



MEETING OF THE BOARD OF GOVERNORS  
Committee on Educational Planning, Policies, and Programs

March 2, 2017 at 1:00 p.m.  
University of North Carolina General Administration  
Center for School Leadership Development, Room Number 128  
Chapel Hill, North Carolina

**AGENDA**

- A-1. [Approval of the Minutes of January 12, 2017](#) .....Anna Nelson
- A-2. [UNC Degree Program Establishments](#) .....Kimberly van Noort
- A-3. [UNC Degree Program Discontinuations](#) .....Kimberly van Noort
- A-4. [Licensure Program Approvals](#) .....Kimberly van Noort
- A-5. [Charlotte Teacher Early College](#) ..... Carol Cutler White
- A-6. [Optimizing Advising for Student Success](#) .....Junius Gonzales
- A-7. [President’s Report on Research and Sponsored Programs](#) ..... Erin Hopper
- A-8. [Proposed Policy on Involvement of Centers and Institutes in Legal Actions](#) ..... Joe Knott
- A-9. Adjourn

## DRAFT MINUTES

January 12, 2017  
University of North Carolina General Administration  
Center for School Leadership Development, Room 128  
Chapel Hill, North Carolina

This meeting of the Committee on Educational Planning, Policies, and Programs was presided over by Chair Anna Nelson. The following committee members, constituting a quorum, were also present: Pearl Burris-Floyd, Madeline Finnegan, Thomas Goolsby, Joe Knott, Joan Perry, Therence Pickett, and Michael Williford.

Chancellors participating were Todd Roberts, Elwood Robinson, and Jose Sartarelli. Gabriel Lugo, chair of the UNC Faculty Assembly, was also in attendance.

Staff members present were Kimberly van Noort and others from General Administration.

---

### 1. Call to Order and Approval of OPEN Session (Item A-1)

The Chair called the meeting to order at 1:30 p.m. on Thursday, January 12, 2017, and called for a motion to approve the open session minutes of November 29 and December 1, 2016.

**MOTION:** Resolved, that the Committee on Educational Planning, Policies, and Programs approve the open session minutes of November 29 and December 1, 2016, as distributed.

**Motion:** Therence Pickett

**Motion carried**

### 2. UNC Degree Programs Discontinuations (Item A-2)

The Committee on Educational Planning, Policies, and Programs reviewed and discussed degree program discontinuations for the following:

- North Carolina State University Master of Electrical Engineering (CIP 14.1001)
- North Carolina State University Master of Specialized Veterinary Medicine (CIP 51.2501)

**MOTION:** Resolved, that the Committee on Educational Planning, Policies, and Programs approve North Carolina State University discontinuations for the Master of Electrical Engineering degree program and Master of Specialized Veterinary Medicine degree program and recommend to the full Board of Governors for a vote through the consent agenda.

**Motion:** Joe Knott

**Motion carried**

**3. Academic Advising Subcommittee Draft Report (Item A-3)**

On behalf of Dr. Junius Gonzales, Dr. Tracey Ford, Assistant Vice President for Academic and Student Affairs presented the Academic Advising Subcommittee Draft Report.

There was discussion among the committee; the agenda item was for information only.

There being no further business, the meeting adjourned at 2:20 p.m.

---

Therence O. Pickett, Secretary

## AGENDA ITEM

A-2. UNC Degree Program Establishments.....Kimberly van Noort

**Situation:** UNC Wilmington requests authorization to establish the following program:

- Bachelor of Music in Music Education (CIP 13.1312)

Elizabeth City State University requests authorization to establish the following program:

- Bachelor of Science in Special Education (CIP 13.1001)

**Background:** Per UNC 400.1, UNC General Administration, in consultation with the campuses, brings recommendations to the UNC Board of Governors for new degree programs that meet identified academic program needs.

Board action is required to re-instate these degree programs, which were discontinued in error in March 2016 and May 2015.

**Assessment:** Establishment of the programs is recommended.

**Action:** This item requires a vote by the committee, with a vote by the full Board of Governors through the consent agenda.

**Request for Authorization to Establish the  
Bachelor of Music in Music Education at  
University of North Carolina at Wilmington**

The University of North Carolina at Wilmington has requested establishment of the BM in Music Education (CIP 13.1312).

The BM in Music Education degree program was first established at UNC Wilmington in 1990. In March 2016, the BM in Music Education was included in error among several UNCW education degree programs that were discontinued. These actions were taken such that students pursuing teacher licensure would do so through the various content area degree programs; however, this approach is not possible with the BA in Music because the curriculum cannot accommodate the depth of requirements for music educators to demonstrate mastery. Board action is required to reinstate the program.

**Recommendation:** It is recommended that the Board of Governors approve UNC Wilmington's request to establish the BM in Music Education.

**Request for Authorization to Establish the  
Bachelor of Science in Special Education at  
Elizabeth City State University**

Elizabeth City State University has requested establishment of the **Bachelor of Science in Special Education** (CIP 131001).

The Bachelor of Science in Special Education degree program was first established at Elizabeth City State University in 1978. In December 2016, the Elizabeth City State University Task Force presented its report with the revitalization of the education programs as a priority. The Bachelor of Science in Special Education was included in error among several ECSU education degree programs that were discontinued in March 2016. The regional demand for special education teacher training and the recent Task Force recommendations speak to the need for this degree. Board action is required to reinstate the program.

**Recommendation:** It is recommended that the Board of Governors approve Elizabeth City State University's request to establish the Bachelor of Science in Special Education.

## AGENDA ITEM

A-3. UNC Degree Program Discontinuations .....Kimberly van Noort

- Situation:** UNC-Charlotte requests discontinuation of the following programs:
- Bachelor of Science Degree in Economics, Social Sciences (CIP 45.0601)
  - Master of Education in Health Promotion (CIP 51.2207)
- Background:** Per UNC 400.1, the campuses and UNC General Administration review degree program offerings and bring periodic discontinuation recommendations to the UNC Board of Governors.
- Assessment:** Discontinuation of the above-listed programs is recommended.
- Action:** This item requires a vote by the committee, with a vote by the full Board of Governors through the consent agenda.

**Requests for Authorization to Discontinue  
Academic Degree Programs**

UNC Charlotte – Bachelor of Science in Economics, Social Sciences – (CIP: 45-0601)

This program will be consolidated with the Bachelor of Science in Economics (CIP: 52-0601). The degree had been folded into the Economics-Business Administration degree once that degree was established. Now the Economics program operates as a sole degree in Economics with two concentrations: 1) Business, 2) Liberal Arts. There are no students enrolled in this degree program.

UNC Charlotte – Master of Education in Health Promotion – (CIP: 51-2207)

The Health Promotion program has not existed since the creation of the Master of Public Health (MPH) program at UNC Charlotte in 1981 which grew out of the former. There are no students enrolled.



**AGENDA ITEM**

A-4. Licensure Program Approvals .....Kimberly van Noort

**Situation:** The Board of Governors of the University of North Carolina is charged under N.C.G.S. 116-15 with responsibility for licensing nonpublic educational institutions to conduct post-secondary degree activity in North Carolina.

**Background:** The following institutions have applied for licensure:

- The Chamberlain College of Nursing, to offer the Master of Science in Nursing–Family Nurse Practitioner degree and graduate certificates in Nursing Education and Nursing Informatics online in North Carolina.
- Living University, to offer online in North Carolina, an associate of arts degree, two baccalaureate degree minors, and undergraduate general education courses.
- Western Governors University, to offer post-secondary teacher education degree programs in North Carolina.

**Assessment:** After appropriate review of the licensure application, including site visits by a team of examiners, UNC General Administration recommends approval of licensure for the following:

- The Chamberlain College of Nursing, to offer the proposed degree programs.
- Living University, to offer the proposed degree programs.
- Western Governors University, to offer the proposed degree programs.

**Action:** This item requires a vote by the Committee, with a full Board vote through the consent agenda.

**TO: President Margaret Spellings**  
**RE: UNCGA Staff Report and Recommendations for Authorization and Licensure**  
**FROM: Kimberly van Noort, Vice President for Academic Programs, Faculty,  
And Research**  
**DATE: February 13, 2017**

After careful consideration of the Team of Examiners' Reports, institutional responses, and various consultations, we present the following proposals and attendant recommendations for your consideration.

### **Chamberlain College of Nursing – Downers Grove, IL**

#### **BACKGROUND INFORMATION**

The Chamberlain College of Nursing is a private, for-profit institution that is a subsidiary of DeVry, Inc. The Deaconess College of Nursing was established in 1889 in St. Louis, Missouri for the purpose of educating Deaconess Sisters as professional nurses. In 2005, DeVry, Inc. acquired the college and changed its name to Chamberlain College of Nursing. The college has been in continuous operation since 1889. While Chamberlain has physical campuses in ten states, the national headquarters is located in Downers Grove, Illinois.

Chamberlain is regionally accredited by the Higher Learning Commission (HLC) of the North Central Association of Colleges and Schools. The nursing programs are accredited by the Commission on Collegiate Nursing Education.

#### **THE APPLICATION AND SITE VISIT**

The Chamberlain College of Nursing has applied for licensure to offer the following degree and certificate programs online in North Carolina:

- Master of Science in Nursing (MSN) – Family Nurse Practitioner
- Graduate Certificate in Nursing Education
- Graduate Certificate in Nursing Informatics

In accordance with the Rules and Standards: Licensing Nonpublic Institutions to Conduct Post-Secondary Degree Activity in North Carolina, a Team of Examiners was appointed to review the application, visit the institution, and evaluate compliance with the licensure standards

On 5/22/13, a Team of Examiners conducted a site visit to the Chamberlain College of Nursing home office in Illinois to review three programs submitted for licensure in North Carolina. On 6/18/14, a subset of the review team conducted a second site visit to the Chamberlain campus in Houston, Texas. Prior to and during the visits, the Team of Examiners reviewed documentation submitted in the license application including curricula for the proposed degree programs; course syllabi; library resources (both print and electronic); faculty curriculum vita; instructional resources; educational facilities, including laboratories and equipment; audited financial statements; and the Chamberlain College of Nursing 2012-2013 Academic Catalog, Faculty Handbook, Student Handbook, and College Assessment Program.

During the two site visits, the Examiners met with numerous administrators, faculty, staff, and students of the Chamberlain College of Nursing.

After the two site visits, the institution submitted a supplemental application for the online nursing degree and graduate certificate programs. A subject matter expert was appointed in January 2015 to conduct a review of those programs.

At its October 24, 2014 meeting, the Board approved programs that were included in the Team of Examiners' report about the institution's compliance with the Rules and Standards for Licensure.

- Master of Science in Nursing (MSN)
- Graduate Certificate in Nursing Education and Nursing Informatics

## **RECOMMENDATIONS**

After the site visits, the Team submitted its *Report to the President of The University of North Carolina from the Team of Examiners for the Visits to Review Chamberlain College of Nursing's Proposed Online Graduate Degree Programs and On-Ground BSN Program*. In the report, the Team of Examiners included eight suggestions and ten recommendations about the proposed degree programs. The recommendations addressed issues of educational laboratories, library resources, faculty credentials, the tuition guaranty bond, and information to be included in the Chamberlain College of Nursing Catalog and Student Handbook.

Upon review of the Team of Examiners' report, and Chamberlain College's response to the recommendations and suggestions of that report, the UNC General Administration staff finds that recommendations have been satisfactorily addressed, and recommends that Chamberlain College be licensed to offer the degree programs requested.

An appropriate review will be performed within two calendar years of the initiation of the licensed degree programs, by UNC GA, to ascertain the institution's compliance with the Rules and Standards, including the recommendations contained in the report.

## **Living University – Charlotte, North Carolina**

### **BACKGROUND INFORMATION**

Living University is a non-profit institution sponsored by the Living Church of God. The university is currently authorized as a religious-exempt institution in Charlotte, North Carolina to offer the Associate of Theology and Bachelor of Theology degree programs. The institution also offers a number of religious education certificate and diploma programs. The university focuses on delivery of online coursework and offers no traditional "face-to-face" courses. Living University is not accredited by any agency recognized by the U.S. Department of Education.

The university shares facilities with the Living Church of God in Charlotte, North Carolina in the church's international headquarters complex. The Living Church of God is the major financial supporter of the university through cash subsidies and other (non-cash) allocations.

## THE APPLICATION AND SITE VISIT

Living University is seeking licensure to offer the following secular programs and courses online in North Carolina:

- Associate of Arts degree
- A baccalaureate degree minor in business
- A baccalaureate degree minor in communication
- Undergraduate courses in the arts and sciences, business and professional disciplines (accounting, business, education, nutrition, and physical education)

In accordance with the Rules and Standards: Licensing Nonpublic Institutions to Conduct Post-Secondary Degree Activity in North Carolina, a Team of Examiners was appointed to review the application, visit the institution, and evaluate compliance with the licensure standards

The Team of Examiners conducted a site visit at the Living University campus in Charlotte, North Carolina on November 16, 2015. The Team evaluated the facilities and resources of the institution during its site visit and the following reports and documents before and during the visit: Living University's licensure/compliance application and the accompanying exhibits; curricula for the proposed programs; course syllabi; faculty credentials; library and electronic resources; budget data; annual financial reports; excerpts from the Living University Faculty Handbook; Living University Student Handbook 2014-2016; Living University Course Development Guide 2014; Living University Legislative Handbook for 2015-2016; Living University Strategic Long-Range Plan for 2013-2018; Living University Report on the Strategic Long-Range Plan Cycle 2 (2014-2018) and the Living University General Catalog 2015 – 2016.

The Team also reviewed written responses from the university about its implementation of best practices for delivering online/distance education programs. During the visit, the Team met with numerous faculty, administrators, staff and students of Living University.

A second site visit was conducted on September 9, 2016 to review Living University's new housing facilities for on-campus students.

## RECOMMENDATIONS

After the site visit, the Team of Examiners submitted its *Report to the President of The University of North Carolina from the Team of Examiners to Review Living University's Proposed Associate of Arts Degree Program and Selected Courses to Be Offered Online in North Carolina*. The report included 15 recommendations and 3 suggestions concerning the proposed degree program and courses. The recommendations addressed issues of curriculum, faculty qualifications, library resources, staffing and facilities, and the tuition guaranty bond.

Upon review of the Team of Examiners' report, and Living University's response to the recommendations and suggestions of that report, the UNC General Administration staff finds that

recommendations have been satisfactorily addressed, and recommends that Living University be licensed to offer the degree programs requested.

An appropriate review will be performed within two calendar years of the initiation of the licensed degree programs, by UNC GA, to ascertain the institution's compliance with the Rules and Standards, including the recommendations contained in the report.

## **Western Governors University – Salt Lake City, Utah**

### **BACKGROUND INFORMATION**

Western Governors University (WGU) was incorporated as a private, nonprofit online university in 1997. The university was founded and supported by 19 U.S. governors. WGU grew out of a 1995 bipartisan meeting of the Western Governors Association, with the agreement that it would make "maximum use of distance learning technologies, would be collaborative among the western member states, and would use competencies rather than seat time as the measure of its outcomes." The five themes critical to its design are: responsiveness to employment and societal needs, focus on competency-based education, expanding access, cost-effectiveness, and development of a technology infrastructure. The university describes itself as a teaching and non-research-based university.

All WGU programs follow the competency-based educational (CBE) model. In CBE programs, the academic credit that students receive for their course work is based on the demonstration of skills learned (outcomes or competencies), rather than on the amount of time spent in the classroom (typically measured by the credit hour). In its license application, WGU defines a competency unit (CU) as "the equivalent of one semester hour of learning in the traditional university." The university describes its competency-based program design process as "based on national and state educational and professional standards . . . [from which] competency statements and corresponding learning objectives are created." As part of this process, a working group creates expected course outcomes and a plan for assessing competency at the "appropriate cognitive level based on the content and the position of the course" in the standard path of courses identified for the program.

Western Governors University is chartered and approved by the State of Utah and is regionally accredited by the Northwest Commission on Colleges and Universities. The teacher education programs are accredited by the National Council for Accreditation of Teacher Education.

### **THE APPLICATION AND SITE VISIT**

Western Governors University is proposing to offer the following academic programs online in North Carolina.

- ***BACHELOR OF ARTS, INTERDISCIPLINARY STUDIES (K-8)***
- ***BACHELOR OF ARTS, SPECIAL EDUCATION (K-12)***
- ***BACHELOR OF ARTS, MATHEMATICS (2): Mathematics (5-9) and Mathematics (5-12)***

- **BACHELOR OF ARTS, SCIENCE (5):** Science (5-9), Biological Science (5-12), Chemistry (5-12), Geosciences (5-12), and Physics (5-12)
- **POST-BACCALAUREATE TEACHER PREPARATION (6):** ELEMENTARY EDUCATION (K-8), MATHEMATICS (5-9) and (5-12), SCIENCE (5-9) and (5-12), and SOCIAL SCIENCE (5-12)
- **MASTER OF ARTS IN TEACHING (7):** Elementary Education (K-8), Mathematics (5-9) and (5-12), Science (5-9) and (5-12), Social Science (5-12), and English (5-12)
- **MASTER OF ARTS, MATHEMATICS EDUCATION (3):** K-6, 5-9, and 5-12
- **MASTER OF ARTS, SCIENCE EDUCATION (5):** Science Education (5-9), Biological Sciences (5-12), Chemistry (5-12), Geosciences (5-12), and Physics (5-12)
- **MASTER OF SCIENCE, SPECIAL EDUCATION (K-12)**
- **ENDORSEMENT PREPARATION PROGRAM, ENGLISH LANGUAGE LEARNING**
- **MASTER OF ARTS, ENGLISH LANGUAGE LEARNING (PREK-12)**
- **ENDORSEMENT PREPARATION PROGRAM, EDUCATIONAL LEADERSHIP**
- **MASTER OF SCIENCE, EDUCATIONAL LEADERSHIP**
- **MASTER OF SCIENCE, CURRICULUM AND INSTRUCTION**
- **MASTER OF EDUCATION (2):** Instructional Design, and Learning and Technology

In accordance with the *Rules and Standards: Licensing Nonpublic Institutions to Conduct Post-Secondary Degree Activity in North Carolina*, a Team of Examiners was appointed to review the application, visit the institution, and evaluate compliance with the licensure standards.

The Team of Examiners conducted a site visit at Western Governors University in Salt Lake City, Utah on March 30, 2016. The Team evaluated the facilities and resources of the university during its site visit, and reports and documents before and during the visit, including the following: the Western Governors University licensure/compliance application and the accompanying exhibits, course syllabi, faculty credentials, budget data, annual financial reports, the *WGU University Catalog*, Volume MMXVI, No. 2 (April 2016), and the *WGU Employee Handbook* (06-01-12).

During the visit, the Team of Examiners met with representatives of the WGU senior administration, faculty, staff and students.

On December 2, 2016, the Board of Governors approved degree programs in business and nursing.

## **RECOMMENDATIONS**

The 153-page team report included 123 recommendations and 39 suggestions addressing the proposed 61 programs. The recommendations covered issues of faculty qualifications, faculty approval of the curriculum, program differentiation, program content, opportunities for collaboration, and student to mentor/faculty ratios.

Upon review of the Team of Examiners' report, and Western Governors University's response to the recommendations and suggestions of that report, the UNC General Administration staff finds that recommendations for the programs below have been satisfactorily addressed, and recommends that Western Governors University be licensed to offer the requested degree programs.

An appropriate review will be performed within two calendar years of the initiation of the licensed degree programs, by UNC GA, to ascertain the institution's compliance with the Rules and Standards, including the recommendations contained in the report.

## AGENDA ITEM

A-5. Charlotte Teacher Early College..... Carol Cutler White

**Situation:** UNC Charlotte College of Education is partnering with Charlotte Mecklenburg Schools to launch and operate a Cooperative and Innovative High School in accordance with N.C.G.S. 115C-238.50-.55.

**Background:** The College of Education at UNC Charlotte (UNC Charlotte) and Charlotte Mecklenburg Schools (CMS) intend to operate an Early College High School to be known as the Charlotte Teacher Early College (CTEC) on the campus of UNC Charlotte for the express purpose of targeting high school students interested in teacher education. CTEC is designed to provide a diverse beginning teacher applicant pool to address the region’s teacher shortage. UNC Charlotte will redesign the pre-professional education program utilizing project-based instruction and intentional field-based learning activities. Upon graduation students will receive a high school diploma and a Certificate of Advanced Standing in Education, in addition to 60 plus credit hours of transferable credit.

**Assessment:** The Joint Advisory Committee recommended the [UNC Charlotte Cooperative Innovative High School application](#) to the North Carolina State Board of Education for approval to open with funding for 2017-18 school year. The State Board of Education voted in January 2017 to approve the application. Cooperative and Innovative High School funding for the Charlotte Teacher Early College is dependent on appropriation by the North Carolina General Assembly.

**Action:** This item requires a vote by the committee, with a vote by the full Board of Governors through the consent agenda.



**Executive Summary**  
**Charlotte Teacher Early College (CTEC)**

Overview

Charlotte Teacher Early College (CTEC) is a collaboration between UNC Charlotte and Charlotte-Mecklenburg Schools (CMS) for students seeking education careers. CTEC is a new school option within CMS admitting students who are first generation college applicants, at-risk of dropping out, or seeking accelerated studies. CTEC will emphasize secondary education and is designed to provide a diverse beginning teacher applicant pool, including men, and address the region's teacher shortage.

CTEC will redesign the pre-professional education program, utilizing project-based instruction and intentional field-based learning activities. Beginning in grade 10, students will enroll in college coursework intended to develop the skills and pedagogical knowledge required for success within today's diverse urban classrooms. Upon high school graduation, students will have

- Earned a high school diploma,
- Earned a Certificate of Advanced Standing in Education, and will have
- Earned 60 plus transferable college credits.

The Early College target student population

The CTEC program is focused on recruiting first generation college students and students who are seeking an accelerated high school academic experience. Additional recruitment efforts will seek students who have become discouraged with schooling and unable to envision their educational future, but still aspire to become teachers. Special recruiting efforts will be implemented to ensure all student groups are fully aware of the opportunity CTEC affords them for success in high school and beyond.

Projected enrollment and location

CTEC's students will attend classes on UNC Charlotte's main campus and enroll in university classes starting in their sophomore year. CTEC classes will be assigned meeting and classroom space in the College of Education building on the UNC Charlotte campus.

**ENROLLMENT**

	<b>2017-2018</b>	<b>2018-2019</b>	<b>2019-2020</b>	<b>2020-2021</b>	<b>2021-2022</b>
Grade 9	55	100	100	100	100
Grade 10	55	55	100	100	100
Grade 11		55	55	100	100
Grade 12			55	55	100
Grade 13				55	55
		17/33			

**AGENDA ITEM**

A-6. Optimizing Advising for Student Success ..... Junius Gonzales

**Situation:** Following up on the Advising Subcommittee report in January, we are providing briefings from the campuses awarded funding under the spring 2016 RFP for Optimizing Advising for Student Success. We will have two presenters in March and others at the May BOG meeting.

**Background:** After gathering data from surveys, reviewing literature and conversations with institutional advising team members, in early 2016, UNC-GA Academic Affairs requested proposals from the System institutions to “optimize advising,” which centered upon strong, original and/or innovative practices. We encouraged RPFs that included collaboration with institution and/or external partners, could be scaled to expand reach and effectiveness, and could continue after the grant period expired. We received 19 proposals. The Senior Vice President for Academic Affairs, after scoring and recommendations by a review board, awarded five grants to: Appalachian State University, Elizabeth City State University, UNC Asheville, UNC Charlotte, and UNC Greensboro in partnership with NC A&T. Topics included: “Enhancing Advising Resources,” “Modifying Existing Advising Structures to Support Student Planning,” and “Enhancing Academic Advisor Training through the Master Advisor Program.”

**Assessment:** N/A

**Action:** This item is for information only.

## AGENDA ITEM

A-7. President's Report on Research and Sponsored Programs ..... Erin Hopper

**Situation:** Each year, the University of North Carolina centrally reports the research-related funds that flow into the system through grants, contracts, and other sponsored programs. The system also monitors a variety of research-related commercial indicators.

**Background:** In total, UNC institutions reported \$1,535,428,205 in new awards in FY2016. When adjusted to take into account the \$29 million in sub-awards made between UNC institutions, the FY2016 total was a record \$1,506,130,543. This represents an 11% increase over FY2015 and a 43% increase over FY07. The number of proposals submitted in F2016 is the second largest to date, topping 12,000 for only the second time.

**Assessment:** UNC made impressive gains in sponsored program activity in FY2016, setting a new record for total sponsored program funding.

**Action:** This is for information only.

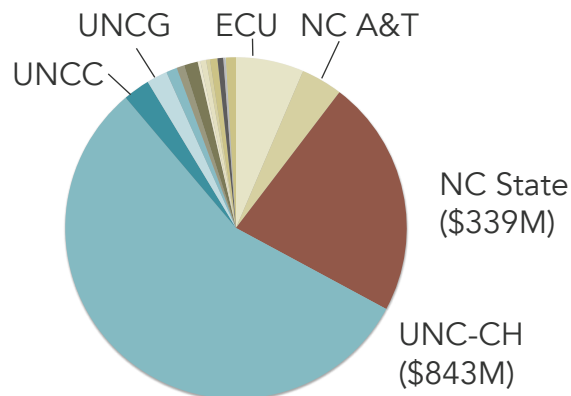
# RESEARCH FY16

in the University of North Carolina System

## FY16 FUNDING

**\$1.5 B**  
IN FUNDING  
RECORD-SETTING HIGH

## FUNDING BY CAMPUS



13 campuses reported an annual increase in FY16

## FUNDING INCREASES

↑ **11%** over 2015\*  
↑ **19%** over 2012  
↑ **43%** over 2007  
↑ **185%** over 1997

\*Total includes a \$53M increase attributed to a change in reporting procedures

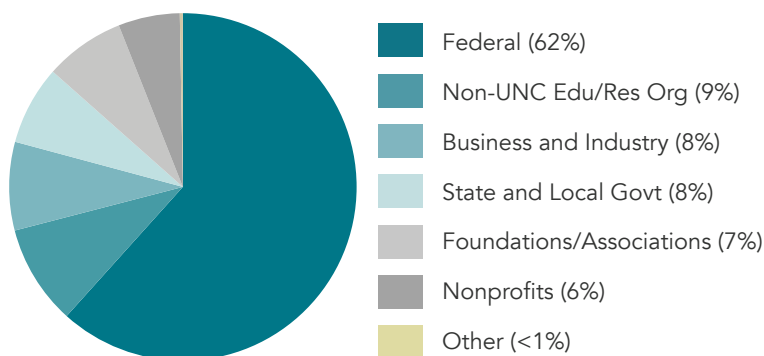
## PROPOSALS SUBMITTED

**12,014**

Comparable to FY15's  
record-setting high

ALL CAMPUSES ENGAGE IN  
SPONSORED ACTIVITIES

## FY16 SPONSORS



## COMMERCIALIZATION

Just in the last five years:

**\$55 MILLION**  
IN LICENSE INCOME

**140** NEW STARTUPS

**2613** INVENTION  
DISCLOSURES



**University of North Carolina  
Research and Sponsored Programs  
Report to the President  
FY2016**

---

**University of North Carolina  
General Administration  
March 2017**

## Executive Summary

This annual report provides a brief snapshot of the sponsored program activity across UNC for FY2016.

In total, UNC institutions reported \$1,535,428,205 in sponsored program funding in FY2016. When adjusted to take into account the \$29 million in sub-awards made between UNC institutions, the FY2016 total was a record \$1,506,130,543. This represents an 11% increase over FY2015<sup>1</sup> and a 43% increase over FY2007.

The number of proposals submitted in FY2016 is the second largest to date, topping 12,000 for only the second time.

As has been the trend for several years, the U.S. Federal Government provides approximately two thirds of the total sponsored program funding received by UNC institutions in a given year.

Data on select commercial indicators and activities generated from UNC research show an increase in invention disclosures, a significant uptick in US patents issued and licenses or options executed, and relatively stable numbers of new start-ups compared to previous years. License income declined for the second year in a row.

## Introduction

### *Why do research?*

Research is a key component of UNC's three-part mission of teaching, research, and public service. In addition to developing new discoveries and innovations, UNC's engagement in research and its related activities supports student success, provides a platform for training graduate students, attracts funding to our universities, contributes to North Carolina's business climate and reputation, and makes our institutions attractive to top faculty and students. The bullets below describe a few key elements of research.

- Research is an integral part of the UNC mission and takes place at all UNC institutions
- Faculty are key in carrying out fundamental and applied research
- Students (graduate and undergraduate) conduct research and benefit from it
- Research and scholarship enhance instruction for students and engagement with the community, and *vice-versa*
- Research requires and generates resources
- Research benefits society (cures, treatments, products, jobs, new knowledge)

### *Highlights from FY2016*

UNC Chief Research Officers (CROs) convene regularly to share best practices and discuss recent research developments. In 2016, under UNC GA leadership, the CROs formed the CRO Council, a more formal advisory body that will work together to further the collective goals of the group. The group is in the midst of formulating strategic goals, but the goals will be organized around the following themes:

---

<sup>1</sup> Total includes \$53,134,000 in contracts to East Carolina University Physicians (ECUP) for clinical services. Starting in FY2016, contracts to ECUP were recorded in RAMSeS to provide a more complete accounting of extramural funding to ECU. This change in ECU reporting practices does not account for the full 11% increase in sponsored program funding.

1. **Expanding and developing the research enterprise by fostering a culture of inter-institutional collaboration.** Identify and focus on strategic research areas, especially those that are most relevant to NC. Increase collaboration among UNC institutions (particularly between larger and smaller institutions) to increase success at receiving research funding. Incentivize collaboration among disciplines and foster interaction between STEM fields and arts/humanities.
2. **Broadening public understanding of research by improving research communications.** Support state and federal relations at a system level. Help stakeholders better understand the value of research and the interconnectedness of research with teaching, public service, and economic impact.
3. **Increasing efficiency by collaborating on relevant elements of research administration.** Provide shared services as needed (e.g., electronic research administration) and collaborate on setting relevant institutional research policies instead of duplicating efforts at the institutional level (e.g., policies on drone research, intellectual property, and research misconduct).

The CRO Council is guided by a three-member Steering Committee consisting of one CRO each from three institutions with small, medium, and large research programs. UNC GA staff serves in an advisory role and provides continuity to the group.

#### *UNC Accomplishments in FY2016*

Below are a few top research accomplishments from FY2016:

- **ECU's** College of Nursing received a three-year, \$2.1 million award from the Versant Center to develop a world-class, national research hub to advance nursing science.
- The **NC A&T** Center for Outreach in Alzheimer's, Aging, and Community Health (COAACH) received a \$2M grant from the Merck Foundation to expand Alzheimer's and diabetes outreach.
- **NCCU** reached a major milestone by executing its first licensing agreement from research using NCCU's chemical compound libraries. It is anticipated these therapeutic compounds will increase the dose tolerance of anti-cancer drug Irinotecan (Camptosar®).
- **NC State** is leading a Southeast US Regional Manufacturing Center, part of a \$140 million Clean Energy Smart Manufacturing Innovation Institute (CESMII). In June 2016, President Obama announced CESMII as the US Department of Energy's selection for its second national advanced manufacturing institute.
- **UNCA** hosted the 30th annual National Conference on Undergraduate Research that brought around 4000 students and their faculty mentors from 48 states and six foreign countries to share their undergraduate scholarship during a three-day event.
- **UNC-CH's** Highway Safety Research Center has been selected to run one of only five National University Transportation Centers funded by the U.S. Department of Transportation. The University will receive \$2.8 million in the first year, and up to \$15 million in grant funding over five years, to create and manage the Collaborative Sciences Center for Road Safety (CSCRS) – an opportunity for UNC-Chapel Hill to lead and influence the future of transportation safety research for the nation.
- Building on work initiated through funding from the UNC Research Opportunities Initiative, the National Science Foundation has awarded a \$4 million grant to **UNC Charlotte** researchers to develop a multidisciplinary research program called Virtual Information Fabric Infrastructure (VIFI) that will create new ways to manage, use, and share big data and analytics results.
- **UNCG** received an NIH U54 award from the NIH National Center for Complementary and Integrative Health (NCCIH). In a collaborative effort with the University of Washington and Washington State University, the project aims to study a series of herbal remedies to determine how they may affect the metabolism of drugs taken concomitantly. UNCG also received a new

T32 training grant in which doctoral students receive training while participating in the U54 work as well as the work of the Natural Products and Drug Discovery Center.

- **NC Research Campus** growth includes the newly opened Kannapolis City Hall and the addition of EnDev Laboratories and BioArmor. More than \$60 million in private investment has been secured for development of the downtown area immediately adjacent to NCRC. Support to the US armed forces is expanding with joint projects planned regarding traumatic brain injury, improving physical performance, and enhanced nutrition.

#### *Goals for FY2017*

The CRO Council is further developing a set of strategic goals and associated metrics for UNC research. These goals and metrics will be aligned with the system-wide UNC Strategic Plan and will be centered on the themes described above: 1) expand and develop the research enterprise by fostering a culture of inter-institutional collaboration; 2) broaden public understanding of research by improving research communications; and 3) increase efficiency by collaborating on relevant elements of research administration.



## FY2016 Sponsored Program Funding for UNC

At \$1.51 billion, the adjusted total FY2016 funding showed an 11% increase over the previous fiscal year. Adjusted award dollars exclude any subawards made between UNC institutions. Adjusted annual totals increased in FY2016 for thirteen institutions (ASU, ECSU, ECU, FSU, NCA&T, NCCU, NC State, UNC-CH, UNCG, UNCP, UNCSA, WCU, and WSSU).

Table 1. FY2016 Sponsored Program Activity<sup>1-4</sup>

	Total Proposals Dollars	Total Awards Dollars (includes inter-institutional awards)	Inter-institutional Award Dollars	Adjusted Total Award Dollars (minus inter-institutional awards)
<b>Doctoral Granting Institutions</b>				
ECU <sup>2</sup>	\$259,068,807.26	\$102,982,501.59	\$6,079,435.00	\$96,903,066.59
NCA&T	\$181,153,506.31	\$60,228,197.80	\$976,648.00	\$59,251,549.80
NCSU	\$1,032,546,483.00	\$348,603,425.00	\$9,658,274.00	\$338,945,151.00
UNCCH	\$3,418,610,482.85	\$846,680,025.47	\$4,030,569.47	\$842,649,456.00
UNCC	\$228,639,429.00	\$40,316,483.00	\$2,209,468.00	\$38,107,015.00
UNCG	\$84,118,244.93	\$30,735,737.86	\$1,147,241.00	\$29,588,496.86
<b>Master's Institutions</b>				
ASU	\$48,620,608.85	\$16,270,359.38	\$490,695.00	\$15,779,664.38
ECSU	\$19,976,447.71	\$8,535,953.33	\$252,187.00	\$8,283,766.33
FSU	\$27,573,860.54	\$11,734,533.90	\$804,173.00	\$10,930,360.90
NCCU	\$75,024,418.43	\$20,332,484.00	\$721,758.00	\$19,610,726.00
UNCP	\$7,226,440.72	\$4,161,003.00	\$312,075.00	\$3,848,928.00
UNCW	\$47,788,292.31	\$9,463,116.15	\$1,206,551.00	\$8,256,565.15
WCU	\$20,421,007.97	\$6,040,387.97	\$501,987.00	\$5,538,400.97
WSSU	\$27,973,163.99	\$11,211,713.00	\$698,009.00	\$10,513,704.00
<b>Baccalaureate Institutions</b>				
UNCA	\$3,490,989.24	\$3,128,076.86	\$176,591.00	\$2,951,485.86
<b>Special Focus Institutions</b>				
UNCSA	\$613,716.25	\$513,716.25	\$0.00	\$513,716.25
NCSSM	\$10,781,132.91	\$109,500.00	\$12,000.00	\$97,500.00
<b>System Office</b>				
UNCGA	\$11,782,950.59	\$14,380,990.00	\$20,000.00	\$14,360,990.00
<b>Totals</b>				
	<b>\$5,505,409,982.86</b>	<b>\$1,535,428,204.56</b>	<b>\$29,297,661.47</b>	<b>\$1,506,130,543.09</b>

<sup>1</sup> UNC fiscal year runs July 1 through June 30.

<sup>2</sup> Total includes \$53,134,000 in contracts to East Carolina University Physicians (ECUP) for clinical services. Starting in FY2016, contracts to ECUP were recorded in RAMSeS to provide a more complete accounting of extramural funding to ECU.

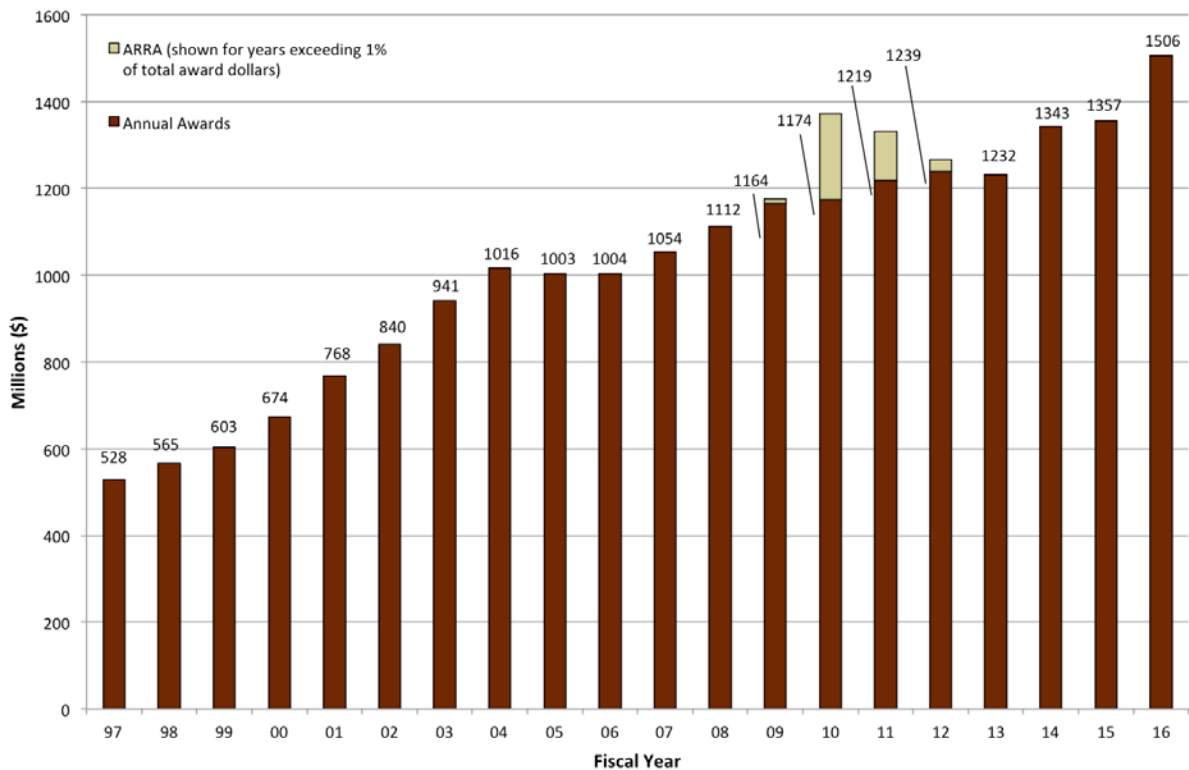
<sup>3</sup> Not all current fiscal year submissions are funded in the same fiscal year. Additionally, FY Total Proposed Dollars includes some non-competing renewal proposals (primarily associated with NIH funding).

<sup>4</sup> Some current fiscal year awards are prior fiscal year submissions.

## Trends in Sponsored Program Funding, FY1997-2016

In the last 19 years, UNC sponsored program activity has more than doubled, even without the boost from the American Recovery and Reinvestment Act (ARRA or “stimulus,” shown in tan). A significant factor in this sustained growth is the wise use of facilities and administrative (F&A) receipts to help institutions cover the costs of supporting the research enterprise. UNC institutions utilize F&A receipts to, among other things, maintain and upgrade research infrastructure; invest in new research through matching funds, seed grants and “start up” packages for new faculty; support library holdings; provide cost share funding needed to attract new research projects and jobs to the state; and ensure compliance with federal and other regulations.

Figure 1. Trends in Sponsored Program Funding, FY1997-2016\*

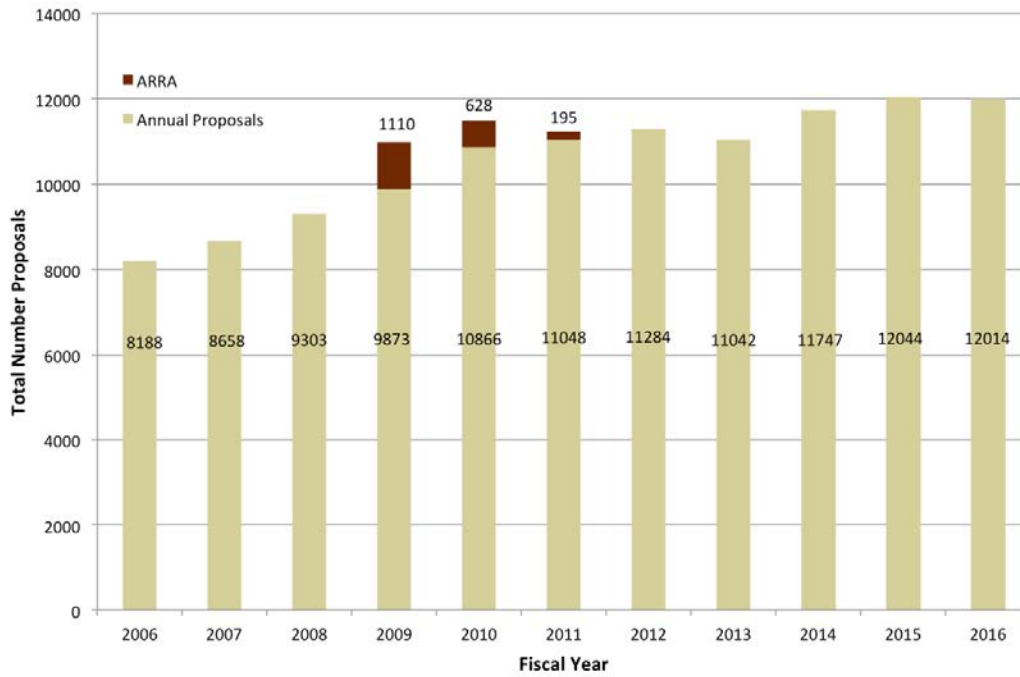


\*To avoid double counting, inter-institutional subagreements are not included in annual sponsored program funding.

## Trends in Proposal Submissions

In FY2016, the number of proposals was comparable to the previous year and again exceeded the high water mark seen during the American Recovery and Reinvestment Act (“stimulus”) period. The growth in proposal submissions over nearly a decade underscores the important contributions made by campus research faculty, administrators, and staff.

Figure 2. Trends in Proposal Submissions, FY2006-2016\*



\*Inter-institutional subagreements require staff effort and are included in annual proposals.

## FY2016 Sponsors

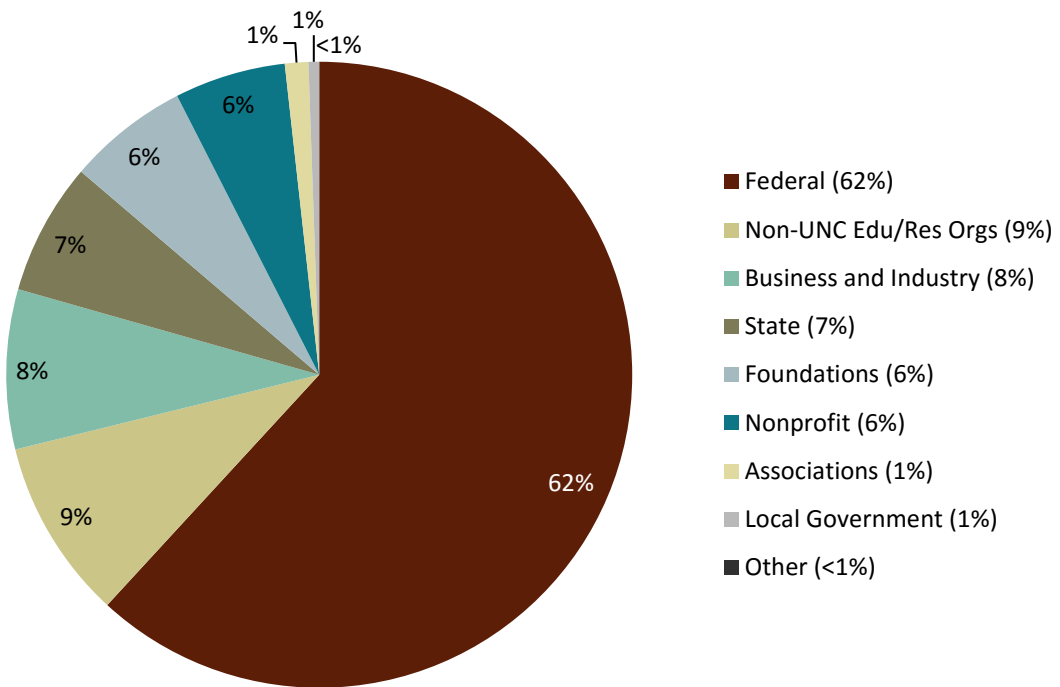
The relative contribution of federal dollars has remained steady over several years, at approximately two thirds of the total sponsored program funding each year. Sponsored award funding from several different sectors grew in FY2016 over the previous fiscal year. Dollars from nonprofit organizations grew by 137%, dollars from business and industry grew by 32%, and dollars from state governments (including states outside NC) grew by 28%.

Table 2. FY2016 Sponsors by category

<b>Unites States Federal Government</b>	
5771 - National Aeronautics and Space Administration (NASA)	\$4,335,674.03
5764 - National Foundation for the Arts and Humanities (NFAH)	\$606,474.00
5738 - National Science Foundation (NSF)	\$125,222,081.00
5845 - US Small Business Administration (SBA)	\$6,343,122.00
5670 - US Department of Agriculture (USDA)	\$50,920,656.63
5634 - Department of Commerce (DOC)	\$5,766,902.42
5522 - Department of Defense (DOD)	\$45,379,419.78
5500 - US Department of Education (DOED)	\$80,790,769.00
5453 - Department of Energy (DOE)	\$26,638,279.37
5285 - Department of Health and Human Services (DHHS)	\$47,071,438.46
5332 - National Institutes of Health (NIH)	\$439,950,764.68
5446 - Department of Homeland Security (DHS)	\$8,766,772.00
5442 - Department of Housing and Urban Development (HUD)	\$15,608.00
5393 - US Department of the Interior (DOI)	\$4,299,466.09
5430 - US Department of Justice (DOJ)	\$2,570,268.81
5424 - Department of Labor (DOL)	\$50,000.00
5409 - US Department of State (DOS)	\$2,783,051.00
5375 - US Department of Transportation (DOT)	\$2,067,277.59
5368 - Department of Veterans Affairs (VA)	\$596,567.00
5269 - United States Environmental Protection Agency (EPA)	\$8,965,049.90
5262 - Agency for International Development (USAID)	\$53,449,727.06
5803 - Corporation for National and Community Service (CNCS)	\$890,957.00
5807 - All Other Federal Agencies	\$1,432,440.40
5809 - Executive Office of the President (EOP)	\$0.00
18425 - U.S. Commission on Civil Rights	\$0.00
22001 - National Academy of Education	\$0.00
25130 - President of the United States	\$0.00
25131 - Administrative Office of the United States Courts	\$0.00
Confidential	\$27,736,706.00
<b>Total Funding from Federal Government</b>	<b>\$946,649,472.22</b>
<b>Nonprofit Organizations</b>	
State of North Carolina	\$59,372,478.89
All other states	\$28,325,247.78
<b>Total Funding from Nonprofit Organizations</b>	<b>\$87,697,726.67</b>

<b>Associations</b>	
State of North Carolina	\$1,969,224.00
All other states	\$16,540,160.60
<b>Total Funding from Associations</b>	<b>\$18,509,384.60</b>
<b>Foundations</b>	
State of North Carolina	\$20,837,391.00
All other states	\$74,803,523.58
<b>Total Funding from Foundations</b>	<b>\$95,640,914.58</b>
<b>Local Government</b>	
State of North Carolina	\$8,390,984.46
All other states	\$31,292.00
<b>Total Funding from Local Government</b>	<b>\$8,422,276.46</b>
<b>Educational and Research Institutions</b>	
State of North Carolina	\$42,044,203.82
All other states	\$100,627,311.21
<b>Total Funding from Educational and Research Institutions</b>	<b>\$142,671,515.03</b>
<b>State Government</b>	
State of North Carolina	\$99,139,692.54
All other states	\$5,443,835.38
<b>Total Funding from State Government (NC)</b>	<b>\$104,583,527.92</b>
<b>Business and Industry</b>	
State of North Carolina	\$39,068,194.25
All other states	\$87,187,933.43
<b>Total Funding from Business and Industry</b>	<b>\$126,256,127.68</b>
<b>Other Sponsors</b>	
State of North Carolina	\$1,303,020.00
All other states	\$460,581.75
Foreign Sponsors	\$2,610,441.40
<b>Total Funding from Other Sponsors</b>	<b>\$4,374,043.15</b>

Figure 3. FY2016 Sponsors by category



## FY2016 Commercial Activity

UNC institutions possess a wide array of existing and emerging strengths in research and related commercial activities. Some institutions are developing inputs and activities (e.g. strategic faculty hires, sponsored awards, entrepreneurship programs) while others are focused on realizing greater outputs, outcomes, or impacts from the assets already in place.

A number of indicators can be used to assess commercial success, and care should be taken when interpreting these data, as not all research activities are intended or appropriate for moving toward commercialization. UNC institutions with the largest research programs estimate that approximately 10% of their faculty is engaged in research with commercial potential.

Invention disclosures are one output and a first step in a pathway towards the realization of commercial applications from university discoveries. Outcomes can include, but are not limited to, patents issued, licenses executed, start-ups, and license income. New business startups may also emerge that do not involve specific intellectual property or commercialized technology. Startups of that nature are not reflected in the numbers below.

The Association of University Technology Managers (AUTM) Annual Licensing Survey is a leading source of information on university commercial activity and indicators of potential in this area. With occasional exception, UNC's doctoral granting institutions report their activities in the annual AUTM survey. Data from all other institutions are self-reported.

Table 3. Commercialization in FY2016

	<b>Invention Disclosures</b>	<b>US Patents Issued</b>	<b>Licenses or Options Executed</b>	<b>Start-ups</b>	<b>License Income</b>
<b>Doctoral Granting Institutions</b>					
<b>ECU</b>	12	5	7	3	\$102,349.00
<b>NCA&amp;TSU</b>	10	6	0	0	\$23,000.00
<b>NCSU</b>	290	53	164	12	\$3,844,823.11
<b>UNCCH</b>	196	47	53	8	\$4,039,704.00
<b>UNCC</b>	41	17	8	5	\$61,828.00
<b>UNCG</b>	10	2	3	0	\$37,479.67
<b>All other Institutions (ASU/NCCU/UNCW/WSSU)</b>					
	25	3	2	3	\$109,022.19

Table 4. Trends in Commercialization, FY2012-2016

	<b>Invention Disclosures</b>	<b>US Patents Issued</b>	<b>Licenses or Options Executed</b>	<b>Start-ups</b>	<b>License Income</b>
<b>FY2016 Totals</b>	584	133	237	31	\$8,218,205.97
<b>FY2015 Totals</b>	581	90	218	31	\$10,886,254.50
<b>FY2014 Totals</b>	467	97	212	31	\$15,927,896.60
<b>FY2013 Totals</b>	449	85	197	30	\$10,735,866.79
<b>FY2012 Totals</b>	532	91	149	17	\$8,977,264.00

## AGENDA ITEM

A-8. Proposed Policy on Involvement of Centers and Institutes in Legal Actions..... Joe Knott

**Situation:** This proposed policy seeks to protect the academic focus of Centers and Institutes by restricting Centers and Institutes from participating in litigation.

**Background:** There are approximately 240 academic Centers and Institutes on the 16 campuses of the University of North Carolina (“UNC” or “the University”). The Board of Governors supports the establishment of Centers and Institutes as one way to strengthen and enrich University programs and activities associated with the University's core missions of research, instruction, and service. Each university must have procedures for establishing Centers and Institutes and each center is required to identify itself as either a research, public service, or instructional unit.

**Assessment:** The Board of Governors Centers and Institutes regulation currently limits the ability of Centers to engage in lobbying but does not prevent a center from engaging in litigation against private parties or State and local governments. Filing legal actions against the State or city and county governments does not come within the primary purpose of Centers and Institutes.

**Action:** This item requires a vote by the committee and a vote by the full Board of Governors no earlier than the May meeting of the Board of Governors.



### **Involvement of Centers and Institutes in Legal Actions**

I. **Applicability and Purpose.** The Board of Governors believes that the establishment of Centers and Institutes, as defined in Section 400.5[R] of the UNC Policy Manual, can strengthen and enrich University programs and activities associated with the University's core missions of research, instruction, and service. This policy seeks to protect the academic focus of such entities by restricting Centers and Institutes from participating in litigation.

II. **Legal Actions.** No Center or Institute may do any of the following:

A. File a complaint, motion, lawsuit or other legal claim in its own name or on behalf of any individual or entity against any individual, entity, or government or otherwise act as legal counsel to any third party; or

B. Employ or engage, directly or indirectly, any individual to serve as legal counsel or representative to any party in any complaint, motion, lawsuit, or other legal claim against any individual, entity, or government or to act as legal counsel to any third party.

III. **Other Matters.**

A. **Effective Date.** The requirements of this policy shall be effective on the date of adoption by the Board of Governors. The requirements of this policy shall not apply to any pending legal action in which a Center or Institute was participating immediately prior to the effective date of this policy, provided that the Center or Institute notifies the secretary of the Board of Governors, in writing, of its participation in such action within thirty (30) days of the adoption of this policy.

B. **Relation to State Laws and University Policy.** The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments and existing University policies which may govern or relate to the matters addressed herein.

C. **Regulations and Guidelines.** This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.