. So far, we have certainly earned that right on the playing fields. (update in September).

THE LEGISLATIVE SESSION

We were generally successful in the legislative session and I thank several of you who worked with us, along with our legislative delegation and several members of the Board of Governors and the team at General Administration. Success included:

- We've restored a majority of the financial threats to the Brody School by realizing federal UPL dollars and regaining about 25% of our debt collection capacity. For a medical school that is largely self-funded and without its own hospital, these victories were essential to our future. We know, however, that the fight isn't over and we will be prepared for the long session;
- The self-liquidating bill passed so our student centers and parking deck are under design. These will be huge additions to our campus profile and for competing for students;

The next and biggest battle will concern talent retention and our need to do all we can to attract and retain excellent faculty. We have lost many of our very best and other universities routinely come after our stars. Our faculty have received 1.5% over the past 7 years, while inflation has risen by nearly 15%. This amounts to a significant pay cut no matter how you look at.

In this regard, tuition increases will almost certainly be necessary to help faculty retention and we will be discussing that in the very near future. In addition, enrollment management is an essential “bridging strategy”... I will say more about enrollment momentarily.

BUILDING ACADEMIC QUALITY

We will continue our emphasis on building academic quality because this serves our students and our mission. Priorities include the School of the Coast ...which would recognize the significant productivity of over 50 faculty who focus on this key resources for North Carolina. In addition, we will continue on our goal towards having 1000 undergraduate engineering students. Our third goal for the East campus is the College of Business, which has performed superbly across numerous disciplines...including

small business, entrepreneurship, leadership, marketing, finance, and accounting.

Consider these facts about the College of Business:

- The College has the largest Business program in the state with 4200 majors;
- We have the 3rd largest accounting program in the state
- We have been recognized repeatedly for the quality of our online business programs and for the use of technology-based education;
- The college is the institutional leader in leadership development...with all undergraduates completing four leadership classes.

Resources are not adequate to do all we would like on these priorities, but we will reallocate funds from the fiscal sustainability process, and we will continue to re-allocate open faculty positions to their highest use. We are studying the feasibility of increased tuition.

SEARCH FOR THE PROVOST

We have begun the search process for the permanent provost. Dr. Horns chairs a 17-member committee, which is assisted by the national search firm, Carter Baldwin. Trustees Plybon and King serve on the Committee. Our goal is to name an excellent leader by early in 2015.

ENROLLMENT

Happy to answer questions.

Remarks to the ECU Board of Trustees
Andrew T. Morehead, Jr., Chair of the Faculty
September 19, 2014

Good morning! I am pleased to be here speaking to you at the start of a new semester here at East Carolina University (and hopefully just previous to a victory over UNC). As you know, I am Andrew Morehead, the new Chair of the Faculty and a professor in the department of chemistry.

The other new officers elected last April by the faculty senate (and are here today with me) are Vice-Chair of the Faculty John Given, who is an Associate Professor in the Department of Foreign Languages and Literatures and the Director of Classical Studies, Secretary Kylie Dotson-Blake, an Associate Professor and Director of Counselor Education in the College of Education, and Mike Felts, Parliamentarian and Professor in Health Education and Promotion in the College of Health and Human Performance.

Recently, at the first Faculty Senate meeting and the Faculty Convocation, the theme of my speeches has been how faculty have absorbed the impact of the budget cuts and continued to work to educate students and transform the region, and how we need to let the public know about that work. Consistent with that theme, let me acknowledge some of those faculty.

Two of those accomplished faculty spoke at convocation. Abbie Brown (College of Education), who received the Board of Governor's award for teaching, talked about his innovative approaches to engaging students in his online courses; and Margaret Bauer (Department of English, Thomas Harriot College of Arts and Sciences) spoke about the research that earned her ECU's lifetime research award (and she was a scholar teacher award winner previously, demonstrating how one's research also informs your teaching). She also mentors students like Jessie

Chirico, an EC Scholar who interned with Dr. Bauer and intends to continue in the publishing business upon graduation. Keiko Sekino (School of Music) also treated us to a lovely piano performance.

Two other faculty members recently in the news were Beth Velde, who (among other things) directs the Engagement and Outreach Scholars Academy here at ECU, and was recently elected to the national Academy of Engaged Scholarship in honor of her work to merge academic scholarship and community engagement. Dr. Anthony Kennedy (Department of Chemistry) lead a team who received an NSF Grant totaling more than \$620,000 supporting a Chemistry and Physics living-learning community. Students can receive scholarships worth up to \$35,000 over their four years in the program. Not willing to rest on his laurels, Dr. Kennedy has also launched a forensics science degree in collaboration with Criminal Justice and received a grant from the Burroughs-Wellcome Foundation to involve local fifth graders with research on the Queens Anne Revenge.

It is a tribute to the spirit, dedication, and creativity of the faculty that we have succeeded to this extent; that we have continued to do research that builds ECU's national reputation with inadequate support; and that most of all we have protected the students from the impact of the budget cuts; as we have continued to push ECU forward.

Let me now pivot to some of the priority items that the Faculty Senate is working on this year. These items include Parts XIII, IX and X of the faculty manual, which are the parts that address personnel matters. That work is intended to improve the processes by which faculty and administrators evaluate faculty, promotion and tenure processes, and implement the post tenure review policy just passed by the Board of Governors.

We have continued our work in developing policies that implement the FUSS (Fostering Undergraduate Student Success) policy from the General Administration. These policies include changes in how we handle withdrawals, academic progress, some aspects of financial aid, and a host of other policies that affect our students. This work must be done by the end of the academic year, or sooner, and we are working hard with folks from across the campus to ensure that we do so.

Finally, we stand prepared to consider the recommendations from the workgroups of the University Committee on Fiscal Sustainability through the appropriate Faculty Senate Committees. We have suggested faculty members with the appropriate expertise to help these workgroups with their tasks, and share a commitment to the long-term fiscal sustainability and continued growth of ECU into a model others can adopt around student success, public service and regional transformation.

Thanks for your attention, and I would be happy to answer any questions.

BOT Remarks

Good morning and thank you for having me. I would like to begin this morning by introducing the 2014-2015 Staff Senate Executive Council. Ms. Lisa Ormond, College of Nursing, is serving as our Chair-Elect; Ms. Arlene Bowling, Leo Jenkins Cancer Center is serving as our Treasurer and Ms. Penney Doughtie, Systems Coordination is serving as our Secretary.

Thank you ladies.

The 1st quarter of our 2014-2015 Staff Senate session has been very productive and I would like to share the highlights of our efforts with you.

We have been working with the UNC Staff Assembly on present and proposed personnel legislation which we feel requires our attention. Briefly; our ECU Staff Senate feeds into the the UNC Staff Assembly, which is the larger UNC System representative body. Each campus is allotted 3 delegate seats and 1 alternate seat, however ECU also has two staff members that were elected to the Staff Assembly Executive Committee, bring our representation to 5 delegates and 1 alternate. Our campus has the greatest number of representatives serving, which I believe serves as testament to our leadership and service.

Our Fall Health Fitness Walk and vendor fair is scheduled for October 29th. The main attraction of this event is a group walk around Lake Laupus on our Health Sciences Campus. This event is open to everyone, and focuses on living healthier lifestyles. As such, we are planning to have various demonstrations such as massages, exercise, and Zumba as well as vendors sharing information about healthy eating, stress relief, stress management and fitness. The ECU Pharmacy Services will offer a Dollar sale and we will have some great door prizes to give away.

This event has become very popular with the staff and we are expecting record attendance this year.

During my last presentation to you, I mentioned our Gail Jordan Memorial Scholarship Fund; we have made strides promoting this Scholarship and were able to get specific information about how to make a donation added to both the Annual Giving Website and the Faculty Staff Combined Campaign. We are also in the process of organizing various fundraisers and remain hopeful that we will successfully increase funding to a level that will allow the awarding of the 1st scholarship in the Spring.

Lastly, we have gathered information and submitted nominations for the NC Governor's Award for Excellence and are in the process of submitting nominations for the Erskine Bowles Staff Service Award. We have been told that this is the first time ECU has submitted a nomination for the Governor's Award

for Excellence and that ECU has been underrepresented in the Erskine Bowles Staff Service Award nominations. So we feel this is a great accomplishment and are confident East Carolina University will be the recipient for these awards, if not immediately, definitely in the near future.

Though my presentation has been brief, the Staff Senate is confident that our efforts will have a lasting positive impact on staff morale and our overall campus climate.

At this time I am happy to answer any questions you might have.

Thank you,

Athletics & Advancement Committee

September 19, 2014

Talking Points

Committee members present were Max Joyner and Bob Plybon. Other board members present included Robert Brinkley, Terry Yeargan, Deborah Davis, Mark Copeland and Steve Jones.

Athletics

Compliance Update

Jamie Johnson, Director of Athletic Compliance, gave an update on changes NCAA compliance rules and governance structure. These changes included revisions in the recruiting communication: coaches can now contact student athletics on Sept. 1 of their junior year and private communication, like texts and emails, is now unlimited (after Sept. 1 of their junior year). The structure of allowable meals has also increased.

Review of Departmental Goals

Jeff Compher reviewed the annual goals for ECU Athletics. To summarize – they are:

1. Finalize an EPA performance evaluation process;
2. Finalize a “recruiting walk” to maximize visual impact and ECU brand;
3. Increase overall GPA averages from 2.95 to 2.97, with an ultimate goal of 3.0;
4. Development of comprehensive life skills program;
5. Win at least 1 American Conference Championship in the inaugural year;
6. Increase revenue;
7. Establish a work group for staff development and appreciation;
8. Create an Athletics Facilities master plan;
9. Evaluate long term financial sustainability in Athletics;
10. Develop consistent customer service at every athletic event.

Financial Report

Nick Floyd reviewed Athletic finances, included the FY15 budget and the 2014 football ticket sales. In addition, Rick Niswander presented the NCAA Financial Dashboard “President View” which compares how ECU is positioned financially with other institutions and conferences.

Naming Proposals

Vice Chancellor Chris Dyba presented six naming proposals and the naming menu for the Music Library. I’ll have two motions at the end of the report.

Review of Building Names

Vice Chancellor Virginia Hardy provided the board with information on how the major buildings on campus were named. We had an in depth discussion, part of which was about including a process component in the naming policy. There was a motion from our committee (and one that I’ll make to the full board in a moment) that allowed the university committee established by the Chancellor to resume its work and report back with recommendations in November. Does anyone have anything they want to add?

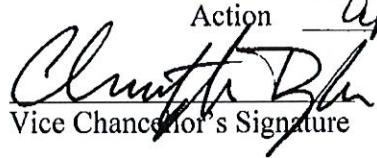
Mr. Chairman, that concludes my report. I do have three motions I'd like the board to consider.

1. I move that the board approve the six naming proposals as presented in board materials.
2. I move that the board approve the naming menu for the Music Library.
3. I move that the board authorize the university committee established by the Chancellor to review building names, to resume its work, and for that committee to be prepared to make recommendations, to include process recommendations, at the November meeting.

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

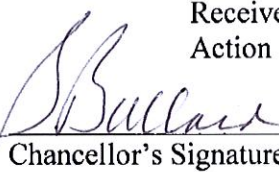
ROUTING SHEET

Office of Vice Chancellor for University Advancement:

Received _____
Action Approved / 9-2-14
Date
 Forwarded or returned 9-2-14
Date
Vice Chancellor's Signature

Comments _____

Chancellor's Office:

Received _____
Action Approved / 9-4-14
Date
 Forwarded or returned _____
Date
Chancellor's Signature

Comments _____

Athletics and Advancement Committee of the Board of Trustees:

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

Comments _____

Board of Trustees:

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

Comments _____



have made provisions in support of the ECU Foundation Inc. as follows:

me: DR. JESSE R. PEEL Birth date: March 8, 1940
Mailing Address: 1661 MENTON RD. NE
ATLANTA, GA 30306-3003

Estimated Amount

have made provisions for the ECU Foundation Inc. in my estate plan as follows:

Outright bequest in my will \$ _____

Provision in my will of _____ % of the remainder of my estate
I estimate the current value for the ECU Foundation Inc. to be: \$ _____

Provisions in the wills of the survivor of my spouse and myself
(Please give the spouse's birth date.) \$ _____

Trust under my will with the ECU Foundation Inc. as the final beneficiary
(Please include the birth dates or ages of income beneficiaries, or describe other conditions.): \$ _____

Other \$ 500,000.00
(Please describe.) Wells Fargo Advisors Account 5019-1485

You may print my name as a Leo W. Jenkins Society member. DR. JESSE PEEL LGBT CENTER
ENDOWMENT FUND

Please do not print my name.


Date 6/13/2014 Name Jesse Peel M.D.

For more information about bequest provisions or any planned-giving instruments, please call Greg Abeyounis, assistant vice chancellor for development, at 252-328-9573 or e-mail him at abeyounisg@ecu.edu. Visit us online at www.ecu.edu/plannedgiving.

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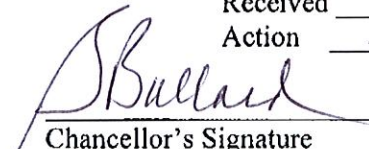
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Comments _____

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 _____



PG#
16473

STATEMENT OF INTENT

STEP UP TO THE HIGHEST LEVEL Campaign

East Carolina University

Name Suddenlink Communications

Street Address 2120 W. Arlington Blvd.

City Greenville State NC Zip 27834

Phone (252) 757-2201 Fax (252) 757-2236

E-mail phil.ahlschlager@suddenlink.com

Naming Opportunity(ies) Offices in Media Relations

To assist in attaining the goals set forth by the Department of Athletics under the STEP UP TO THE HIGHEST LEVEL Campaign for East Carolina University, I/we will commit a gift to the East Carolina Educational Foundation, Inc., in the sum of \$ 25000.00 to be paid in either cash, securities or other property of equivalent market value.

I/we desire to have this financial support distributed in the following manner:

- \$ 5000 in 2012 (Year)
- \$ 5000 in 2013 (Year)
- \$ 5000 in 2014 (Year)
- \$ 5000 in 2015 (Year)
- \$ 5000 in 2016 (Year)

() Annually () Semi-Annually () Quarterly

In making this Statement of Intent, it is understood that this document constitutes a declaration of intent only, and shall not legally bind me/us or my/our estate.

Signature Philip C. Ahlschlager

Signature SVP - North Carolina

Date 2/9/12

**NAMING PROPOSAL TO EAST CAROLINA UNIVERSITY
BOARD OF TRUSTEES**

J. Batt

Name of Originator

ECU Educational Foundation

252-737-4540

battj@ecu.edu

Department/Division

Phone

Email

Proposed Name(s) to Honor: **William D. Mills, Sr. by son William D. Mills, Jr.**

119 Harold Drive Swansboro NC 28584

Address: City State Zip

Telephone: **(910) 326-8108**

(910) 455-7576

Home

Business

Relationship to the University:

Proposed Object for Naming: **Offense Conference Room in Football Suite in WSMB**

Purpose for recommendation:

Honorary (Attach background materials as appropriate to justify the recommendation)

Gift (Attach background materials as appropriate to justify the recommendation and complete the section below)

Purpose of Gift: Annual Capital Endowment

Date of Original Commitment: **1/9/2012**

Amount of the Total Commitment: **\$50,000**

Amount Paid: **\$30,000**

Current Pledge Balance: **\$20,000**

Status of Payments: **Current**

Was the gift part of a campaign: Yes No Define: _____

Was the project pre-approved: Yes No

Directed to: ECU Foundation Educational Foundation

Medical Foundation Other

If the Gift was more than \$25,000:

1. Attach a copy of the signed Letter of Intent.
2. Define in detail any special arrangements or expectations the donor may have resulting from this Gift.
3. If the Gift is other than cash or cash equivalent, explain the method of valuation, and the plan for liquidation.

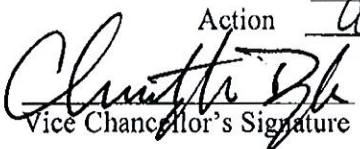

Signature of Originator

9.2.14
Date

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

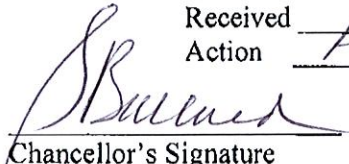
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Comments _____

Athletics and Advancement Committee of the Board of Trustees:

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Date
Chair's Signature Forwarded or returned _____
Date

Comments _____

Board of Trustees:

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

Comments _____



PC#
14732

STATEMENT OF INTENT

STEP UP TO THE HIGHEST LEVEL Campaign

East Carolina University

William D. Mills, Jr.

Name William D. Mills, Jr.

Street Address 119 Harold Drive

City Swansboro State NC Zip 28584

Phone (910) 455-7576 (B) Fax (910) 455-7481

E-mail wmillsjr@ec.rr.com

Naming Opportunity(ies) Offense Conference Room in Football Office Suite in the Ward Sports Medicine Building

To assist in attaining the goals set forth by the Department of Athletics under the STEP UP TO THE HIGHEST LEVEL Campaign for East Carolina University, I/we will commit a gift to the East Carolina Educational Foundation, Inc., in the sum of \$ 50,000 to be paid in either cash, securities or other property of equivalent market value.

I/we desire to have this financial support distributed in the following manner:

- \$ 10,000 in 2012 (Year)
- \$ 10,000 in 2013 (Year)
- \$ 10,000 in 2014 (Year)
- \$ 10,000 in 2015 (Year)
- \$ 10,000 in 2016 (Year)

Annually () Semi-Annually () Quarterly

In making this Statement of Intent, it is understood that this document constitutes a declaration of intent only, and shall not legally bind me/us or my/our estate.

Signature [Handwritten Signature]

Signature _____

Date 1-9-12

(100)

**NAMING PROPOSAL TO EAST CAROLINA UNIVERSITY
BOARD OF TRUSTEES**

J. Batt

Name of Originator

ECU Educational Foundation

Department/Division

252-737-4540

Phone

battj@ecu.edu

Email

Proposed Name(s) to Honor: Don & Judy Edwards

c/o UBE

516 S. Cotanche Street Greenville NC 27834

Address: City State Zip

Telephone: (252) 756-9567

Home

(252) 758-2616

Business

Relationship to the University: _____

Proposed Object for Naming: Pirate Club/Executive Director's Office in WSMB

Purpose for recommendation:

Honorary (Attach background materials as appropriate to justify the recommendation)

Gift (Attach background materials as appropriate to justify the recommendation and complete the section below)

Purpose of Gift: Annual Capital Endowment

Date of Original Commitment: 11/8/2010

Amount of the Total Commitment: \$50,000

Amount Paid: \$40,000

Current Pledge Balance: \$10,000

Status of Payments: Current

Was the gift part of a campaign: Yes No Define: _____

Was the project pre-approved: Yes No

Directed to: ECU Foundation Educational Foundation

Medical Foundation Other

If the Gift was more than \$25,000:

1. Attach a copy of the signed Letter of Intent.
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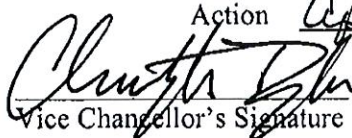
J. Batt
Signature of Originator

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

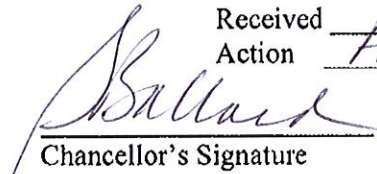
ROUTING SHEET

Office of Vice Chancellor for University Advancement:

Received _____
Action Approved / 9-2-14
Date

Vice Chancellor's Signature Forwarded or returned 9-2-14
Date

Comments _____

Chancellor's Office:

Received _____
Action Approved / 9-4-14
Date

Chancellor's Signature Forwarded or returned _____
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 _____



Pct# 10774

STATEMENT OF INTENT
STEP UP TO THE HIGHEST LEVEL Campaign
East Carolina University Athletics

Name Don & Judy Edwards

Street Address c/o University Book Exchange
516 South Cotanche Street

City Greenville State NC Zip 27858

Phone (252) 758-2616 Fax () _____

E-mail donedwards@ubeinc.com

Naming Opportunity(ies) Pirate Club / Executive Director's Office in WSMB

To assist in attaining the goals set forth by the Department of Athletics under the STEP UP TO THE HIGHEST LEVEL Campaign for East Carolina University, I/we will commit a gift to the East Carolina Educational Foundation, Inc., in the sum of \$ 50,000 to be paid in either cash, securities or other property of equivalent market value.

I/we desire to have this financial support distributed in the following manner:

\$ 10,000 in 2011 (Year)

\$ 10,000 in 2012 (Year)

\$ 10,000 in 2013 (Year)

\$ 10,000 in 2014 (Year)

\$ 10,000 in 2015 (Year)

(X) Annually () Semi-Annually () Quarterly

In making this Statement of Intent, it is understood that this document constitutes a declaration of intent only, and shall not legally bind me/us or my/our estate.

Signature *Don Edwards*

Date 10-8-10

Signature _____

Date _____

(128)

**NAMING PROPOSAL TO EAST CAROLINA UNIVERSITY
BOARD OF TRUSTEES**

J. Batt

Name of Originator

ECU Educational Foundation
Department/Division

252-737-4540
Phone

battj@ecu.edu
Email

Proposed Name(s) to Honor: **Alan and Connie Southard**

1408 Reynolda Road **Winston-Salem** **NC** **27104-1016**
Address: City State Zip

Telephone: **(336) 761-8155**
Home

Business

Relationship to the University: _____

Proposed Object for Naming: **Women's Basketball Assistant Coach Office in Smith-Williams Center**

Purpose for recommendation:

Honorary (Attach background materials as appropriate to justify the recommendation)

Gift (Attach background materials as appropriate to justify the recommendation and complete the section below)

Purpose of Gift: Annual Capital Endowment

Date of Original Commitment: **11/1/2011**

Amount of the Total Commitment: **\$25,000**

Amount Paid: **\$15,000**

Current Pledge Balance: **\$10,000**

Status of Payments: **Current**

Was the gift part of a campaign: Yes No Define: _____

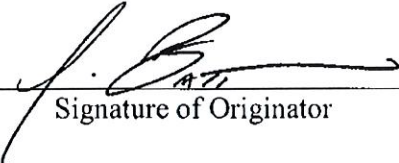
Was the project pre-approved: Yes No

Directed to: ECU Foundation Educational Foundation

Medical Foundation Other

If the Gift was more than \$25,000:

1. Attach a copy of the signed Letter of Intent.
2. Define in detail any special arrangements or expectations the donor may have resulting from this Gift.
3. If the Gift is other than cash or cash equivalent, explain the method of valuation, and the plan for liquidation.

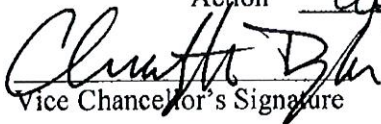

Signature of Originator

9.2.14
Date

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

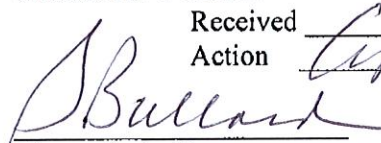
ROUTING SHEET

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Received _____
Action Approved / 9-2-14
Date
 Forwarded or returned 9-2-14
Date

Comments _____

Chancellor's Office:

Received _____
Action Approved / 9-4-14
Date
 Forwarded or returned _____
Date

Comments _____

Athletics and Advancement Committee of the Board of Trustees:

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

Comments _____

Board of Trustees:

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

Comments _____



PCH
9025

STATEMENT OF INTENT

STEP UP TO THE HIGHEST LEVEL Campaign

East Carolina University

Name ALAN & CONNIE SONTRAKO
 Street Address 1408 REYNOLDS RD.
 City WIN-SAL State NC Zip 27104
 Phone 336 761-8155 Fax 336 723-6709
 E-mail AHSWEC@AOL.COM
 Naming Opportunity(ies) Women's Assistant Coaches Office

To assist in attaining the goals set forth by the Department of Athletics under the STEP UP TO THE HIGHEST LEVEL Campaign for East Carolina University, I/we will commit a gift to the East Carolina Educational Foundation, Inc., in the sum of \$ 25,000.00 to be paid in either cash, securities or other property of equivalent market value.

I/we desire to have this financial support distributed in the following manner:

\$ 5,000 in 2012 (Year)
 \$ 1 in 20__ (Year)
 \$ 1 in 20__ (Year)
 \$ 1 in 20__ (Year)
 \$ 5,000 in 2016 (Year)

() Annually () Semi-Annually () Quarterly

In making this Statement of Intent, it is understood that this document constitutes a declaration of intent only, and shall not legally bind me/us or my/our estate.

Signature [Handwritten Signature]

Signature _____

Date 1-1-11

**NAMING PROPOSAL TO EAST CAROLINA UNIVERSITY
BOARD OF TRUSTEES**

J. Batt
Name of Originator

ECU Educational Foundation 252-737-4540 battj@ecu.edu
Department/Division Phone Email

Proposed Name(s) to Honor: Mike Steele
Mike Steele Agency LLC

1020 Red Banks Road Greenville NC 27858
Address: City State Zip

Telephone: (252) 317-2847 (252) 317-2847
Home Business

Relationship to the University: _____

Proposed Object for Naming: Equipment Room for Men's Basketball in Smith-Williams Center

Purpose for recommendation:

- Honorary (Attach background materials as appropriate to justify the recommendation)
- Gift (Attach background materials as appropriate to justify the recommendation and complete the section below)

Purpose of Gift: Annual Capital Endowment

Date of Original Commitment: 3/27/2011

Amount of the Total Commitment: \$25,000

Amount Paid: \$15,000

Current Pledge Balance: \$10,000

Status of Payments: Current

Was the gift part of a campaign: Yes No Define: _____

Was the project pre-approved: Yes No

Directed to: ECU Foundation Educational Foundation
 Medical Foundation Other

If the Gift was more than \$25,000:

1. Attach a copy of the signed Letter of Intent.
2. Define in detail any special arrangements or expectations the donor may have resulting from this Gift.
3. If the Gift is other than cash or cash equivalent, explain the method of valuation, and the plan for liquidation.

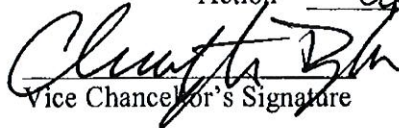
J. Batt
Signature of Originator

9.2.14
Date

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

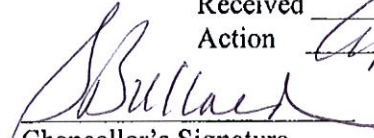
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Date

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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 _____



PC#
2295

ECU Educational Foundation

STATEMENT OF INTENT
"STEP UP TO THE HIGHEST LEVEL" CAMPAIGN
East Carolina University Athletics

Name Mike Steele

Street Address 905

City Greenville State NC Zip 27858

Phone 252 531-5156

Fax () _____

E-Mail msteele@CBSMC.com

Naming Opportunity(ies) _____
* Yes * Equipment Room for MBB
in Smith Williams Center

To assist in attaining the goals set forth by the Department of Athletics under the "Step Up To The Highest Level" Campaign for East Carolina University, I/we will commit a gift to the East Carolina Educational Foundation, Inc., in the sum of \$ 25,000 to be paid in either cash, securities or other property of equivalent market value.

I/we desire to have this financial support distributed in the following manner:

\$ 5,000 in 2011 (Year)

\$ 5,000 in 2012 (Year)

\$ 5,000 in 2013 (Year)

\$ 5,000 in 2014 (Year)

\$ 5,000 in 2015 (Year)

Annually () Semi-Annually () Quarterly

In making this Statement of Intent, it is understood that this document constitutes a declaration of intent only, and shall not legally bind me/us or my/our estate.

Signature Mike Steele

Signature Sandy Steele

Date 3/17/2011

sm6

Music Library

Study carrel 32" wide

Quiet Study – 19' 6" x 14' 6" = 322 sq./ft.

Group Study – 17' 6" x 11' = 193 sq./ft.

Circulation Desk – 9' x 8' = 72 sq./ft.

Whole renovation (music library as a whole – previously approved for naming at \$500k) – 68' 5" x 50' = 3,425 sq./ft.

From: Teague, Dwain
Sent: Friday, August 08, 2014 4:35 PM
To: Dyba, Christopher Michael
Cc: Banning, Maha; Lewis, Janice S; Sanders, Mark
Subject: Hi Dyba: inquiry re: requesting approval of new Music Library naming opps

Hi Dyba, happy Friday to you! Greetings from the Library.

We are planning our fundraising effort to renovate/expand the Music Library located in the School of Music. I believe we discussed this with you awhile back during your visit to Joyner. We have a few new potential naming opportunities (noted below) that we wanted to share with you to ask your feedback/approval to include in our marketing pieces. These new spaces would be created as part of the renovation/expansion, so they would be brand new opportunities. We are more than happy to meet with you to discuss in person at your convenience. Should you wish to visit the Music Library as part of our meeting, I'm happy to coordinate those details for you.

Jan Lewis and I have met with Dr. Buddo and Nancy Ball as we all will collaborate on prospects/donors since this project will directly impact/benefit School of Music students and faculty. Thank you as always for your time and suggestions/feedback. Sincerely, Dwain.

The proposed new naming opportunities will include:

- 1) A Quiet Study Room with individual study carrels will be a vital new aspect of the renovation. A recent ethnographic study of patron activities in the music library revealed that ECU music students overwhelmingly prefer to study individually. A new 14-carrel quiet study room will facilitate quiet, individual study in an area separated from other uses. – \$50,000
- 2) More exciting additions will include two Group Listening/Viewing/Study Rooms – a feature the Music Library has never had, but one that is a staple in other music libraries. Today, if students want to work together to prepare for a music listening or opera history exam they have to look for adjacent seats in the computer lab and use splitters to listen simultaneously. Too often, they are frustrated by the lack of appropriate space and equipment, and leave the Library. The new Group Listening/Viewing/Study Rooms will allow groups of students to listen and then dialog together in preparation forexams or class discussions. In addition, these rooms can be used for group viewing and discussion of performances and movies required for classes, as well as for group study, collaborative work, and occasional special events and meetings. – \$25,000 per room
- 3) The Circulation Desk area serves as the primary point of service for students and faculty who need assistance. Music librarians or staff members are always available at the Service Desk to answer questions, assist with music related research, or to offer assistance with technology needs. – \$50,000

Have you considered your gift to support the ECU Libraries? <https://onestop.ecu.edu/onlinegiving/>

Dwain Posey Teague ('93, '98)

Major Gift Officer

Laupus Health Sciences Library and Academic Library Services (Joyner Library and Fletcher Music Library)

East Carolina University

teagued@ecu.edu

http://www.linkedin.com/profile/view?id=41139971&authType=name&authToken=mZO6&locale=en_US&pvs=pp&trk=ppro_viewmore

Laupus Library Office:

1502 Health Sciences Bldg.

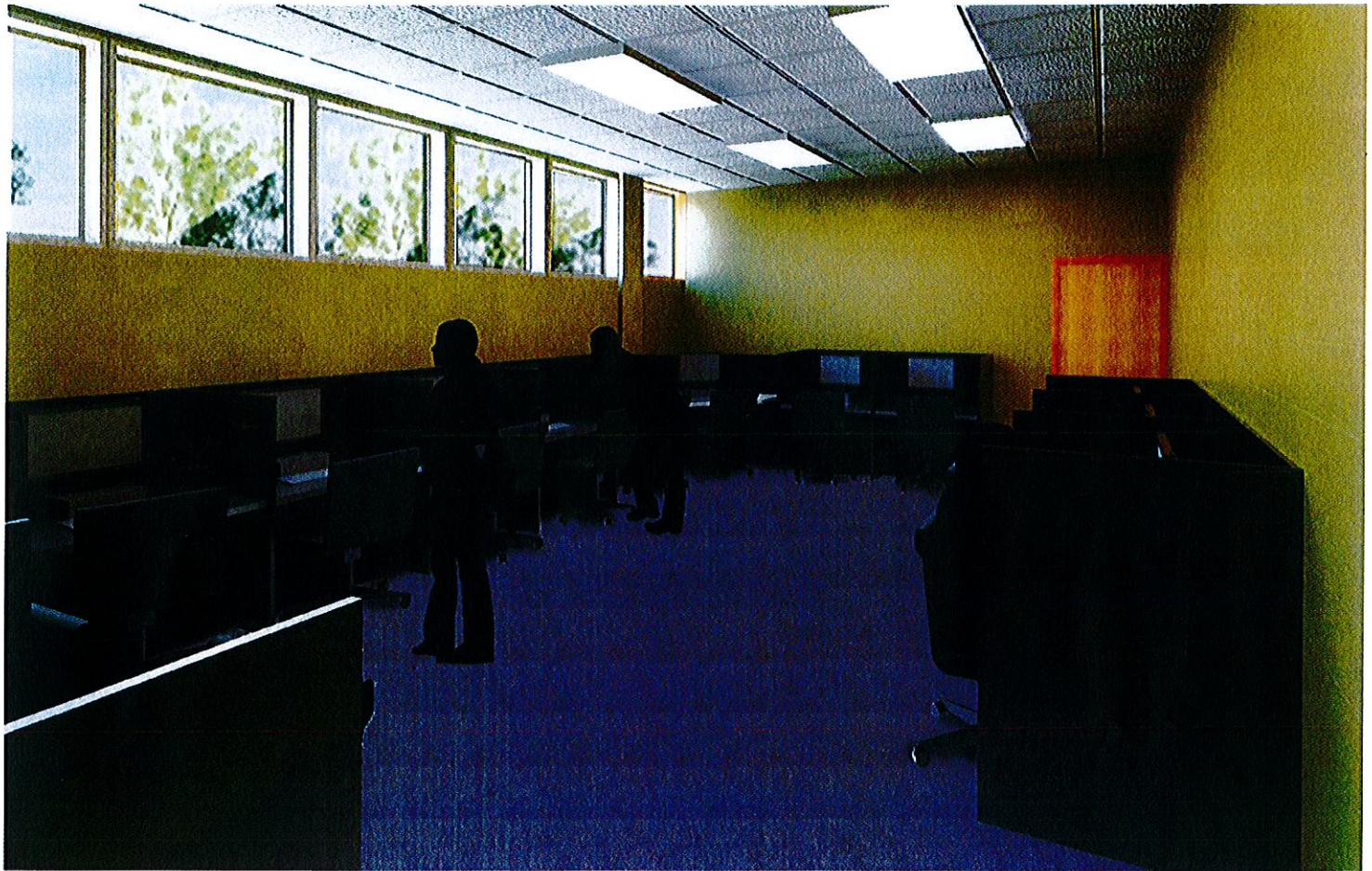
Laupus Library

Direct #(252) 744-0248

Music Library

Quiet Study

19' 6" x 14' 6" = 322 sq./ft.



Music Library

Group Study

17' 6" x 11' = 193 sq./ft.



Music Library

Circulation Desk

9' x 8' = 72 sq./ft.



Action Items:

- Approval of July 17, 2014 minutes

Closed Session Discussion

Health Sciences Compliance Report – Dr. Ken DeVille

- The BSOM Compliance Office has recently expanded its responsibility and now is the Health Sciences Office of Institutional Integrity – compliance committees are being formed in the Dental, Nursing, and Allied Health colleges/schools
- Ongoing responsibilities remain essentially the same as they were, but are now applied across the Division
- Dr. DeVille briefed the committee on the recent implementation of a comprehensive Debarment Screening process to identify employees, vendors, contractors who have been debarred from doing business with the federal government. Elements of this process are owned by HR, Financial Services, Office of Grants and Contracts, and other offices. The University's monitoring and detection efforts are believed to be the most comprehensive in the state.
- Dr. DeVille's staff has implemented HIPAA Education walkthrough sessions in clinics across the Health Sciences Division
- The coverage of BSOM provider documentation/coding reviews continues to expand; all providers will be covered in an 18-month cycle; additional changes are in progress which will make the process more efficient and effective
- HS Institutional Integrity and Internal Audit have reviewed the DHHS OIG annual workplan, and HS Institutional Integrity has allocated resources on its own workplan to highlight the highest risk areas for the University

Research Compliance Report – Ms. Norma Epley

- Ms. Epley provided statistics on the numbers of new research studies over the past three years. (FY 2013-14 submissions were slightly down from FY 2012-13.) We did not have time to delve into further detail.
- Ms. Epley briefed the committee on the federally-mandated Quality Improvement Program which is intended to provide oversight to ongoing research (studies that have already been approved).
 - Ms. Epley provided documents that outline the University's plan of action, which includes reviewing 18 studies within the next 12 months. Studies selected for review based on a multi-factor "risk assessment"
 - QI reviews will look at compliance with various requirements and will also have an "educational" element of sharing tools, best practices, etc.

ERM Report – Mr. Tim Wiseman

- Mr. Wiseman presented information on ERM activities over the previous quarter, which included ERM Committee discussions on several topics
- Mr. Wiseman has been asked to co-chair the University's Youth Programs Task Force. The group has met twice and is charged with determining how the University should address the recommendations made by Internal Audit related to minors on campus; the committee is considering using the program at Clemson as a model
- Mr. Wiseman reported that the University's ERM efforts are gaining increased attention from outside – he will be presenting at an upcoming Risk Management and Insurance ERM conference
- Mr. Wiseman presented a list of the University's ERM milestones; the 2014 milestones include pushing enhanced ERM materials with the full BOT, adopting a 2-year ERM cycle model, and development of a formal risk assessment tool

Internal Audit Report – Ms. Stacie Tronto

- Ms. Tronto provided a detailed update on two ongoing engagements (during closed session)
- Ms. Tronto provided an update on the status of the FY 2014-2015 audit plan, as of Aug 29, 2014
 - 4 Operational reviews, 1 IT review, 5 investigations, and 3 follow-ups are currently in process
 - 29 consultations/advisory services have been completed since July 1, 2014; 10 additional consultations remain in progress

**ECU Board of Trustees
Finance and Facilities Committee
September 19, 2014
Highlights**

The Finance and Facilities Committee met on September 18, 2014.

Design/Elevations

The Committee reviewed the East Campus Student Center Elevations. The committee postponed approval of the elevations pending various changes within the building. Mr. Bagnell was available for questions.

The Committee reviewed the Dance Building Elevations. The committee approved the Elevations for the building. Mr. Bagnell was available for questions. The Committee approved a motion to recommend that the full Board approve the request.

Leases

The Committee reviewed a request to sublease 2325 Stantonsburg Rd. Mr. Buck was available for questions. The Committee approved a motion to recommend that the full Board approve the request.

Policies

The Committee reviewed the Policy for the Review Process & Procedure for EPA Non-Faculty Employees. Ms. Wetherington was available for questions. The Committee approved a motion to recommend that the full Board approve the request.

Information

Mr. Sweet shared the ITCS – Year In Review Report.

Mr. Bagnell updated the Committee on Capital Projects.

Dr. Niswander updated the Committee on the Reimbursement Resolution for the Student Centers.



Policies, Regulations and Rules

Authority	Board of Trustees
Title	Review Process and Procedure for EPA Non-Faculty Employees
Classification	06.35.01
PRR Subject	Dispute Resolution, Reviews, and Appeals
Contact Info	Assistant Vice Chancellor for Human Resources and Director of EPA Administration, (252) 328-9882

History: Chancellor: October 12, 2005; Board of Trustees: December 16, 2005; Amended: January 1, 2009; Revised December 2, 2013; Board of Trustees approved January 13, 2014.

Related Policies:

Section 611 of the Code of the University of North Carolina, "Review of Personnel Actions Affecting Specified Employees Exempt from the State Personnel Act (EPA)"

UNC Policy Manual 300.1.1, Senior Academic and Administrative Officers

UNC Policy Manual 300.2.1, Employees Exempt from the State Personnel Act

Additional References:

ECU Policy for Employees Exempt from the State Personnel Act

ECU Human Resources Benefits

Human Resources

Contact Information:

Assistant Vice Chancellor for Human Resources and Director of EPA Administration, (252) 328-9882

Review Process and Procedure for EPA Non-Faculty Employees²

Introduction

East Carolina University is committed to fair and equitable treatment for all employees. The University administration is charged by law and University policy with managing and directing its human resources, including but not limited to workforce size, recruitment, training, work

² "EPA Employees" are "Employees Exempt from the State Personnel Act" which includes Senior Academic and Administrative Officers as defined in Section I.B and governed by Section III of the UNC policy 300.1.1, and employees designated within the non-teaching EPA Instructional or Research category under G.S. 126-5, and as defined in UNC Policy 300.2.1.

assignments, hours of employment, promotion, demotion, transfer, or dismissal. Where there are concerns or problems related to employment, employees, their co-workers and their supervisors are strongly encouraged to find informal means of resolving them. Employees may pursue formal requests in accordance with the Review Procedure outlined in section 4 below.

1. General Considerations

1.1. The University has established this Review Process and Procedure for those actions stated in Section 3 below.

1.2. EPA Non-Faculty Employees (hereinafter "Employees") have the right to use this Review Process & Procedure ("Review Process & Procedure") free from threats or acts of retaliation, interference, coercion, restraint, discrimination, or reprisal. Employees and students may not be retaliated against for participating in a review as an employee, a witness, an employee assistant, or as a Review Committee member. Any person who retaliates against another person for exercising rights in good faith under this Review Process & Procedure will be subject to appropriate and prompt administrative action by the University.

2. The EPA Non-Faculty Employee Review Committee (the "Committee")

2.1. Roles and Responsibilities of the Committee

The Committee hears requests for reviews brought by Employees covered by the Review Process & Procedure.

2.2. Composition of the Committee

The Chancellor² shall appoint five (5) EPA Non-Faculty employees to serve as regular committee members representing EPA non-faculty employees across the divisions of the University. Additionally, the Chancellor shall appoint three (3) EPA Non-Faculty employees to serve as alternate Committee members. The Chancellor shall endeavor to have each division have representation on the Committee. All regular and alternate members of the Committee must be subject to the Review Process & Procedure.

The three (3) alternates will be appointed to: fill the unexpired terms of regular members who may leave the Committee; or, to serve in the event that a regular member is not available to serve or must recuse him/herself because of a conflict of interest; or, if the Employee is a member of the regular member's division. If an alternate is appointed to fill the unexpired term of a regular member, the Chancellor shall appoint a new alternate member to represent the division previously served by the replaced regular member.

Upon expiration of a regular member's term, a new member of the Committee will be appointed from among the three alternates and a new alternate will be appointed to represent the division

² The Chancellor may designate an individual to fulfill any responsibility of the Chancellor under this Review Process & Procedure if he or she chooses to delegate any assignment.

previously served by the regular member whose term has expired.

The Committee's membership year is July 1 through June 30. New appointees assume membership on July 1 and expiring terms end on June 30 of each year. Membership may continue in the event that the Committee is actively hearing a case, or there is a currently pending review.

A Committee member may not participate in a review he or she brings on his or her own behalf, in any case in which he or she has been materially involved or in any case that arose within that Committee member's department or division in instances where a Vice Chancellor or division head is the respondent.

2.3. Appointments to the Committee

The Assistant Vice Chancellor for Human Resources is responsible for facilitating the work of the Committee, including orienting new members and managing this appointment process. For initial appointments, and subsequently on an annual basis in May or as soon thereafter as practicable, the Chancellor may send a memorandum to the Vice Chancellors requesting nominees. The Chancellor will send a letter of appointment to the selected individuals to fill the expired terms of regular and alternate members. When a vacancy occurs during a regular or alternate member's term due to inability to continue through the remainder of the unexpired term, the Chancellor² will solicit a nomination from the head of the division represented by that regular or the alternate member, or another unrepresented division. The Chancellor² will send a letter of appointment to the individual(s) selected to fill the unexpired term of the regular or alternate member(s).

The regular members of the committee will elect the Chair of the Committee ("Committee Chair" or the "Chair") annually in July or as soon thereafter as practicable. The Committee will also elect a vice chair, who will preside in the event that the Chair is unable to fulfill the requirements of this position. The Chair and Vice Chair are permitted to serve multiple terms.

3. Committee Jurisdiction and Request for Review Statement.

3.1 Requests for review are subject to the standards set out below, which define matters which may or may not be reviewed under this Review Process & Procedure. A University official may choose to offer a proposed resolution to a dispute without such offer conferring jurisdiction under this Review Process & Procedure where such jurisdiction is not otherwise present. Matters that can be reviewed shall be limited to claims that:

3.1.1 Discharge for cause or other disciplinary action violated the interpretation and application of any provision of The University of North Carolina Policy Manual Section 300.2.1.

3.1.2 Discontinuation, expiration of term appointments, or terminations with notice upon allegations of violations of the notice requirements, or the Equal Employment Opportunity and Protected Activity provisions of the University of North Carolina Policy Manual Section 300.2.1

3.2 Matters outside the Committee's jurisdiction. Absent a demonstration by the employee that

the decision was based on a factor reviewable under the University of North Carolina Policy Manual Section 300.2.1, the Committee has no jurisdiction to review pursuant to the Review Policy and Procedure:

3.2.1. Dissatisfaction by an Employee with the general application of a University, School/College or Department policy, regulation, or practice or with a University official's decision-making on the grounds it is undesirable or inadvisable.

3.2.2. Complaints, reviews or appeals that are exclusively subject to another University procedure or are exclusively within the scope of another University committee such as, but not limited to, intellectual property determinations, research ethics, Campus Police trespass appeals, parking appeals or assignments, and health and safety concerns. The outcome of such matters may be presented to and considered by the Committee when they have a direct relevance to a matter which otherwise is within the scope of the process subject to the specific disclosure and confidentiality rules of the other University procedure or Committee.

3.3 Written Request for Review Statement Required

3.3.1 An Employee must file a written request review statement ("Statement") using the form available on the ECU HR website (link provided above) with the Chair of the Committee.

3.3.2 Absent exceptional circumstances, the signed, written Statement shall be submitted within 20 working days of the decision cited in the Statement. The deadline for submitting the Statement may be extended only if, in the judgment of the Chair, there are significant extenuating circumstances. The act of filing a Statement does not extend employment.

3.4 Referral to the Office for Equity and Diversity

If the Statement submitted by the employee includes an allegation of prohibited discrimination and/or harassment based on a protected class as set forth in the University's Equal Opportunity, Harassment, and Non-Discrimination Policies, the Statement is first referred to the University's Office of Equity and Diversity ("OED") for assessment. The Statement is held in abeyance during any preliminary review and/or investigation by the OED. The OED will conduct a preliminary review to determine if part or all of the concerns outlined in the Statement are in the purview of the OED. The OED shall endeavor to complete its preliminary review within 10 working days but may, depending upon the specifics of the issues involved, request the Chair of the Review Committee (the "Chair") to provide additional time, if/as necessary. If the preliminary review determines that part or all of the concerns outlined in the Statement are found to be within the purview of the OED, the OED will investigate those concerns in accordance with the review procedures outlined in the Equal Employment Opportunity Plan. If there are no findings by the OED that result in a violation of the University's Equal Opportunity, Harassment and Non-Discrimination Policies, the OED will issue a notice of outcome to the Chair.

4. Review Procedures

4.1. Convening the Committee

Not later than 10 working days after receipt of the Statement, the Chair shall convene the Committee for its initial meeting. At this meeting or before, the Chair will provide the members of the Committee with an orientation covering the role and responsibilities of the Committee and a review of the process. At this meeting, the Committee shall review the Statement and determine whether the matter as stated falls within the jurisdiction of the Committee or not. Relevant considerations include, but are not limited to, the employment status of the Employee and the subject matter of the concerns in the Statement. If the matter is not eligible for review, the Committee may:

4.1.1 Allow the Employee to amend the Statement in writing within five working days of Employee's receipt of notice of an opportunity to amend his/her Statement. The Committee will review the amended Statement pursuant to Section 4.1 above; or

4.1.2 Dismiss the Statement, in writing, for failure to state a concern that is eligible for review under this Review Process and Procedure.

If the matter is eligible for review under the Policy, the Committee Chair shall, within 10 working days, forward a copy of the Statement to those named by the Employee as responsible ("Respondent(s)"), together with notice that a written response to the Statement concerns must be provided to the Committee Chair and the Employee within 10 working days. A copy of the Statement must also be submitted to the University Counsel and the appropriate Vice Chancellor.

4.2. Challenges to a Committee Member

4.2.1. Challenge by the Committee. If, in the opinion of the Committee, the membership of the Committee is for any reason inappropriate, then the Chair shall submit a written recommendation to the Chancellor that changes in membership are necessary to ensure objective and timely review in that case. Upon such request, the Chancellor shall have the discretion to make any changes to the Committee necessary for the Committee to function effectively including, but not limited to, replacement of the Chair. The decision of the Chancellor regarding the disposition of such a request must be in writing and shall be included in the Official Record.

4.2.2 Challenge by a party. Any party may request that a member of the Committee be removed. The party shall submit the request for removal of a Committee Member to the Chair in writing no later than five (5) working days after receipt of the Notice described at Section 4.5. The Chair shall forward the request to the Chancellor. The decision of the Chancellor regarding the disposition of the request is final, must be in writing, and shall be included in the Official Record.

4.3 Assistants

This Review Process is not intended to be a formal legal process nor do the formal rules of evidence apply. Neither the Employee nor the Respondent(s) may have an attorney actively participate at the Review Hearing (the "Hearing"). (Attorney is defined as anyone with a Juris Doctorate, or other recognized law degree, regardless of whether or not that person is licensed to practice law in the State of North Carolina and/or whether or not that person is "representing" the

employee.) However, the Employee and the Respondent(s) is/are entitled to have one assistant (the "Assistant") of the party's choice present at all meetings and at the Hearing to aid the party in developing their case. The Assistant may not be a witness or speak at the Hearing or otherwise actively participate in the Hearing. An attorney may serve as an Assistant. Information shared by a party with their Assistant is considered confidential and shall not be divulged except as required by law.

Each party shall confirm the identity of any Assistant who will attend the hearing to the Chair in writing no later than five (5) working days after receipt of the Notice described at Section 4.5.

Upon request of the Chair, the Office of the University Counsel ("OUC") may designate an attorney to provide procedural advice to the Committee.

4.4 Confidentiality. Members of the Committee, parties, Assistants and witnesses shall maintain strict confidence concerning all aspects of the review process. This is required by state law as well as University policy.

4.5 Notices of Meetings. The Chair shall send notices of the scheduled meetings to all Committee members, the Employee, and the Respondent(s). The Notice will

4.5.1 set the date for the Hearing not later than four weeks from the date that the Respondent(s) submitted the response to the Statement;

4.5.2 identify the review the Committee will be hearing, and the parties and the Committee members;

4.5.3 instruct the parties to exchange one copy of their proposed exhibits and witness lists at least five (5) working days in advance of the Hearing, and a sealed copy to the Chair for the Record, but in no case shall information be provided to the Committee prior to the Hearing. References to the documents during the Hearing shall be by exhibit number with page references as applicable;

4.5.4 inform the parties that, at least two (2) working days prior to the hearing, they must list whether or not there are any factual or other items that can be agreed upon and reduced to written stipulations signed by the parties prior to the Hearing. The parties shall present the stipulations to the Chair;

4.5.5 remind parties of any other applicable deadlines in accordance with this Review Process and Procedure (e.g., challenges to a Committee member at Section 4.2.2, identification of Assistants at Section 4.3); and

4.5.6 instruct the parties to bring to the Hearing at least one copy of each exhibit for each Committee member, one copy for the court reporter and one copy for each party.

The Chair of the Committee may consider and grant a reasonable extension of any deadlines established in this Review Process and Procedure at the request of one of the parties based on extenuating circumstances and/or at the recommendation of the Committee.

4.6 The Hearing

4.6.1 Court Reporter. The Chair shall arrange a court reporter to record all Hearings and maintain the exhibits presented by the parties at the Hearing. The University shall bear the expense of the court reporter. No other recordings of the Hearing shall be allowed.

4.6.2 Amendment of Statement. Once the Hearing begins, the Employee shall not have the right to amend the Statement without the unanimous vote of the Committee. If any amendment to the Statement is allowed, the Chair shall promptly notify the Respondent(s) of this action and defer subsequent proceedings until the Respondent(s) have had the opportunity to respond to this revision. A respondent shall have 10 working days to respond to any amended Statement.

4.6.3 Attendance at the Hearing. The only persons allowed to attend the Hearing are the Committee, the Assistant Vice Chancellor for EPA Administration; counsel from the OUC, to advise the Committee; the court reporter, the Employee and the Employee's Assistant and the Respondent(s) and the Respondent(s)' Assistant. Any other persons who are witnesses shall only attend the Hearing while they are testifying.

4.7 Guidelines for the Conduct of the Hearing

4.7.1 Committee Participation. Hearings shall be conducted with the Chair and all five (5) Committee members present.

4.7.2 Control of Hearings. The Chair shall preside over the Hearing. Consistent with the principles of impartiality and equity, the Chair shall determine, in consultation with the Committee, among other things, the following:

4.7.2.1. The order of testimony presentation, if it deviates from the standard order described below;

4.7.2.2 Whether a party has provided adequate justification for accepting evidence into the record at the Hearing;

4.7.2.3. The order and procedure for questioning the parties and witnesses;

4.7.2.4. Compliance with all procedures; and

4.7.2.5. The admissibility of all evidence

4.7.2.5.1 Whether evidence is relevant to the issues involved in the review and may rule that evidence not be considered.

4.7.2.5.2 If evidence is excluded, the Chair shall state the reasons for the exclusion on the record and the materials shall be included in the Official Record; and

4.7.2.6 The appropriateness of all questions and the method of questioning. The Chair should

not allow any questions that are irrelevant, immaterial, unduly repetitious, or abusive.

The Committee shall keep a copy of all exhibits, whether admitted or not, for inclusion in the Official Record.

4.7.3 Testimony. Parties shall have the right to testify, to present testimony of witnesses and other evidence, to hear and question witnesses offered by the other party, and to examine all documents and other information considered by the Committee. If a witness cannot or will not appear, and the Chair determines that testimony of the witness should be admitted into evidence, the Chair shall identify the witness, disclose the statement of the witness and, if possible, provide for questions. So long as it does not substantially delay the Hearing process, the Chair may, at his or her discretion, call a recess so that reasonable time is provided for the examination of all evidence and for the preparation of appropriate responses. The Committee will carefully consider the weight and credibility of any written witness statements, taking into account whether it is sworn and that the witness is not subject to cross-examination, either of which may reduce its credibility.

4.7.4 Order of presentation. The standard order of presentation is as follows :

4.7.4.1 The Employee may make an opening statement that does not exceed 10 minutes;

4.7.4.2 The Respondent may make an opening that does not exceed 10 minutes;

4.7.4.3 The Employee presents the Employee's case through the Employee's own testimony, exhibits and witnesses. The Respondent(s) may question the Employee and the Employee's witnesses after the Employee finishes testifying/examining each of the witnesses. The Committee members may ask questions of the Employee/each of the Employee's witnesses after the Employee and the Respondent(s) finish their questioning. The Employee's case shall not exceed two (2) hours, excluding cross-examination of the Employee's witnesses by Respondent(s) or questions by the Committee;

4.7.4.4 At the conclusion of the Employee's presentation, the Committee will recess to consider if the Employee has met the Employee's burden of demonstrating that, using the standard of preponderance of the evidence (which is the same as the "greater weight of the evidence.") the Employee has experienced an injury that would entitle the Employee to relief and that such injury is remediable. If the Committee decides that the Employee's evidence is insufficient to meet the preponderance of the evidence standard, then the Committee shall adjourn the Hearing and prepare a report as outlined below.

4.7.4.5 If the Committee does not adjourn the Hearing at the conclusion of Employee's presentation of evidence, then the Respondent(s) may present evidence through the testimony of parties, exhibits, and witnesses. The Employee may question the Respondent and the Respondent's witnesses after the Respondent(s) finishes testifying/examining each of the witnesses. The Committee members may ask questions of the Respondent and each of the Respondent's witnesses after the Respondent(s) and Employee finish their questioning. Each Respondent shall have two (2) hours to present their case excluding cross examination of

Respondent(s)' witnesses by Employee or questions by the Committee

4.7.4.6 At the conclusion of the Respondent(s)' presentation, the Chair may allow the Employee and the Respondent(s) to present rebuttal evidence following the same format as set out above. Each party shall have an additional 30 minutes to present rebuttal evidence case, excluding cross examination by the other party(ies).

4.7.4.7 Once all of the evidence has been presented, the Employee may make a closing statement. The closing statement shall not include a discussion of information not presented in the Hearing and shall not exceed 20 minutes.

4.7.4.8 The Respondent(s) may make a closing statement. The closing statement shall not include a discussion of information not presented at the Hearing and each Respondent's closing statement shall not exceed 20 minutes.

4.7.4.9 The Chair shall adjourn the Hearing.

5. Deliberations and Report of the Review Committee

Upon the conclusion of the Hearing, the Committee shall deliberate and decide based solely on material presented in the Statement, the evidence presented at the Hearing, and such written or oral arguments as the Committee, in its discretion, may allow. The Committee should be careful not to simply substitute its judgment for that of the Respondent(s). The Employee has the burden of proof and must show, using the standard of preponderance of the evidence (which is the same as the "greater weight of the evidence") that the Employee has experienced an injury that would entitle the Employee to relief and that such injury is remediable. The Chair will prepare a brief written report of the Committee's findings and recommendations for the Chancellor (the "Report").

6. Official Record.

The Chair shall prepare the record (the "Official Record") of the review as outlined here:

6.1 The Official Record of the review process shall consist of all correspondence between the Committee or the Chair and the Employee and/or Respondent(s) pertaining to the review, and every document and exhibit that was either submitted to or given consideration by the Committee, along with the court reporter's transcript of the Hearing and the Committee's Report. Documents offered but not admitted in evidence shall be clearly labeled to that effect and placed in a separate file for record-keeping purposes and possible reference in the event a point on appeal relates to failure to admit evidence offered. All documentation relevant to the Committee's procedural rulings, factual findings, recommendations, and any other aspects of its final report shall be included in the Official Record.

6.2 The Official Record should be forwarded to the Chancellor along with the Committee's final report.

6.3 Once the Official Record has been delivered to the Office of the Chancellor, or a review is terminated, Committee members shall destroy in a confidential manner any extra copies of documents, and any personal notes taken during the Hearing process, consistent with the University's records retention schedule. Any original or unique records must be forwarded to the Chair for maintenance in accordance with the records retention schedule.

6.4 Delivery of Committee's Report.

6.4.1 The Chair shall send the Committee's Report, along with the Official Record of the review to the Chancellor. A copy of the Report shall be sent to the parties.

6.4.2 The Report should describe any recommendation in favor of the employee, as appropriate. Separate from issuing the Report, the Committee, through its Chair, may communicate to the Chancellor changes to the process the Committee deems reasonable.

6.4.3 The Committee shall attempt to complete this task within six (6) weeks after the Hearing.

6.5 Withdrawal of Request for Review. The Employee may withdraw the request for review at any time during the review process.

6.5.1 If the Committee has been appointed, the Employee shall provide the written withdrawal to the Chair. The Chair shall notify the Committee and the Respondent(s), with a copy to the Employee, and the review process will be closed.

6.5.2 If the Committee has provided its Report to the Chancellor at the time of the Employee's decision to withdraw the request for review, then the Employee shall provide the written withdrawal to the Chancellor. The Chancellor shall notify the Respondent(s) and the review process will be closed.

7. Chancellor's Decision

Upon receipt of the Committee's Report of the Hearing, the Chancellor may accept or reject any or all findings and recommendations of the Committee, may remand the matter to the Committee for further consideration, or may seek clarifying information from the Committee (the "Chancellor's Decision"). Unless the Chancellor deems it necessary in the best interest of the University to adjust the deadline, within twenty (20) working days of the Chancellor's receipt of the Report, the Chancellor shall notify the Employee of the Chancellor's Decision by a method of delivery that requires a signature for delivery, which includes, but is not limited to the following: certified or registered mail, return receipt requested, Federal Express, or another commercial delivery service that obtains a signature. The Chancellor shall send copies of the Chancellor's Decision to the Respondent(s) and members of the Committee.

8. Appeal of the Chancellor's Decision

8.1 If the Chancellor's Decision is favorable to the Employee, his or her decision shall be final. If the Chancellor's Decision is unfavorable to the Employee in a case involving separation from

employment or suspension without pay, the Employee will not receive further pay, without regard to whether there is an appeal to the Board of Trustees or the Board of Governors. The Employee may appeal an unfavorable Chancellor's Decision to the Board of Trustees (the "Board"), for the reasons outlined in Section 611 (1) (b) of The Code of The University of North Carolina. The appeal shall be transmitted through the Chancellor and be addressed to the Chair of the Board. No provision of this Policy shall be interpreted to extend an employee's right to pay beyond the expiration of the employee's term of appointment while an appeal is pending under this Review Process and Procedure.

8.2 If the Employee wishes to appeal an unfavorable Decision by the Chancellor, the Employee shall file a notice of appeal with the Chancellor, by certified mail, return receipt requested, or by another means that provides proof of delivery within 10 working days of the Employee's receipt of the Chancellor's Decision. The notice of appeal shall include a brief statement of the basis for the appeal, and allegations that the discharge, discipline or policy interpretation or application was illegal and violated a policy of the University or Board of Governors, or that the applicable notice requirements set forth in the Policy were violated.

8.3 The appeal to the Board shall be decided by the Board. The OUC shall provide an attorney to advise the Board of Trustees on procedural matters. The Board may delegate the duty of conducting a review to a standing or ad hoc committee of at least three (3) members. The Board, or its committee, shall consider the appeal on the Official Record. In all cases, review shall be limited to the question of whether the Chancellor committed clear and material error in reaching his or her decision.

8.3.1 The Board or board committee chair shall provide, by certified mail, return receipt requested, a written schedule (the "Schedule") to the Employee and to the Chancellor for the filing of objections to the Official Record and position statements. The Schedule, which may be altered as the Board chooses, may provide as follows:

8.3.1.1 the Employee shall have 10 working days after receipt of the Schedule to file objections to the Official Record with the Board, with a copy to the Chancellor;

8.3.1.2. the Employee shall have 30 working days after receipt of the Schedule to file a position statement with the Board, with a copy to the Chancellor;

8.3.1.3. the Chancellor shall have 30 working days after receipt of the Employee's position statement to file the Chancellor's position statement and response to objections to the Official Record, with a copy to the Employee.

8.3.2 The decision of the Board shall be the final Agency decision.

**Health Sciences Committee
September 18, 2014**

- Dr. Thomas gave an update on the College of Allied Health Sciences. The enrollment and application data was shown and he reported pass rates of 100% in several departments for 2013 and 2014. New Certificate Programs that have been added are the Registered Health Information Administrator (RHIA) certificate and Military and Trauma Counseling certificate. The new Research website features a monthly interview with a research faculty member from the College along with links to useful resources. The monetary total of awarded grants has increased significantly from 2013 to 2014. Dr. Horns announced his retirement party will be on October 13th and more information will be sent out to the Board.
- A report from Internal Audit concluded that the complaint that the BSOM did not solicit bids for the School's malpractice insurance since 2002 did not reveal any evidence that the University's process for engaging an insurance broker and purchasing medical malpractice insurance violates any applicable statutes or policies. Due to the recommendations set forth from the audit findings, a Professional Liability Insurance Program and Plan was presented for approval by the Board of Trustees. Ms. Jody Cook presented an overview of the Program Plan which included the areas of authority, confidentiality, program management, program oversight, requests for proposals for brokerage services, requests for proposals for professional liability insurance, feasibility study for self-insured retention program, periodic reporting, and annual program evaluation.

ACTION: A motion was made to approve the Professional Liability Insurance Program and Plan as presented to the Board with an amendment to add a sentence or clause to expressly allow for collaborative insurance arrangements. Motion Approved.

- Dr. Niswander and Mr. Jowers reviewed the financial year-to-date information as of the end of August 2014. The net income from operations is significantly better from last year. For FY 14-15, there is \$31.8M cash on hand covering 72.3 days. This will improve with the receipt of \$3M of UPL funds by October 31st. The ECU Physicians Practice Management Indicators showed improvements in several areas including a 42.7% change in pro-fee collections and 28.8% change in procedures as compared to August 2013.
- Mr. Jowers outlined the efficiency measures that are underway for ECU Physicians including activities with direct fiscal impact and clinical enterprise transformation activities.
- Informational fact sheets from each of the colleges and schools were included in the Trustees' board materials.

University Affairs Committee
September 18, 2014 at 10:40am

Board Members Attending: Davis (chair), Brinkley, Mabe, King, Scott, Joyner, and Brinkley

Others in Attendance: Ron Mitchelson, Virginia Hardy, Michael Van Scott, Austin Bunch and Steve Ballard

Research and Graduate Studies – Dr. Michael Van Scott - FY 14 Grant and Contract Activity

- Dr. Van Scott shared how we receive our extramural funding nationally (federal, industry, non-profit and other). From the federal government, the amount provided has been relatively flat for the last 10 years. These federal government dollars are broken into program funding and primary investigator money. We have not typically competed for the program funding, but we need to do so. Dr. Van Scott believes that as federal and state dollars go away from research more industry dollars will be available and we need to be in the game to compete. He explained the grant process from the time it is proposed to awarded dollars to expenditures to F&A Recovery. He compared ECU's proposals and awards and the graph appears to mirror the federal funding. (When the federal government cut funds, our numbers dropped). Since 2003, our R&D expenditures have gone from \$13 million to \$32 million and our national rank have gone from 264th to 233rd (which is the 36th percentile). Related to peers we are comparable for federal sponsors and ahead of our peers from industry sponsors. As our Dental Medicine and Engineering schools get engaged in research, we should be better positioned in the long run.

Academic Affairs – Interim Provost Ron Mitchelson

- **Strategic Plan Next Steps – Austin Bunch**
 - Dr. Bunch walked through recent work accomplished toward the completion of the Strategic Plan. There is a strategic marketing and communications plan to get the Strategic Plan spread across campus. There are now 25 units that are working with the university strategic plan to build their own plans. These units are quickly working to complete their respective plans by November 15th. The plans will be reviewed and approved for each of the 25 plans. Each plan must address all three commitments, incorporate diversity and efficiency elements, be Bold, Authentic and Distinctive, and be aspirational. There is a new website created for the Strategic Plan (www.ecu.edu/beyondtomorrow).
- **KPI Indicators – Ying Zhou – STEM and Health Fields**
 - Dr. Zhou discussed the key performance indicators for degrees awarded in STEM and Health fields. The number of degrees awards is around 2,100 over the last 4 years. For transfer students one-year persistence rate, these students are retained at about 84.2%, which is up from 78% since 2007-08. Pitt Community College, Wake Tech, Wayne CC, Craven CC, and Lenoir CC are the top feeder community colleges. The Board discussed that we remain focused on getting our pieces of the pie from the high school student perspective. Even though the high school pools are decreasing, we need to build better bridges to our key feeders.
- **Intercollegiate Athletics Survey – John Fletcher**
 - He discussed the survey process and who was involved in putting this together. This survey included graduate success rate, innovative practices at ECU, grade point averages and financials. **Motion was made to accept the report, seconded and approved without dissent.**

Student Affairs – Vice Chancellor Virginia Hardy

- **Freshman Survey**
 - Beginning College Student Engagement survey – 94% completed the survey. 64% say ECU was the first choice. More than half are first generation students. 91% expect to graduate and 8 percent are uncertain. 49% of freshmen had jobs in high school.
- **Housing Update**

- Started year with 133 students living in temporary housing (with RA's or converted lounge areas). Now down to 85. Contracting with North Campus Crossing for 42 beds – leaving 43 in temp housing, but no more in lounge areas. Gateways East and West come online in Fall 2015. The Tom Taft Complex will also come online in Fall 2015.

- **Enhance Safety Measures**

- The Pirate Express (Thursday-Saturday nights) has added a route that is taking students from downtown to apartments and locations in the TRUNA area. This has helped with reducing the opportunities for assaults. This is being funded by SGA to be a service for the students.
- The Good Samaritan Policy has been implemented at ECU. This is a policy that allows for a student that is need of medical attention as it relates to alcohol/drugs and because they called for help, they don't get into trouble.
- The Governors initiative (College Recovery Campus) focuses on underage alcohol and substance abuse. The decision about the funding for these initiatives should be decided very soon so that we can move forward.
- All freshmen are required to take the Safety Module, which discusses alcohol/substance abuse and sexual assaults.
- A program called Back on Track is looking at the students have received educational sanctions and tracking how they are doing afterward.

- **Student Conduct Process Update**

- From the external review, Dr. Hardy shared updates including the timeline for the Code review and implementation in early 2015. There will be a communication plan that will roll out with the changes to the code and explanations about the process changes.