

## Report of the Audit, Risk Management, Compliance, and Ethics Committee for February 11, 2021

### Operational Metrics Review

The committee reviewed the operational metrics related to Internal Audit, Healthcare Compliance, Research Compliance, and Athletics Compliance. For the year to date, Internal Audit is ahead of schedule on audit plan completion, and slightly below the metric for the auditor productivity rate. Management has completed or made satisfactory progress on 100% of the audit recommendations that Internal Audit followed up on during July and August.

Athletics Compliance and Healthcare Compliance are exceeding their metrics for the number of compliance education sessions. The NCAA and federal healthcare regulations have been very fluid due to the pandemic and this has resulted in a greater need for monitoring and education by those respective compliance offices. Healthcare compliance is also exceeding the metric for the number of provider documentation reviews that have been completed. For the year to date, healthcare providers have an 90.7% pass rate, slightly above the 90% benchmark.

### Action Items

Mr. Wayne Poole presented changes to the University's annual audit plan. Two audits were removed and one audit was added to the plan. The committee approved the changes as presented in the Board materials.

### Informational Items

#### **Enterprise Risk Management – Ms. Stephanie Coleman**

Ms. Coleman presented the University's top enterprise risks matrix, which included the responsible senior management official for each risk. The matrix included communications and steps that have been taken on each risk.

#### **Top Risk Update – Workforce and Employee Wellness**

Chief Human Resources Officer Kitty Wetherington presented information on the University's employee wellness initiatives. Workforce retention, morale, and wellness has been identified as a top risk to the University.

#### **Office of Internal Audit – Mr. Wayne Poole**

Mr. Poole reminded the committee that the University's annual financial statement audit has been completed by the North Carolina State Auditor. The external audits of ECU's affiliated entities have also been completed. All reports contained no findings, meaning the external auditors found no internal control weaknesses that were deemed likely to have an impact on the entities' financial statements.

Mr. Poole reminded the committee that the external Quality Assessment Review of the Internal Audit activity is underway and should be concluded in the next few weeks. The committee will receive the report when it is published.

Mr. Poole provided an update on the internal and external audits related to the federal and state pandemic relief funds that the University has received. The audits are intended to provide assurance that the funds have been used in a manner that is consistent with their intended purpose.

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Mr. Chairman, that concludes my report.

**University Affairs Meeting – Board of Trustees**  
**February 11, 2020**

**BOT Members Attending:** Leigh Fanning (chair), Max Joyner, Vince Smith and Tucker Robbins

Meeting started at 9:10am.

Ms. Fanning opened the meeting at 9:10am by reading the conflict of interest statement as well as the Jurisdiction Review and Conduct Statement for University Affairs.

Meeting from the November 2020 UA meeting were approved without dissent

- **Metrics**
  - **Academic Affairs – Grant Hayes**
    - On target to welcome good freshman class for fall 2021. We have already broken freshman application numbers (21,410 received to date – that’s 1,097 more than the end of the last year cycle). More than 18,000 students have been admitted. The deadline is April 1. Enrollment deposits do trail behind last year but since the housing contracts opened, we have made gains on that. Our early indicators are looking good, but student engagement in the spring and summer will be key for transfer and graduate students. Grad admissions are up by 12 and overall applications are up by 474 by last year and we expect those to go up in the next two months.
  - **Research – Mike Van Scott**
    - We are up by about \$17 million for awards and sponsored awards. We are up for the total year. Sponsored programs dollars are growing a bit faster than our research, but all are growing. We expect growth to continue but are watching as we have a transition in the federal government.
  - **Student Affairs – Virginia Hardy**
    - Housing contracts are just beginning with those since it opened in January. We are hoping for a target goal for 4,250 for first time-first-year students. One of the biggest challenges will be what the pandemic brings for us.
    - Counseling numbers – we saw 29% fewer from Fall 2020 and Fall 2019. The wait time was much lower due to teletherapy. Depression, isolation, relationship problems, disconnected and academic struggles are many of the issues students are facing.

- **Divisional Reports**

- **Academic Affairs – Grant Hayes**

- We have 68% of classes held online for spring 2021 (32% in person). We have made the classrooms very safe with social distancing. We are going to offer 17 Pirates Aboard days this spring for students and families to come to campus and visit as they look to make their decision. This will be focused on the colleges and departments and each session will be capped with a safe number.

- **Student Affairs – Virginia Hardy**

- We started in the spring with about 1860 students in the hall – we have about 1825 currently. We did entry testing for students before they came back to the halls. This worked perfectly and prevented students that were positive from coming to ECU. As of Feb. 10, we only have 20 students that want to live on campus but haven't gotten medical clearance yet. We did mass testing of all students in the residence halls last week (the students in the halls have done a great job with compliance) – out of the 90% tested in the halls (some were exempt) we had a very small number that tested positive. They moved to Q&I and are doing well. We have done more testing through the semester so far and will keep testing. We have only a little over a 1% positivity rate, which is quite impressive. The students in the Outer Banks have been monitored and cared for too. We have 14 people currently in Q&I in College Hill Suites and we are taking care of them and also doing some programming for them to remain connected. We continue to do contact tracing (we have nearly 200 people working on contact tracing). A vaccine clinic (SHS has been approved to distribute the vaccine) will be operating in the next couple of weeks once the supplies are ready – the location will be in the Croatan. The number of large gatherings started quite high at the start of the semester, but it has been going down and folks are more compliant. We have concerns once the weather gets better, but we are really trying to stay strong and communicate with our students to have an investment in keeping ECU safe. We are doing 25% testing in the halls each week to stay on top of our rates. We are using Wastewater testing to help get out in front of the virus and this is working well too.

- **Research – Mike Van Scott**

- Our students came back in the spring and were able to re-engage – we are prioritizing our needs for students and suspended any non-essential activities until the post-holiday surge. That is going by now and students are re-connecting. In addition to the wastewater testing, we have researchers that are also doing air testing in the residence halls and this going well too. Once the saliva testing is able to go forward, Brody and Vidant will be working with ECU on getting this rolled out.

### **Spotlight Colleges**

- **College of Education – Art Rouse, acting dean**

- Challenges due to COVID included interactive modules, personalized instruction, the holistic needs of our students and innovative instructional methods. He shared some student testimonials regarding the work COE has done to help during the fall and spring. Some successes are being seen at the teaching licenses and community school. He shared some of the service elements from COE related to the Rural Education Institute (1500 participants = 120 hours of service). Faculty have provided support to families and schools in the state and region totaling more than 1,400 contact / services hours. In transformation categories, a \$3 million grant funded the PIRATE Leadership Academy to train principals to serve in rural eastern NC. Counselor Education received a million-dollar grant from SAMHSA in the US Dept. of Health. More than \$35 million in total awards and nearly \$15 million in external funds have gone to the COE in 2019-20.
- **College of Health and Human Performance – Anisa Zvonkovic**
  - HHP is looked at as the Home of Prevention Science in varied disciplines through research, teaching, training and service. Many HHP graduates seek professions in public service and public health agencies. We have close to 4,000 students and they are producing a strong level of return on our investment in many of our programs. Sponsored programs are up in significant numbers in the last couple of years. Research awards have also gone up. She featured one of the programs in HHP called the Design for Disability in 2019-20. This is a multi-disciplinary effort with CET, Geography, and Athletics. Another program called Aging Well Together in 2020-21 include monthly brown bags with a movie festival coming up in late February. We will have Diane Rheem from NPR as a part of the panel presentation as well as a documentary director for the film being shown. An upcoming program in 2021-22 is called Trauma and Resilience. This will be an intersection of research and application on various topics and will include a film series.

Meeting Adjourned at 10:13 am

Advocacy AdHoc Committee meeting  
ECU Board of Trustees  
February 11, 2021

Members present: Scott Shook (Chair), Angela Moss (Vice-Chair) Leigh Fanning, Max Joyner, Jr., Vince Smith

Mr. Shook called the meeting to order and Assistant Secretary to the Board, Megan Ayers, called the roll. A quorum was established. The State Government Ethics Act was read and no conflicts of interest were identified.

Mr. Shook asked for a motion to approve the minutes from the November 5, 2020 committee meeting and the motion was made by Mr. Joyner and seconded by Mrs. Fanning. After a roll call vote, the minutes were approved.

The committee moved to Committee Liaison Updates from committee members. Ms. Moss provided an update on her interactions with Board of Governors members. The next Board of Governors meeting is scheduled for February 17 and 18 and will be held in a virtual/in-person format. Mrs. Moss will update the committee at the next meeting on additional ways for Board of Trustee members to interact with Board of Governors members.

Mr. Shook updated the committee on the ECU Board of Visitors meeting that took place in January. Mr. Shook relayed comments to the BOV on behalf of the BOT. The remarks were well received, and the Board of Visitors are looking forward to the upcoming arrival of Chancellor-Elect Rogers to campus next month.

Mr. Shook updated the committee on the Pirate Club. He is scheduled to provide remarks to the Pirate Club Executive Board at their March meeting. He plans to share an update similar to what he shared with the Board of Visitors.

Mrs. Moss recently met with the Chair of the Medical and Health Sciences Foundation Board and the discussed ways the MHSF Board and the ECU Board of Trustees can work together. The MHSF Board meets March 25 and Chancellor-Elect Rogers will provide remarks to the Board. Mrs. Moss will also be in attendance. She plans to bring back a report to the next Advocacy Committee meeting on accomplishments of the MHSF Board.

Mr. Shook called on Mr. Smith to provide an update to the board on the Alumni Association and ECU Foundation boards. Mr. Smith plans to meet with both boards in the coming months and he will bring a report back to the Advocacy Committee on both meetings.

Mr. Shook called on Michelle Brooks to provide a State Relations update to the committee. Ms. Brooks summarized the process of General Assembly meetings and their committee selections for upcoming assembly sessions. She discussed short and long session plans for budget and other pieces of related legislation.

Mr. Shook and Mrs. Brooks gave a brief summary of plans for an ECU Day at the North Carolina General Assembly. Plans for the day will be based solely on what rules are in place for visitors to the legislature with respect to the ongoing pandemic.

Hearing no further business to come before the board, Mr. Shook asked for a motion to adjourn. The motion was made and seconded. The meeting adjourned.

**Highlights - Athletics & Advancement Committee  
February 11, 2021**

Athletics

Annual Fund renewals went out recently. The Annual Fund is currently in the green primarily due to the We Believe campaign which brought in \$976,000.

With the upcoming 86 events over the next couple of months expenses will start trending upward.

Football season ticket applications will be mailed March 1. Season ticket prices will remain the same as last year.

The Academic Progress Rate (APR) is at 984 which is the highest ECU has been in six years.

The reinstatement process of swimming and tennis is going extremely smooth so far.

Intercollegiate things that are currently trending:

- Name, image, and likeness - rights which allows athletes to profit is still a hot topic.
- One-time transfer exemption which allows students to transfer without sitting out a year. This has a potential to cause universities to “re-recruit” their current plays.
- Supreme court to hear NCAA v. Alston case regarding amateurism.

Morale in the athletic department is reported as good because of good communication and support from the chancellor. The staff have a good understanding of where things are.

Advancement

East campus fundraising is in the green and the goal for this is year, \$20M has already been met. A recent gift of \$1.9M from the Golden Leaf Foundation was a collaboration of efforts across academic units and campus leaders. Next month, March 17<sup>th</sup> is Pirate Nation Gives (PNG) Day.

To date, west campus has raised over \$6M. Last year’s total gifts were \$7.5M.

Dr. Mitchelson recommended the following five current buildings for re-naming with the Proposed New Name:

<b>Current Name</b>	<b>Proposed New Name</b>
Jarvis Hall	Pamlico Hall
Joyner (West) Library	Main Campus Library
Joyner East	School of Communication
Cotton Hall	Albemarle Hall
Fleming Hall	Currituck Hall

The BOT policy on the criteria for naming, the university’s commitment and responsibility to diversity and inclusion from the Strategic Plan and the ECU Creed were all addressed as well as the University’s pledge to act against racism and injustice. Examples of re-namings that have taken place at other institutions were shared. The committee encouraged a comprehensive look at all namings and asked the Chancellor to return at the next meeting with standards that are objective and consistent and can be used for pending and future re-namings.

There are three naming opportunities for full board approval.

Finance and Facilities Committee meeting  
ECU Board of Trustees  
February 11, 2021

Members present: Bob Plybon (Chair), Jason Poole (Vice-Chair), Van Isley, Max Joyner, Jr., Angela Moss.

Chair Plybon called the meeting to order and Assistant Secretary to the Board, Megan Ayers, called the roll. A quorum was established. The State Government Ethics Act was read, and no conflicts were identified.

Mr. Plybon welcomed Stephanie Coleman, Interim Vice Chancellor for Administration & Finance, to the committee meeting and thanked her for assuming the interim role.

#### Approval of Minutes

Mr. Plybon asked for a motion to approve the minutes from the November 5, 2020 committee meeting and the motion was made by Mr. Joyner and seconded by Mr. Isley. After a roll call vote, the minutes were approved.

#### Review of Operational Metrics and Financial Audit Results

Interim Vice - Chancellor Coleman provided a review of the operational metrics to the committee. She highlighted changes in state fund expenditures, unrestricted fund balances, and auxiliary fund balances, changes in tuition revenues, mandatory fees and changes in long term debt.

Interim Vice-Chancellor Coleman also went over financial audit results, which were also explained during the audit committee meeting earlier in the day. ECU received an unqualified opinion on the audit. An unqualified opinion means no major issues were raised after review of the audit. The audit also shared information on operating expenses by function during fiscal year 2020.

#### Information Items

- A. Comprehensive Budget Report – Chair Plybon asked for any questions on the comprehensive budget report provided in meeting materials. No questions from the committee.
- B. Report of Approved EHRA Employee Salary Adjustments – Chair Plybon opened the floor for questions related to EHRA Employee Salary Adjustments and there were no questions.
- C. Pension Report – the pension report was included in meeting materials, no questions from the committee.
- D. Designer selections since last board meeting – Chair Plybon called on Bill Bagnell to present on designer selections since the last board meeting in November 2020. There were two renovations in which designers were selected and the information is included in board materials.



- E. Capital Projects approved since last board meeting – Bill Bagnell provided updates to the board on capital projects under \$750,000 with approval authority delegated to the Board of Trustees Finance and Facilities Committee Chair since the November 2020 board meeting. All project information is included in board materials and there were no questions from the committee.
- F. Capital Projects update - Bill Bagnell provided updates to the board on the progress of capital projects since the November 2020 board meeting. All project information is included in board materials and there were no questions from the committee.
- G. BOG Project submission for capital authorization – Bill Bagnell updated the committee on a project submitted to the Board of Governors for consideration at the February 18, 2021 meeting. The proposed project is the Health Science Campus Heat Plant Deaerator Tank and the project authorization is in the amount of \$935,000.

#### Meeting Adjournment

Hearing no further business to come before the board, Chair Plybon adjourned the meeting.

**Health Sciences Committee**  
**February 11, 2021**

- Minutes from the November 5, 2020 meeting were approved.
- Dr. Mark Stacy reviewed the Health Sciences Division metrics. ECU Physicians missed financial targets; however, overall volumes and gross charges continue to improve. The UPL payment, budgeted to be received in Dec. was received in Jan. and resulted in a \$2.5M reduction in expected revenue. Outpatient visits are up FYTD 1.5% and revenue continues to improve. Personnel expenses are 6% lower than budget and behind prior year actuals by 1%. The number of scholarly publications continues to rise with YTD totals well above target.
- Dr. Mark Stacy updated the committee on COVID-19 related activities of the Brody School of Medicine. The funds invested by the state have been fully expended. Dr. Pete Schmidt is studying the spread of COVID cases in partnership with the Dartmouth Atlas team. NC's highest at-risk population is in the east. Our mission, regarding the health of our region, means we focus on the health of some of America's highest-risk populations. ECU is a leader in convalescent plasma transfusions and monoclonal antibody trials and has received multiple secondary grants for research and treatment advances. Our faculty have demonstrated that we have both the will and the expertise to effectively shepherd valuable resources and deliver outcomes that benefit the people of ENC and the state. Vans were purchased with CARES funding for the purpose of providing health related services to remote and underserved populations. The Brody School of Medicine is partnering with public health departments to administer COVID vaccine to residents of group homes and long-term care facilities.
- Dr. Jason Foltz, Medical Director of ECU Physicians, updated the committee on the status of vaccine administration in North Carolina. He reviewed the work of ECU Physicians and Student Health Services to establish a process and timeline for vaccine delivery to ECU faculty, staff and students. Over 2,500 first dose and nearly 1000 second dose vaccinations have been administered. No doses have been wasted.
- Dr. Herb Garrison, Interim President of the Medical & Health Sciences Foundation, provided an update on foundation activities. YTD performance is 26% higher than the previous year.
- Ms. Natalie Broder, Master of Public Health student, discussed her experiences as a student at ECU, her impetus for choosing ECU and her plans for the future.

Economic Development AdHoc Committee meeting  
ECU Board of Trustees  
February 11, 2021

Members present: Jason Poole (Chair), Van Isley (Vice-Chair), Fielding Miller, Bob Plybon.

Chair Poole called the meeting to order and Assistant Secretary to the Board, Megan Ayers, called the roll. A quorum was established. The State Government Ethics Act was read, and no conflicts were identified.

Chair Poole asked for a motion to approve the minutes from the February 6, 2020 meeting. The motion was made and seconded. Megan Ayers, Assistant Secretary to the Board of Trustees took a roll call vote and the minutes were approved.

Chair Poole called on Dr. Michael Van Scott, Interim Vice Chancellor of research, economic development and engagement to introduce the student presentation. Dr. Van Scott introduced Oswaldo Rangel Corona to share his experience at ECU as a junior majoring in entrepreneurship in the Miller School of Entrepreneurship. In conjunction with his studies at ECU, Oswaldo is working with Mr. Beast, a well-known YouTuber. Oswaldo is also operating a philanthropy focused on fighting poverty and food shortages in Eastern North Carolina. He currently has twelve employees and will hire more soon.

Chair Poole called on Keith Wheeler and Sharon Paynter to provide an update on the status of the research and innovation campus. Mrs. Paynter shared a brief history on centennial campuses in North Carolina, the design and development currently taking place on ECU's research and innovation campus, existing assets and active construction currently happening on the campus. Mr. Wheeler shared exciting pharma development news recently announced at ECU.

Merrill Flood and Stephanie Coleman brought an update to the committee on Intersect East and hotel development. ECU is collaborating on the project with Elliott Sidewalk Communities. Intersect East provides a crossroads where academia, business, culture and community will converge. Mr. Flood shared key accomplishments on site plans and plans for construction to begin in Summer 2021, if all goes as planned.

Hearing no other business to come before the board, Mr. Poole adjourned the meeting.