

**AGENDA**  
**University Affairs Committee**  
**February 10, 2022**

- I. Approval of Minutes – November 11, 2021
- II. Review of Operational Metrics
- III. Action Items:
  - A. Revision to Faculty Manual Part VIII.I.I: Personnel Policies & Procedures
  - B. Patent Policy Revisions
- IV. Information Items:
  - A. Three-Minute Thesis (3MT) – Student Presentation
  - B. Student Resilience in a Pandemic– Student Presentation
  - C. Project Kitty Hawk
- V. Closed Session



**University Affairs Committee**

February 10, 2022

Agenda Item: I. Approval of Minutes - November 11, 2021

Responsible Person: Leigh Fanning  
Committee Chair

Action Requested: Action

Notes:

**University Affairs Meeting – Board of Trustees**  
**November 11, 2021**  
**Main Campus Student Center / Virtual**

**BOT Members Attending:** Leigh Fanning (chair), Chandler Ward, Tom Furr, Jeff Roberts, and Vince Smith.

Meeting started at 2:15pm.

Ms. Fanning opened the meeting at 2:15pm by reading the conflict of interest statement as well as the Jurisdiction Review and Conduct Statement for University Affairs.

Meeting from the September 2021 UA meeting were approved without dissent

- **Metrics**
  - **Academic Affairs – Grant Hayes**
    - New freshman applications are slightly behind last year's pace – largely because the free app days reduced from 12 to 5 from last year to this. NC resident applicants went down, but out of state applicants went up 500-600 apps. Enrollment deposits are trending slightly behind last year, but it's still early in the cycle. Transfer applications are similar to last year even though it's still early. We expect a spike to be higher later in the cycle. Enrollment – registration opened last Friday – we are seeing about 175 ahead for spring enrollment (YTD) in 2022.
  - **Student Affairs – Virginia Hardy**
    - Housing – we don't start that process until this month so we will have better numbers at the next BOT. The contracts go live this month – earlier than in the past – this is a good thing. We are going to market to transfers for more space designated for them. College Hill Suites will still have Q&I space but the rest of the building will go back to a residence hall as normal.
    - Counseling – YTD comparison – we are serving students more this fall and that is up even compared to pre-COVID years.
  - **Research – Mike Van Scott**
    - After a slow start in July, many of our metrics are tracking back toward our five-year goal – this is a good sign.
- **Action Items**
  - **CONFERRAL OF DEGREES** - I move that the candidates for degrees, as approved by the Chancellor and the Faculty Senate, be authorized for conferral at the annual Fall Commencement on Friday, December 17, 2021.
    - **MOTION – Chandler Ward made motion for conferral of degrees, seconded by Vince Smith– approved without dissent.**
  - **Honors College (HC) Spotlight**

- Dean David White explained the history of the Honors College – We are at close to 800 students, and they all receive scholarships. The highest level is called the EC Scholars and typically we have 80 EC Scholars at any given time (20 per year). Dean White would like to introduce a proposal that would help us consider out of state students as an in-state status. The graduation rate for HC is around 95% and the retention rate is around 98%. Most students come from North Carolina, but we have an international student as well as students across the country. Again, the out of state tuition can be a barrier to these high-level students coming to ECU. We have started admitting transfer students from the NC Community Colleges to the Honors College (new this year).
- The breakdown for HC students each year is: 20 EC Scholars – 80 Chancellor Scholars and 100 Centennial Scholars.
- Dean White explained some of the benefits of being affiliated with the Honors College including Grad Admission Priority Admission and Priority Registration each semester. Students work individually and in groups in their courses and curriculum. The HC also has an Innovation Design Lab which is used specifically by the HC students.
- We have had two Goldwater Award recipients in the last year and before that ECU only had one recipient ever. Many of our HC students move on to graduate school and are getting into elite colleges across the country because of their opportunity at ECU.
- Associate Dean Todd Fraley explained the request from the Honors College to allow out of state students trying to become EC Scholars to be treated as in-state students and only pay in-state rates. This practice does happen at other schools and the statute exists for ECU to follow.
- **MOTION – Chandler made a motion to follow the general statute as presented in board materials. Vince Smith seconded. This will go to the full board on Nov. 12.**

- **Informational Items**

- **Student Mental Health**

- Dr. Virginia Hardy introduced Dr. Valerie Kisler-van Reede and Steven Trotter to discuss the holistic approach to mental health and well-being. The mental health crisis isn't a college campus issue, it's not an ECU issue either – this is a young person's issue and the pandemic hasn't helped.
- Dr. Kisler-van Reede shared some data from the First Year Assessment report conducted in summer 2021. Specifically, data related to stress, mental health, and loneliness. There is a direct correlation between those suffering in mental health issues and academic success and engaging with these students can be key to their overall success. She shared that we are struggling to keep counselors as private practices are recruiting our staff and offering them more money and flexibility by working from home. Case complexity continues to be enhanced and the pandemic and online learning have added to more troubles for students.

- She shared the fall 2021 data that shows students across all classes are having mental health issues. It is no longer a first-year college student problem. She shared a new program called My SSP (Student Support Program) which has provided 24/7 support that helps the influx of caseloads with staff.
  - Steven Trotter discussed the focus is on prevention through the elements of well-being including career, social, financial, physical and community. He explained the philosophy of surviving, striving and thriving and he talked about how our bodies are like a gas tank – recognizing when the tank is low and how to refuel the tank. Steven shared some of the signature prevention strategies programs and workshops and how they connect to the well-being of our students. It puts students in situations where they can prepare for life situations and then become empowered to handle them.
- **Career Services and Academic Planning**
  - Tom Halasz and Patrick Roberts from Career Services talks about Career Readiness at ECU. He discussed the Career Advocate Network that is training for faculty and staff to better prepare students for career options. This has been very successful. The Career Readiness Continuum demonstrates how Career Services are provided in conjunction with faculty from the first year through to the senior year and also serves graduate/professional students and alumni. The virtual interview practice and mock interviews have been widely successful and embraced by students and employers. Handshake is the software system we use in Career Services including nearly 5,000 appointments and 225 academic unit partnerships.
  - Patrick shared some data specifically from Career Fairs over the last five years. He stated that partnerships with academics have been huge for maintaining student engagement during the pandemic. From the CET Fair, he shared that Amazon attended for the first time ever and student engagement for these events are very high.
  - Ram Khatiwada with IPAR shared some data from the First Destination data. He shared some data specific from the college level – from the College of Nursing he was able to share how many graduates have jobs, a map of where the students are working and he showed the ability to drill down to NC and even the county level. He also demonstrated how the dashboard works for the College of Engineering and Technology and how we can drill down from graduation numbers to enrollment information too.
  - Tom shared three students and their success stories of how they navigated the Career Services process that have led to internships and job opportunities including interviews and job offers.

Meeting Adjourned at 3:23 pm



**University Affairs Committee**  
February 10, 2022

Agenda Item: II. Review of Operational Metrics

Responsible Person: Grant Hayes  
Interim Provost

Mike Van Scott  
Interim Vice Chancellor, REDE

Virginia Hardy  
Vice Chancellor, Student Affairs

Action Requested: Information

Notes:





**University Affairs Committee**

February 10, 2022

Agenda Item: III.A. Revision to Faculty Manual Part VIII.I.I  
Personnel Policies & Procedures

Responsible Person: Grant Hayes  
Interim Provost


Action Requested: Action

Notes:





**TO:** Scott Shook  
Chair, ECU Board of Trustees

**FROM:** Grant Hayes, Ph.D.   
Interim Provost and Senior Vice Chancellor for Academic Affairs

**DATE:** February 3, 2022

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

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I respectfully request the Board of Trustees approve the recommendation to revise the *ECU Faculty Manual*, Part VIII.I Personnel Policies and Procedures for the Faculty of East Carolina University. These revisions were approved by the Faculty Senate April 27, 2021 and approved by the Chancellor December 14, 2021 (with additional edits incorporated into the attached).

Attachment:  
Resolution #21-41, Revisions to *ECU Faculty Manual* Part VIII.I Personnel Policies and Procedures for the Faculty of East Carolina University

Resolution #21-41

Approved by the Faculty Senate: April 27, 2021

Approved by the Chancellor: December 14, 2021 (with additional edits incorporated into the text below)

Approved by the Board of Trustees: pending approval

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

Additions in **bold** and deletions in ~~strikethrough~~.

I. Selection and Appointment of New Faculty

A. Determination of Number and Nature of Positions

Since faculty members of each academic unit are responsible for the curriculum, they shall make recommendations on the personnel needs of the unit. All faculty appointments shall be initiated by a recommendation of the Unit Personnel Committee unless otherwise specified in the Unit Code (FS Resolution #20-57, November 2020).

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

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

**The system of academic tenure serves the interests of East Carolina University by safeguarding academic freedom and ensuring the open inquiry and expression that are essential for student learning and the advancement of knowledge. As such, ~~In general,~~** tenured and probationary term (tenure-track) positions are preferred unless sound reasons exist **for fixed-term appointments**. Such reasons include, but are not limited to; (a) the position is not permanently assigned to the unit, (b) the position is addressing temporary needs, (c) the position cannot be filled by a faculty member with a terminal degree, (d) the duties of the position are primarily clinical, (e) the position is by its nature term-limited (term-limited endowed professorships, for example), (f) this reflects the preference of the faculty member taking the position, or (g) budgetary or strategic considerations.

B. Selection Procedure

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

C. General Criteria

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

## 1. Tenured or Probationary-Term Positions

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

### **ECU defines faculty responsibilities as follows:**

- a. Teaching  
East Carolina University recognizes the primary importance of teaching. East Carolina University expects each member of the faculty to have knowledge of subject matter commensurate with one's teaching assignment, to maintain awareness of developments in one's discipline, and to communicate to students one's knowledge of and interest in the discipline. The faculty member will encourage students in responsible and careful inquiry, in appreciation of the interrelation of various disciplines, and in recognition of the uses of learning and the value of the educated mind. Teaching includes instructional activities and responsibilities beyond the classroom setting, e.g., advisement; mentoring; laboratory supervision; clinical rounds by a physician/professor accompanied by students; program direction; the direction of research projects and papers, dissertations, and theses; and other contacts and relationships outside the classroom.
- b. Scholarship (**Research, Creative Activity/Innovation, Engagement, and/or Outreach**)  
Scholarship refers to the scholarship of research, the scholarship of creative activity/innovation, and the scholarship of engagement and/or outreach. **All tenured and probationary (tenure-track) faculty members are expected to engage in research and creative activities that align with the institution's mission, and strengthen the academic programs and disciplines.**
- c. Service to the university, the profession, and the community  
East Carolina University considers service to the university, the academic profession, and the community as an important aspect of a faculty member's contribution. Expectations for service shall be described in the unit code. (See Section III.4). Faculty members' on-campus presence is expected to the extent necessary in the performance of these responsibilities.
- d. Patient care and related clinical responsibilities, as appropriate
- e. **Librarianship in support of the academic mission of the University, as appropriate.**

## 1. Tenured or Probationary-Term Positions

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

## 2. Fixed-Term Positions

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

**In cases where the position fulfills an ongoing unit need, adequate funding exists, and the candidate has demonstrated professional achievement, a multi-year contract should be considered.**

## D. Requirements for ranks and titles

### 1. General Provisions

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

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

### 2. Ranks of Probationary Term Appointments

#### Assistant Professor

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

#### Associate Professor

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

#### Professor

- has qualifications of the previous rank
- has an established record of excellence in teaching and other instructional responsibilities
- has a significant record of scholarship resulting in publication and/or other scholarly productivity appropriate to the discipline and established in the unit code.
- has demonstrated excellent ability and willingness to participate in departmental, college, and university affairs
- has a demonstrated record of significant service/clinical practice to the university and the discipline, where appropriate

### 3. Titles of Fixed-Term Appointments

**Initial appointment as a fixed-term faculty member may be at any title and is dependent upon the individual's qualifications. A faculty member may elect but is not required to seek advancement in title during their career at East Carolina University.**

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

**Professor or Teaching Professor:** Teaching Faculty support the academic mission of the University through instruction, advising, curriculum development, and other instructional activities. Teaching Faculty may engage in research and service activities if desired. Research and service activities should be stipulated in their appointment letter and unit workload assignment.

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

Teaching Instructor

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

**Appointment to the title of Teaching Instructor may be made for a fixed term of up to three years.**

Senior Teaching Instructor

**This title is normally appropriate for a Teaching Instructor who has a minimum of three consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

- ~~has qualifications of the previous title~~
- has **consistently** demonstrated **excellence in effective** teaching and/or other instructional responsibilities
- engages in professional development ~~activity~~ or **professional service activities**

**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

**Master Teaching Instructor**

**This title is normally appropriate for a Senior Teaching Instructor who has a minimum of six consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

- **Has demonstrated excellence in teaching**
- **Has established an excellent professional reputation among colleagues**
- **Is qualified and competent in mentoring others (such as students, instructors, etc.)**

**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

Teaching Assistant Professor

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

**Appointment to the title of Teaching Assistant Professor may be made for a fixed-term of up to three years.**

Teaching Associate Professor

**This title is normally appropriate for a Teaching Assistant Professor who has a minimum of three consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

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

**In recognition of the ongoing record of achievement represented by this title, appointment will typically be of three to five years.**

#### Teaching Professor

**This title is normally appropriate for a Teaching Associate Professor who has a minimum of six consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

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

**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

#### b. Faculty members with duties primarily in research

Research Faculty **contribute to the mission of the University primarily by engaging in scholarly or creative activity and/or supporting grants and contracts. Associated instructional responsibilities will be at the discretion of the unit and dependent upon the availability of funds. Research Faculty** members are typically funded externally. ~~Research faculty members are encouraged to give seminars and teach occasional courses in their specialty. Teaching is at the discretion of the unit and the availability of funds.~~

#### Research Instructor

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

#### Research Assistant Professor

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

#### Research Associate Professor

- has qualifications of the previous title **or equivalent professional qualifications**
- has extensive successful experience in scholarly or creative endeavors
- **engages in professional development or professional service activities**
- ~~has the ability to propose, develop, and manage major research projects~~

Research Professor.

- has qualifications of the previous title **or equivalent professional qualifications**
- ~~has established an excellent reputation among colleagues~~
- has demonstrated **excellence in** scholarly production in research, publications, professional achievements, or other distinguished and creative activity.
- **has established an excellent reputation among colleagues**
- **has attained national or international recognition as an authority and leader in an area of specialization**
- **has a sustained and substantive record of scholarship/creative activity**

c. Faculty members with duties primarily in clinical teaching

**Clinical Faculty engage in professional practice or service activities that support the teaching and/or supervision of students in academic, clinical or field settings.**

Clinical Instructor

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

**Appointment to the title of Clinical Instructor may be made for a fixed term of up to three years.**

Clinical Assistant Professor

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

**Appointment to the title of Clinical Assistant Professor may be made for a fixed term of up to three years.**

Clinical Associate Professor

**This title is normally appropriate for a Clinical Assistant Professor who has a minimum of three consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

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

**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

Clinical Professor

**This title is normally appropriate for a Clinical Associate Professor who has a minimum of six consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

- ~~has qualifications of the previous title~~
  - has established an outstanding reputation of excellence in clinical practice and teaching and/or other instructional responsibilities
  - **has established an excellent professional reputation among colleagues**
- In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

d. Faculty members with duties primarily in the libraries

**Library Faculty support the academic mission of the University through effective librarianship and where appropriate by engaging in instruction, research/creative activity, and service in support of the ECU Libraries and the profession.**

Library Assistant Professor

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

**Appointment to the title of Library Assistant Professor may be made for a period of up to five years.**

Library Associate Professor

**This title is normally appropriate for a Library Assistant Professor who has a minimum of three consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

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

**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

Library Professor

**This title is normally appropriate for a Library Associate Professor who has a minimum of six consecutive years of full-time service in that title or has equivalent professional qualifications and has met the following criteria:**

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



**In recognition of the ongoing record of excellence represented by this title, an appointment of up to five years should be considered.**

e. Additional faculty titles

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

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

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

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

4. Emeritus status

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

E. Initial Appointment

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

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

The appointment letter shall specify, at minimum: rank or title; salary rate; length of appointment, tenure status [either fixed-term, probationary-term, or appointment with

permanent tenure, as defined in the *Faculty Manual*, Part IX]; initial assignments and/or responsibilities; reference to the criteria for evaluation of faculty performance, as provided in Part IX, unit codes, and other appropriate documents; and any specific terms and conditions of employment.

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

## II. Assignments of Faculty Workload

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

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

### A. Teaching Responsibilities

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

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

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

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

### B. Scholarly Responsibilities

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

### C. Service Responsibilities

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

the effective and equitable operation of the unit.

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

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

### III. Annual Evaluation

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

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

This annual evaluation shall:

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

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

#### ~~A. Probationary term and permanently tenured faculty~~

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

#### **The annual evaluation shall consider, as appropriate:**

##### 1. Teaching

Teaching is the primary function of the university. Teaching includes instruction in the classroom, laboratory, clinic, studio, or other setting, online instruction, other forms of distance education, study abroad, service learning, student advising, mentoring student research, and other pedagogical activities.

Teaching shall be evaluated using information from multiple sources documenting accomplishments during the period under review, including those that follow below, where applicable in a given discipline or academic unit. Additional discipline-specific provisions may be found in the unit code (FS Resolution #12-76, July 2012).

## Instruction

### A. Instructional Materials

1. Syllabus, including the course description, student learning outcomes, and course requirements.
2. Student assignments, examinations, and other materials relevant to teaching.
3. New or revised course materials.
4. Examples of student work, such as tests, exams, quizzes, assignments, projects, papers, juries, or other examples of student achievement.
5. Grade distributions.
6. Evidence of pedagogical innovations in response to feedback and/or to promote student success.

### B. Student, Peer and Unit Administrator Review

1. The results of formal peer review, as detailed in Faculty Senate resolution #17-61, where required.
2. Direct observation of teaching (face-to-face or online) by the unit administrator.
3. University-approved student evaluations of the course and instructor **from the prior academic year's spring and summer semester and the current academic year's fall semester.**
4. Results of assessment of student achievement submitted by the faculty member or as otherwise enabled by the unit code.

## Workload

1. Courses taught and number of students taught.
2. Numbers of undergraduate, master's, doctoral, post-doctoral students, and students supervised in the clinic.
3. Number of master's theses and doctoral dissertations directed.
4. Number of memberships on doctoral dissertation and master's and honors research committees.
5. Number of honors research projects and theses supervised.
6. Number of honors courses taught.
7. Number of undergraduate research projects, directed readings, and independent studies supervised.

## Impact of scholarly activity on improving the quality of instruction at ECU or elsewhere

1. Awards and honors recognizing excellence in teaching.
2. Grants to support instructional activities and programs; if the activities are collaborative, the faculty member's distinctive contribution must be defined.
3. Recognition by professional organizations for leadership in educational endeavors.
4. Teaching workshops conducted.
5. Publication of scholarly articles addressing pedagogy (if not classified as Scholarship in the candidate's unit or discipline).
- 6. Contributions toward enhancing equity, diversity and/or inclusion at ECU or elsewhere.**
- 6-7.** State, regional or national leadership roles related to education.
- 7-8.** Invitations from other institutions to serve as an education consultant.
- 8-9.** Continuing education courses taught.
- 9-10.** Evidence of leadership and scholarly engagement in the development of pedagogy.
- 10-11.** Scholarly reputations of journals and publishers of teaching publications.
- 11-12.** Evidence that contributions to teaching are being adopted or are affecting teaching.
- 12-13.** Evidence of impact on the professional careers of others (e.g., former students, junior faculty, colleagues).

Student complaints may not be used to evaluate a faculty member unless they have been addressed under the provisions of Faculty Manual, Part VI, Section IV, subsection III, which defines faculty members' due process rights. (FS Resolution #19-09, February 2019)

2. Scholarship

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

3. Patient Care and Related Clinical Responsibilities

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

4. Service

Service on department, school, college, and university committees, councils, and senates; service to professional organizations; service to local, state and national governments; contributions to the development of public forums, institutes, continuing education projects, patient services and consulting in the private and public sectors; **Service that advances ECU's commitment to diversity, equity and inclusion shall be valued appropriately.** Unit codes should define these criteria, and relative importance, in detail.

5. Other assigned responsibilities.

**B. Fixed-term faculty members**

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

IV. Reappointment of Probationary-Term Faculty Members

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

V. Subsequent appointments of Fixed-Term Faculty Members

Refer to Part IX of the *Faculty Manual*.

VI. Professional Advancement

Promotion for tenured and probationary-term faculty members and advancement in title for fixed-term faculty members are means through which professional achievement is encouraged, recognized, and rewarded by the university. The evaluation of faculty members for purposes of promotion or advancement in title shall accord with the regulations established in the unit code and shall employ the criteria contained in the unit code approved by the Chancellor (*ECU Faculty Manual*, Part IV).

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

As a minimum, each unit shall:

- apply published criteria in teaching, scholarship, service, and clinical service, where relevant to the discipline, for evaluating faculty for promotion or advancement in title;

- make available procedures which will permit each faculty member to report achievements annually or on a more frequent basis; and
- inform each faculty member of the right to discuss his or her candidacy with the unit administrator and/or the appropriate unit committee at any time prior to the deadline for submission of materials.

**Upon request by a faculty member, the unit administrator and the appropriate unit committee shall evaluate the faculty member for promotion to the next rank or for advancement in title. Procedures to be followed for promotion or advancement in title are found in *ECU Faculty Manual*, Part IX and Part X.**

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

**A. Promotion for tenured and probationary-term faculty members**

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

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

**B. Advancement in title for fixed-term faculty members**

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

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

**VII. Salary**

**A. Initial Salary**

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

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

B. Determination of Annual Salary Increments

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

C. Benefits and Salary Increases for Fixed-Term Faculty

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

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

VIII. Faculty Personnel Files

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

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

B. Definition

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

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

Contents of the personnel file are kept in accordance with the Records Retention and Disposition Schedule approved by the Chancellor. Timing of storage and transfer vary depending on the specific type of document. Please refer to the following websites for additional information: [Records Retention and Disposition Schedule for the Institutions of the University of North Carolina System](#) and [ECU Records Management](#).

#### C. Location

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

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

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

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

#### D. Content

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

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



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

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

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

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

No material obtained from an anonymous source shall be placed in the personnel file except for data from student opinion surveys. Data from student opinion surveys shall be submitted by

the authorized surveying agent to the faculty member and the unit administrator. Administrators shall not keep secret files.

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

#### E. Access

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

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

#### F. Disclosure of Confidential Information

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

#### IX. Amendment Procedure

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

#### X. Effective Date

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

(FS Resolution #11-94, November 2011; FS Resolution #12-76, April 2012; FS Resolution #14-04, March 2014; FS Resolution #18-41, July 2018; FS Resolution #19-09; February 2019, FS Resolution #20-57, November 2020)



**University Affairs Committee**

February 10, 2022

Agenda Item: III. B. Patent Policy Revisions

Responsible Person: Marti Van Scott  
Director of Technology Transfer

Action Requested: Action

Notes:



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MEMORANDUM

To: ECU Board of Trustees

From: Marti Van Scott, Director Licensing & Commercialization

Subject: Approval of ECU Patent Policy POL10.40.01

Date: December 9, 2021

At its July 13, 2021 meeting, the Board of Trustees approved revisions to ECU’s Patent Policy that were submitted and reflected in the Interim Patent Policy. These revisions were deemed necessary to address an evolving trend to build and support an entrepreneurial ecosystem for ECU students. Previously, the Patent Policy addressed inventions and innovations of ECU faculty and staff, but not that of students. In addition to addressing student innovation and entrepreneurship activities, the Interim Patent Policy was further modified to bring it into alignment with changes to the regulatory landscape for federally funded inventions and reporting requirements. Finally, the policy was brought into alignment with ECU policies addressing conflicts of interest and external professional activities for pay. Additional refinements to the policy also included references to economic development and community engagement, addition of a definition section, and simplification of the revenue distribution formula.

The Interim Patent Policy has been approved by institutional constituents, including the Executive Counsel, Office of the University Attorney, Dean of Students, Assistant Vice Chancellor for Economic & Community Engagement, Interim Vice Chancellor for Research Economic Development and Engagement, Patent Committee and Faculty Senate. Acceptance of the Policy as a standing policy is now requested by removal of the term “interim”.

|                              |   |
|------------------------------|---|
| <b>Policy</b>                | POL10.40.01   |
| <b>Title</b>                 | East Carolina University Patent Policy  |
| <b>Category</b>              | Research Economic Development and Engagement  |
| <b>Sub-category</b>          | Technology Transfer   |
| <b>Authority</b>             | Board of Trustees   |
| <b>History</b>               | First issued: March 1984 Revised: August 27, 2012; December 5, 2012 Interim posted: April 16, 2013 BOT final approved: July 18, 2013; _____   |
| <b>Contact</b>               | Director, Office of Licensing and Commercialization 300 East First Street (Willis Building) Mailstop 163, East Carolina University Greenville, NC 27858-4353 (252) 328-9549 (Office) (252) 328-0799 (Fax) www.ecu.edu/ott |
|                              | UNC Policy 500.2-Patent and Copyright Policies  |
|                              | UNC Policy 300.2.2-Conflict of Interest and Commitment  |
|                              | UNC Code: Appendix I  |
| <b>Related Policies</b>      | UNC Policy 500.6 University Equity Acquisition Policy   |
|                              | REG10.40.02 East Carolina University Copyright Regulation   |
|                              | REG01.15.03-Regulation on Conflicts of Interest, Commitment, and External Professional Activities for Pay   |
|                              | ECU Faculty Manual Part VIII, (II) Policy on Conflicts of Interest and Commitment and External Activities of Faculty and Other Professional Staff   |
| <b>Additional References</b> | U.S. Patent Laws 35 U.S.C. \A7\A7 1-376<br>ECU Patent Assignment Agreement<br>Invention Management SOPs (TBD)   |

## 1. Introduction

1.1. East Carolina University (the “University”) is dedicated to the pursuit of education, research and public service, including economic development and community engagement in North Carolina. Inventions, discoveries, and other intellectual assets may arise as a result of the conduct of these activities by University personnel and others who use University facilities, equipment, materials, resources or funds administered by the University. The Board of Governors of the University of North Carolina determined that patenting and licensing these intellectual property assets is consistent with the purposes and mission of the University of North Carolina. This Patent Policy is subject to and supplements the patent and copyright policies of the University of North Carolina.

## 2. Coverage

2.1. University Personnel. This Patent Policy applies to all University personnel and others as a result of use of University facilities, equipment, materials, resources or funds administered by the University. This Patent Policy is a condition of employment of every employee of the University and attendance of every student at the University.

2.2. Non-University Persons. Upon prior written agreement between non-University persons or entities and the University, this policy may be applied to persons not associated with the University who make their Inventions available to the University under circumstances where the further development and refinement of such Inventions are compatible with the mission of the University.

2.3 Implementation. The Office of Licensing and Commercialization (“L&C”) is responsible for implementing this policy, including developing procedures designed to supplement and interpret the ownership aspects of this policy, providing advice regarding ownership of specific works, releasing institutional rights, and accepting an assignment of rights to the University from an Inventor.

2.4 Patent Committee. The Patent Committee, appointed by the Chancellor or designee and consisting of no less than three members, is charged with reviewing and recommending to the Chancellor, or his delegate, the procedures for the implementation of this policy; resolving questions of Invention ownership that may arise between the University, university personnel and other individuals; recommending to the Chancellor the expenditure of the patent royalty fund; and making such recommendations as are deemed appropriate to encourage disclosure and assure prompt and expeditious handling, evaluation, and prosecution of patent opportunities; and to protect the interests of both the University and the public. The Director of L&C shall chair, administer and provide support for the Committee.

## 3. Definitions

3.1 “Gross Revenue” means all income received by the University as consideration for a license, option, or other transfer of rights to Inventions that are subject to the Patent Policy. Gross Revenue may include option fees, royalties, license issue fees (whether cash or equity when liquidated), milestone payments, and any other related payments, less any amount required to be paid from gross receipts without deduction to another entity pursuant to a sponsored research agreement, inter-institutional agreement or other legally binding agreement.

3.2 “Invention” means technical information, trade secrets, developments, discoveries, innovations, processes, compositions, life forms, Tangible Research Materials, know-how, methods, formulae, data, processes and/or other proprietary information or matter, whether patentable or not.

3.3 “Invention Management Fund” means a University fund in which license revenue is distributed as required under the Revenue Sharing provision of this policy. The Invention Management Fund shall be used to support research, development, commercialization and education activities, and may include expenses incurred by the University in operating L&C or any successor unit managing the University’s intellectual property.

3.4 “Inventor” means an individual who makes an inventive contribution to an Invention and, for patentable subject matter, meets the criteria for Inventorship under United States patent laws and regulations, which requires a contribution to the conception of ideas claimed in a patent.

3.5 “Net Revenue” means Gross Revenue arising from license activities, minus all direct out-of-pocket costs associated with University’s ownership and/or administration of Inventions. Such costs may include costs of (1) evaluating Invention disclosures, (2) patentability or trademark searches, (3) drafting and prosecuting intellectual property applications, (4) preparing and recording assignments, (5) maintaining patents or other intellectual property, (6) marketing and licensing of Inventions, and (7) litigation for the enforcement or protection of intellectual property, for royalty collection, or for any other claim filed by or against University and related to University’s administration of intellectual property, including prosecution or defense of same, attorneys’ fees, court costs, expert fees, compromise, settlement, and judgment satisfaction. Net Revenue does not include funds received as gifts or for the support of sponsored research.

3.6 “University Employment Responsibilities” means employment responsibilities at the University directly related to research, service, teaching activities and administrative duties.

3.7 “Inappropriate Use or Exploitation of University Resources” means the use of University-administered funds or the use of services, facilities, equipment, supplies, or personnel, which members of the general public may not freely, use for other than the conduct of University responsibilities

3.8 “Tangible Research Material” means unique research products or tools, such as biological materials or chemical compounds, whether or not patentable. Biological materials include organisms, transgenic animals, plants and plant varieties, cells, cell lines, viruses, cell products, cloned DNA, DNA sequences, nucleic acid and protein sequences, transgenic animals, mapping information and crystallographic coordinates.

#### 4. Disclosure and Invention Administration

4.1 Patent and License Management. L&C is charged with administering the University’s patent management and licensing program, including, but not limited to filing, prosecuting, and maintaining the University’s patent portfolio and maintenance of the University’s license portfolio.

4.2 Invention Disclosure. Each Invention must be disclosed promptly upon its creation, conception or discovery to L&C. The form of disclosure shall be determined by L&C, or its designee, and may include such information as name of the Inventor and a description of the Invention. Inventorship shall be determined in accordance with U.S. patent law, when applicable, or through procedures of L&C. Failure to disclose an Invention may prevent the Invention from being patented and may subject the University to risks of noncompliance with federal laws and/or contractual obligations. Since publication or public use of an Invention can be an immediate bar to patentability in most foreign countries, it is the duty of the Inventor to report to the L&C any publication, submission of manuscript for publication, sale, public use, or plans for sale or public use, of an Invention sufficiently in advance so that the L&C can consider measures to protect the University’s intellectual property interests and compliance requirements.

4.3 Inventor Cooperation. The Inventor, upon L&C’s request, shall sign all contracts, assignments, declarations, waivers or other legal documents necessary to vest all Invention rights in the University or its assignees, including complete assignment of any patent, patent applications, trademarks, or

copyrights relating to the Invention. In addition, the Inventor shall cooperate with L&C and patent counsel if the University files for intellectual property protection.

4.4 Declined Administration. L&C may decline or cease Invention administration due to lack of resources, uncertainty of patent protection, lack of commercial interest, or other reasons L&C deems appropriate. In such case, L&C may assign the Invention to the Inventor, subject to any rights retained by the United States Government or other sponsor. In addition, the Inventor shall agree (1) that the University reserves a royalty-free, non-exclusive, irrevocable right to use the Invention for research and educational purposes; (2) to allow other academic and non-profit institutions similar use on similar terms; and (3) to indemnify the University against any liability arising from commercialization. All requests by an Inventor related to assignment of Invention rights to the Inventor must be submitted in writing to L&C.

## 5. University Ownership of Inventions

5.1 University Ownership. All Inventions arising from the following are owned by the University: (1) research conducted with University-administered funds, (2) work within the Inventor's University Employment Responsibilities, or (3) use of University resources available to the Inventor because of Inventor's affiliation with University.

5.2 Sponsored Research/University-Administered Funds. The University is obligated under the Bayh-Dole Act and other statutes to be responsible stewards of Inventions funded with public money. The provisions of this policy are also subject to these and other applicable laws and regulations, as well as, specific provisions of grants or contracts which govern the rights in Inventions or discoveries made in connection with sponsored research. Under the terms of certain contracts and agreements between the University and various agencies of government, private and public corporations, and private interests (the "Funding Source"), the University is or may be required to assign or license all rights to Inventions or discoveries that arise in the course of work conducted under such agreements. The University retains the right to enter into these agreements whenever such action is considered to be in the best interest of the University, in the public interest, and/or of mutual benefit to the University and the Funding Source.

5.3 Assignment of Inventions. In the case of University ownership of Inventions, Inventors hereby irrevocably assign to the University, all right, title and interest in and to Inventions and related patent applications and patents and shall cooperate fully with the University in the preparation and prosecution of patent applications and patents. Assignment of Inventions is a condition of employment, enrollment, or access to University facilities.

5.4 Patent Agreement and Assignment. As required by 37 CFR § 401.14, as amended, all University employees shall sign a Patent Agreement and Assignment, upon employment.

## 6. Inventor Ownership of Inventions

6.1 Inventor Ownership. An Invention arising from activities conducted (1) without use of University administered funds, (2) outside of Inventor's University Employment Responsibilities, (3) without Inappropriate Use or Exploitation of University Resources, and (4) without interfering with Inventor's obligation to carry out all of his/her primary University duties in a timely and effective manner, are owned by the Inventor, an "Inventor-Owned Invention".



6.2 If the subject matter of an Invention is within the Inventor's University Employment Responsibilities or permitted entrepreneurial activities at the University, the Invention may be an invention owned by the Inventor if it results from an external professional activity. An invention owned by the Inventor which results from an external professional activity means that:

6.2.1. it meets conditions (1), (3), and (4) as set out in Article 6.1;

6.2.2. is made in the course of an Inventor's external professional activities in compliance with the University's Regulation on Conflicts of Interest, Commitment, and External Professional Activities for Pay;

6.2.3. is not based on or, if to be practiced, does not require the use of intellectual property owned by the University;

6.2.4. arises out of a specific scope of work defined in a written agreement between the Inventor(s) and a third party; and

6.2.5 if such Invention is within the subject area of an Inventor's University Employment Responsibilities, such Inventor has received prior approval from his/her departmental chair, dean, unit director or similar administrative officer to engage in such external professional activity and notice of such approval has been provided to L&C.

6.3 Disclosure. Any person claiming that an Invention is an Inventor-Owned Invention has the responsibility to disclose such Invention to L&C and provide additional information, as requested by L&C, in order to demonstrate that such Invention qualifies as an Inventor-Owned Invention as defined herein. Such Invention shall be disclosed in accordance with L&C's Invention disclosure procedures. Upon its final determination, L&C will acknowledge in writing whether such Invention is an Inventor-Owned Invention.

6.4 The University does not claim any rights in Inventor-Owned Inventions.

## 7. Student Inventions

7.1 Student Ownership. Inventions arising from student activities conducted (1) without use of University-administered funds, (2) outside of a student's University Employment Responsibilities, (3) without Inappropriate Use or Exploitation of University Resources, and (4) without the obligations of a University Inventor who has a duty to make assignment or has made assignment to the University, are owned by the Student. For students enrolled in a course of study, use of course laboratory, computing and library facilities, software, supplies and materials at a level ordinarily provided to students in the course are not considered to be Inappropriate Use or Exploitation of University Resources.

7.2 Proprietary Projects. Students, who engage in projects in which proprietary information of the University or a third-party is involved, may be asked to agree to the terms of a participation agreement to outline the rights and responsibilities of the parties, and define ownership of any resulting intellectual property rights. Should the student decline to participate in such a project in a non-elective course, then the student shall have the option of taking part in another class project where consideration of intellectual property rights is not required.

7.3 Special Program Exemption. The University may offer courses or programs to promote entrepreneurship, innovation, and economic development and in some instances may offer prizes in the form of cash, goods and/or services. The Patent Committee may exempt these courses and programs from University Ownership of Inventions for Inventions either previously conceived by the students or conceived during their participation. Notwithstanding, substantial inventive contribution by an employee of the University is subject to this Patent Policy. Requests related to a Special Program Exemption should be made in writing to the Director of L&C.

## 8. Consulting and the Patent Policy

8.1 Conflicts of Interest. The Board of Governors Policy on Conflicts of Interest and Commitment, UNC Policy Manual, 300.2.2, recognizes the value to the University to permit faculty and EHRA employees to engage in professional consulting. This activity can enhance the competence and expertise of faculty and EHRA employees and may aid in the development of University intellectual property and university-industry relations. However, private consulting may create a conflict of interest when the company's consulting contract requires that faculty assign intellectual property or accept other terms inconsistent with the individual's University employment contract. In all consulting relationships, employees have a duty to ensure that their employment responsibilities to the University are not compromised in a consulting agreement.

8.1.1 Employees may not sign agreements with outside entities or individuals that may abrogate the University's rights as stated in the Patent Policy or as provided in any sponsored research agreement or grant. Consulting agreements may not in any way limit the right of any University personnel to engage in teaching, research, or service at the University. For example, faculty and employees should not accept contract terms that (1) prohibit publication of University research or the reporting of results to research sponsors; (2) preclude faculty or employee from assigning to the University intellectual property owned by the University or (3) are designed to circumvent University policies and procedures for disclosure of Inventions.

8.2 Ownership. Ownership of Inventions arising under consulting agreements will be determined in accordance with this Patent Policy and, to the extent that any terms of a consulting agreement are inconsistent with this Patent Policy, this Patent Policy will control. However, the University will make no claim to an Invention if the Invention is determined to be an Inventor-Owned Invention as set out in Section 6 above.

## 9. Publication Restrictions

9.1 Acceptable restrictions. The University supports publication and exchange of scholarly outcomes. However, circumstances may arise which require a publication restriction for a limited period of time. Limited publication restrictions may be required for the following reasons:

9.1.1. Review for removal of sponsor-provided confidential information; or

9.1.2. Review for patentable information and if necessary timely filing of a patent application

9.2 Sponsor Review. Sponsors are provided a time-limited period to review manuscripts for proprietary and/or patentable information. Additional time may be required to timely file a patent application but

in no event shall the total period of delay be longer than one year from the date of the notice of intent to submit for publication.

## 10. Revenue Sharing

10.1. Revenue Sharing. It is the policy of the University to distribute any Net Revenue received from commercialization of Inventions among the Inventor, the Inventor's College and Department/Unit, and the Invention Management Fund.

10.2. Revenue Distribution. Net Revenue shall be distributed as follows:

First \$1,000 Net Revenue: 100% to Inventor(s);

Greater than \$1,000 Net Revenue: 50% to Inventor(s), 15% to Department(s), 5% to School / College(s), 25% to Invention Management Fund, 5% to Division of Research, Economic Development and Engagement

L&C is responsible for managing the Invention Management Funds, in accordance with Section 10.4.

10.3. Exceptions. Applicable laws, regulations or provisions of grants or contracts may, however, require that a lesser share be paid to the Inventor(s). In the case of co-Inventors, each percentage share due to a sole Inventor shall be subdivided equally among the co-Inventors unless all the co-Inventors provide the University a written instrument signed by each of them allocating ownership among them other than in equal shares. In no event shall the share payable to the Inventor(s) in the aggregate by the University be less than 15% of gross revenue received by the University.

10.4. University Allocation of Funds. To the extent practicable and consistent with State and University budget policies, amounts allocated to the University pursuant to Section 10.2 above will be dedicated to support University research, development, commercialization and education activities.

10.5. Separation of Inventor from University. In the event that an Inventor leaves the University, either voluntarily or involuntarily, and the Inventor is entitled to receive compensation in accordance with this Policy, then the Inventor shall continue to be entitled to revenue pursuant to this Policy. In the event of death of an Inventor who is entitled to distribution of revenue pursuant to this policy, then such payments will be paid to the Inventor's estate or as directed in accordance with a court approved action.

10.6 Tangible Research Materials. To the extent practicable, Tangible Research Materials shall be treated as Inventions for purposes of ownership and revenue sharing. The L&C will promulgate rules regarding distribution of revenue for Tangible Research Materials that are not the subject of a patent application.

10.7 Additional Rules. The L&C shall adopt such other rules and procedures as needed to administer revenue distribution equitably and consistently with UNC System and University policies.

## 11. Dispute Resolution

11.1. Jurisdiction. Any individual subject to this policy may seek resolution to questions of Invention ownership that have arisen by filing a written request with the Chair of the Patent Committee. The Chair shall appoint a 5-member Dispute Resolution Panel ("the Panel") to address the dispute with at least 3 panel members being selected from the membership of the Patent Committee. In the event that the

dispute involves the Chair of the Patent Committee, the Vice Chancellor for Research, Economic Development, and Engagement (the “Vice Chancellor”) shall appoint the Panel. The Panel shall elect a chair from its membership. The University shall provide appropriate support to the Panel including, but not limited to, patent counsel or other patent expert. The Panel shall conduct a review to address the dispute within four weeks of receipt of the written request for resolution.

11.2. Conduct of the Hearing. In its sole discretion, the Panel may elect to conduct a hearing or may make a recommendation based upon the written record, provided that all parties to the dispute are given an opportunity to present evidence and arguments in support of their respective positions. The hearing shall be conducted in accordance with procedures adopted by the Chair of the Panel. A party may be accompanied at the hearing by a non-participating advisor.

11.3 Disposition. The Panel shall report its written findings, conclusions and recommendations for disposition of the matter to the Vice Chancellor. Copies of such findings, conclusions and recommendations shall be provided to all parties, subject to confidentiality of third-party interests, if any. Upon receipt of such findings, conclusions and recommendations, the Vice Chancellor will conduct any further investigation deemed necessary and will issue the final University written decision. The final written decision shall be issued within six weeks of the Panel’s review and/or hearing.

## 12. Works Subject to Protection by Both Copyright & Patent Laws

12.1. In cases where an Invention or creation is subject to protection under both patent law and copyright law, if the University elects to retain title to its patent rights, then the Inventor shall assign such patent and copyright rights to the University.

## 13. Policy Exceptions

13.1. In rare circumstances, an exception to this Policy may be approved by the Chancellor or designee if it is determined to be in the University’s best interest, and the exception remains consistent with UNC policies and federal and state law.



**University Affairs Committee**

February 10, 2022

Agenda Item: IV. A. Three Minute Thesis (3MT)

Responsible Person: Mike Van Scott  
Interim Vice Chancellor - REDE

Action Requested: Information

Notes:



**University Affairs Committee**

February 10, 2022

Agenda Item: IV. B. Student Resiliency in a Pandemic

Responsible Person: Virginia Hardy  
Vice Chancellor, Student Affairs

Action Requested: Information

Notes:

# Did the pandemic make post-secondary students more resilient?

More than two thirds of students surveyed told us that they have felt optimistic, productive, and equipped to handle their problems during the pandemic. But this isn't a straightforward story about resilience.

By [Stacy Lee Kong](#) November 9, 2021

MACLEAN'S: <https://www.macleans.ca/education/did-the-pandemic-make-post-secondary-students-more-resilient/>



(Illustrations by Melanie Lambrick)

Over the summer, when *Maclean's* started chatting with students about how they were feeling almost 18 months into the COVID-19 pandemic, there was really only one perspective we didn't expect: optimism. Considering a steady stream of news coverage about declining mental health among frontline workers, mothers and especially children and youth, we figured students would be similarly down. But that wasn't the case, at least not entirely.

"I felt optimistic throughout the whole pandemic, actually," says Claire Smith, a second-year biomedical science student at the University of Ottawa. "I always told myself it was going to end

at some point. I couldn't listen to the people saying that this was [what life was going to be like] forever," she says. "I couldn't make that make sense in my brain."

Smith is one of about 19,000 students at a Canadian university who responded to our annual student survey. This year, we asked students how COVID has changed their lives, and the results included some unexpected stats: 81 per cent of students reported feeling equipped to deal with their problems some or most of the time.

What's more, 79 per cent reported feeling optimistic about their future, and 68 per cent said they felt productive some or most of the time. But the results do not say that students uniformly feel positive right now—an equivalent number of students feel lonely (69 per cent), anxious (77 per cent), and worried about their health (63 per cent) or the health of their loved ones (79 per cent). And the survey doesn't capture students who haven't been able to make it to a post-secondary institution or those who didn't have the mental or emotional capacity to fill out a survey. But still, it does suggest that thousands of young people seem to be doing okay right now.

We wondered if this was a sign that students are more resilient than they are usually perceived to be. But as it turns out, the story behind the stats is a bit more complicated than that.

## **What causes resilience?**

Many of us think of resilience as an inborn trait that predisposes some people to respond better than others to major challenges or traumas. There's a good reason for that perception. Early studies on resilience focused on children who had experienced extraordinarily traumatic events, including childhood abuse, but who were still able to thrive, says Kim Hellemans, a professor in Carleton University's neuroscience department and the associate dean of science (recruitment and retention) at the school. Indeed, some people do seem to be predisposed to resilience.

"Building resilience doesn't just happen through experience; it's also to some extent dependent on your genetic predisposition," Hellemans says, pointing to recent studies of military veterans. These studies have found a correlation between certain genetic markers and the likelihood of developing PTSD. The idea that resilience is the ability to overcome challenges through strength of character has wormed its way into conversations about work, academics and the discrimination faced by marginalized communities. But researchers now have a more nuanced understanding of it. "We tend to look at it—particularly in the university context—as less about the big stuff and more about the ability to bounce back from day-to-day stressors," Hellemans explains.

In fact, Hellemans continues, resilience isn't a trait; it's a skill. "In the neuroscience world, there's a theory called the stress inoculation theory, which suggests that as people face mild to moderate stressors that they then overcome, it actually serves to build their resilience to future stressors," Hellemans says. So, every time we are exposed to a difficult or uncomfortable situation, we learn how to navigate it. Then the next time we're faced with a challenge, we have experience—and the knowledge that we've done hard things before—to rely on.



The most resilient people also tend to be very good at cognitive reframing, which is sometimes called stress reappraisal. They're able to look at stressful or negative situations and think about them in a different way, Hellemans says.

Smith's reminders to herself that the pandemic can't last forever are reappraisals. So is Sidney Honrath's ability to look on the bright side. "Lately I have realized that there is a positive side to every situation," Honrath, a third-year concurrent education student at Brock University, says. "Even during a global pandemic, there are positive outcomes. For example, my marks in school have gotten better while studying in the online environment, increasing the chances for scholarships and other academic opportunities. In general, I like to make the best out of every situation to maintain my own mental health and to avoid [focusing] solely on the negative things happening in my life."

## **But resilience isn't all (or even mostly) internal**

The other big thing we've learned about resilience is how much external factors play into a person's ability to build this skill. In fact, according to Michael Ungar, a researcher in the field of social and psychological resilience and founder and director of the Resilience Research Centre at Dalhousie University, the idea that resilience is synonymous with an individual's grit is not only simplistic, but also about 30 years out of date. "We've moved away from that idea of resilience as a static trait," he says. "To say, 'I am resilient,' well, that's actually not true."

To explain the difference, Ungar refers to a hypothetical student who was able to go back to university as a mature student. At first, mettle and determination might seem to be the only factors in her success, but tease out the circumstances and other factors might appear: the student had encouragement from a parent, chose a flexible program that would allow her to work while attending school, took advantage of accommodations for her ADHD and received government grants or loans. Those factors didn't just help our hypothetical student get to school; they allowed her to become more resilient.

"If you think about the students [who replied to *Maclean's* survey], what their responses tell me is some of them are actually finding some of the things they need for their well-being, even in these really tough times," Ungar says.

That's definitely the case for Smith, who acknowledges that part of what shaped her optimism was where she lived when the pandemic started: Nova Scotia. Unlike other parts of Canada and the world, the Atlantic provinces had fewer infections, which meant less risk and fewer restrictions. In some ways, it was easier to look at the bright side. "Last year, a big thing for me was missing out on grad and prom, and I just had to take a moment and be like, 'It really could be worse,'" she says. "We still have our pictures and our dresses. Just because some things are different than you expect doesn't mean they're not good."

But, she says, when it came to feeling as though she could handle her problems, being able to depend on the people and institutions in her life was even more important, especially when she moved to Ottawa for school last September. "I think the pandemic has taught me how to really lean on people when I need to, because I used to try to be a lot more independent," she says.

“But then when something so big happens, you realize we’re all in the same boat, so we might as well talk about it and try to help each other out. My university has also really been trying to emphasize mental health. I receive lots of emails about programs and mentors that you can reach out to if you need help.”

Zahra Adelzadeh, a fourth-year student in the business technology management (co-op) program at Ryerson University, also draws a link between feeling resilient and being able to ask for help. “Most of my problems have been academic or career-related—things like how to write a report, how best to manage my time and classes, how to conduct a job search. I feel equipped to handle them because I have [a] support group around me: my family, friends, university student resources, and my friends and colleagues from student groups,” Adelzadeh says. “I think COVID had a significant impact on *how* I asked for help, but not on hesitancy or eagerness to ask for it. I would say the online shift even helped me ask for help more often.”

## **Anyone can become more resilient**

We’ve also learned that “resilience is temporal,” Ungar says. “Different times and social conditions make people more or less resilient—everything from the job market to the price of oil to our educational and social choices. We’re shaped by the world around us.”

That may also explain why some of the young people *Maclean’s* reached out to for this story feel less resilient now than they did at the beginning of the year. But there’s good news: there are things students, and everyone else, can do to build their resilience, some of them quite surprising. “Research is increasingly showing that it’s not one specific coping strategy that is ‘the best,’ ” Hellemans says. Sometimes, a challenging situation might require problem solving, and other times might require social support. Once in a while, you might just need to cry. And in all likelihood, the next challenging situation will require a different tactic. But each time you figure out how to deal with a problem, you become a little better at dealing with problems in general.

Hellemans likens it to exercise: “When we face stressors, it literally builds the brain to be more resilient to stressors in the future,” she says. “That’s how we build muscles, right? We take on bigger and bigger loads. And to some extent, the same can be said about honing that stress circuitry to be able to manage stressors in the future.”

But literal exercise helps, too. When you run or cycle or perform any kind of aerobic activity that increases your heart rate, you pump tons of blood to your brain, “feeding it beautiful oxygen and glucose,” Hellemans says. “We know that this also tends to promote the translation of proteins that are called growth factors in the brain. So, it literally rewires your brain.” Your brain also needs vitamins and nutrients to function normally, so a healthy diet is important. And getting plenty of sleep also plays a role.

And then there’s the most important practice, which is actually facing the stressor. Over the past two decades, our society has “mislabelled stress as a bad thing,” Hellemans says. In fact, the parents of today’s students may have played a role: so-called helicopter parenting (and its more intense counterpart, “snowplow parenting”) is intended to protect youth, but instead denies them opportunities to learn how to handle adversity. In fact, a 2018 study published in *Adolescent*

*Psychiatry* found perceived helicopter parenting predicted more severe depressive symptoms and decreased resilience among Irish university students.

## **Access to resources is key.**

But, Hellemans stresses, we shouldn't extend that logic into thinking any kind of adversity is valuable. Day-to-day stressors, such as an exam you don't feel prepared for or a disagreement with friends, are not the same as chronic stressors, such as illness, accidents, poverty or discrimination. Conflating the two only glamorizes struggle; it doesn't encourage resilience.

Ungar agrees: "people need to be 'rugged,' but they also need to be resourced—and it's the resource part that we often draw up in our conversations about resilience," he says. CERB and CESB essentially functioned as a guaranteed basic income for Canadians, he points out, so they might have elevated people's moods. And health care, especially mental health care, has become particularly important, because youth are in the midst of a mental health crisis. A March 2021 Statistics Canada report revealed that "the prevalence of positive screens for major depressive disorder, generalized anxiety disorder, and probable PTSD were over three times higher among young adults [ages 18 to 24] than among older adults." And a recent *Toronto Star* article reported that universities across the country are investing in mental health resources to meet this need, but some students still face barriers to access.

This issue may become even more urgent in the coming months and years. "I do worry that after this is all done, we're going to see a sort of a spike," Ungar says. "You do sometimes see 'excessive resilience,' or what we've recently called the dark side of resilience, which can keep you going through really tough times. But sometimes afterwards, you have a bit of a breakdown. If you've been expending so much energy surviving, your psychological [and] physiological systems after a while will kind of wind down."

But, Hellemans points out, that doesn't necessarily say anything about students' resilience. "Mental health and coping are two very different things. You can have really ill mental health but excellent coping, and you can have really [good] mental health and poor coping."

Instead, we should remember that human beings have always had the capacity to recover from really difficult situations, and today's young people are no exception—if they're given the right tools.

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*This article appears in print in the 2022 University Rankings issue of Maclean's magazine with the headline, "The kids are (going to be) all right."*



**University Affairs Committee**

February 10, 2022

Agenda Item:

IV. C. Project Kitty Hawk

Responsible Person:

Will Zemp  
Incoming CEO, Kitty Hawk

Action Requested:

Information

Notes:



## **University Affairs Committee**

February 10, 2022

Agenda Item:

V. Closed Session

Responsible Person:

Action Requested:

Information

Notes:

Proposed Closed Session Motion

I move that we go into Closed Session:

- to prevent the disclosure of confidential information under N.C. General Statutes §126-22 to §126-30 (personnel information) and the federal Family Educational Rights and Privacy Act; and
- to consider the qualifications, competence, performance, character, fitness, or appointment of prospective and/or current employees and/or to hear or investigate a complaint or grievance by or against one or more employees; and
- to consult with an attorney to preserve the attorney-client privilege between the attorney and the Committee.