Board of Trustees
Research, Economic Development and Community Engagement
Tuesday, July 13, 2004

AGENDA

Approval of Minutes for May 7, 2004

Research and Graduate Studies

I. Update: Research

II. Update: Research Infrastructure

III. Update: Graduate Studies

IV. Discussion: Articles from May 7, 2004, Board meeting

Economic Development and Community Engagement

I. Update: Economic Development and Community Engagement activities
MINUTES
Division of Research and Graduate Studies – and –
Office of Economic Development and Community Engagement Committee
Friday, May 7, 2004
Mendenhall Student Center, Great Room 1, 2, 3


The meeting was called to order by Chairman Greczyn at 10:22 a.m. A motion was duly made and seconded to approve the March 26, 2004 committee minutes. The motion was carried.

Chairman Greczyn commented briefly on the Committee’s two-hour meeting of Thursday, May 6, 2004. The purpose of the meeting was to provide all the committee members with a basic understanding of what is going on at the university relative to both Research and Economic Development. These components are both critical for the future of ECU. Mr. Greczyn stated that as a result of the meeting, he was now positioned to be able to assist and support Chancellor Ballard as he comes into the university to create even greater opportunities in attracting research funding to ECU, as well as continuing to be an important part of the community’s economic development efforts.

Mr. Greczyn called on Dr. John Lehman for a report from Research.

Dr. Lehman directed the members to his report in the Board book and also on CDs. The report was an update given to the Chief Research Officers of all sixteen University of North Carolina (UNC) campuses by the Office of the President (OP) about two weeks prior. Slides from Russ Lea, Vice President for Research’s presentation were shared. The slides covered a definition of grants and contracts, the scope of the UNC Sponsored Programs, a graph of the UNC Sponsored Program Awards for FY 1993 to FY 2003. The amount of grants and contracts since ‘93 had gone from $425M to $941M. This was certainly very impressive because it puts UNC at number three in the country as far as external funding goes. Awards by Purpose showed that the majority of dollars were for Research (77%), with Public Service at 11%, Academic Affairs at 7% and Other at 5%. As for awards by sponsor, 67% came from the Federal government, 7% from industrial, 10% from state and local government, 5% from foundations and 11% from Other. The final slide looked at fiscal year 2003 external funding. National Institute of Health (NIH) topped its sponsorship over Department of Defense (DoD), National Science Foundation (NSF), Education Department (ED), and all other. A point of interest is the amount of money coming into the school system from NSF had dropped somewhat. An analysis is being done to find out why this happened. The other concern is the NIH budget, which has doubled since 1999.
The last two pages of Dr. Lehman’s handout was a look at how ECU is doing from July 2003 to end of March 2004. The number of submissions was 387 ($105,734,538) over the previous year’s of 329 ($101,484,617). Awards also showed a slight increase over last year’s – 220 awards for $24M vs. 210 awards for $21.3M. A summary of the year-to-date percentage change report of the university divisions showed that Academic Affairs had seen a significant increase from $5.8M to about $8.1M over the same period this year. What was concerning was the fact that Health Sciences was actually down a little bit by about half a million. Dr. Lehman stated he would have to make an analysis of exactly why this was happening.

Dr. Lehman then synopsisized the five articles from *The Chronicle of Higher Education* and *The Scientist* which were sent to the Trustees for their review. He hopes that at the next Board meeting, he would be given the opportunity to have a discussion of the articles. The first article from *The Chronicle of Higher Education*, dated February 6, 2004, gave a glance at what the NIH budget supported the last five years. The interesting part was how it looked at where the money went – who doubled the budget and who got the money (those that had the money got even more money). The two succeeding articles in that same issue – How One University Missed Out on the Rising Tide of NIH Funds …, (SUNY Albany) and – … and Another Caught the Wave – were interesting as well. The one that caught the wave, University of California Irvine, basically doubled their NIH budget from around $48M to almost $95M.

There was also a series of articles from *The Scientist* published early this year. The journal polled scientists in the U.S. and Europe on what makes a strong research institute – why you go there and why you want to stay there. They came out with 12 points. It’s quite interesting that it wasn’t always the biggest amount of money one can make but the attitude that the administration and the university project that counts.

The final article was one that came out two years ago – Top Research Institutions Reveal All. *The Scientist* went out and polled the three top grant-getters – Johns Hopkins University, University of Pennsylvania, and the University of California, San Francisco. How did these institutions get this much money? The answer was – they went to the infrastructure. These institutions basically said the same thing – what we try to do is make it user-friendly for our faculty; recognize that the faculty write the grants, the faculty are the ones that have the ideas and have to move forward. What the infrastructure has to do is make sure that we help the faculty, not write the grants, but get everything out. Dr. Lehman said ECU is now in same the process – we have a great opportunity with a number of individuals: Dr. Jim Smith, Dr. Michael Lewis, Mr. Chuck Hawkins, pre- and post-awards and many other people in the infrastructure, to try and move this system forward. It’s functioning here, but we have some major issues that have to be addressed. Dr. Lehman has promised both the east campus and the west campus that by this summer the systems will be efficiently working so that the investigators will be getting all the help that they need in order to move their grant applications out, and once the grant applications come in, that they will be spending that money very quickly.

As there were no questions asked of Dr. Lehman, the meeting proceeded to Economic Development and Community Engagement.
Dr. Bob Thompson was recognized and he gave his brief report. There were two items/paragraphs in the report. He stated that work has been continuing on developing the infrastructure and reorganizing of Community and Economic Development, but there were two items he wanted to bring to the Board’s attention. One, the Permission to Plan documents for the Institute for Community and Economic Development has been submitted to the Office of the President. We now have to await their decision on that. We did receive all the agreements from the participating institutions: Elizabeth City, Fayetteville, NC State, Pembroke, Wilmington and ourselves. As soon as the Office of the President acts on the Permission to Plan, then the Permission to Establish documents will be submitted.

Dr. Thompson discussed the Third Annual ECU Venture Forum, April 22, 2004. Six individuals/inventors with start-up companies presented their proposals to about two dozen different investors. East Carolina University and Small Business Technology Development Center served as the mechanism for bringing these folk together, allowing them to present their basic ideas, then have a socializing opportunity where individuals could talk one on one and help work out potential investment opportunities for both sides. It was very well received; Dr. Thompson stated he was fascinated by the range of projects. A number of them had biotechnology as a basic field; others dealt with hog lagoon wastes, and if they work, they will fundamentally change that operation.

Mr. Showfety commented that ECU is just getting established in economic development. He shared with Dr. Thompson two documents that he hopes can serve as a template to see how these neighboring regions develop their individual strategies. One document was from the Department of Commerce’s initiative on regional partnerships; the other was from the Piedmont Triad Partnership. The Governor was at the Piedmont Triad Partnership to talk about an initiative he has been personally involved with at the Research Triangle area. They evidently have established a strategy whereby they intend to maintain their position as being among this nation’s leader in job creation. Part of this presentation brought their strategy for that particular partnership that is called Winning the Job Wars in the Future – a competitiveness plan for the Research Triangle Park. ECU has got to work closely with our region on our mission on economic development.

Chairman Talton commented that he was encouraged from what he hears from economic development and community engagement. He, too, reiterated that these were critical and important for eastern NC. He went on to commend Dr. Lehman and said he was extremely encouraged by his action, comments and plans about significantly advancing research activities and dollars in ECU that will make a tremendous difference.

Mr. Brody asked Dr. Lehman about the Medical School where the significant opportunity for research dollars lies. He asked if funded fellowships was a key component to freeing up some of the people’s time for research.

Dr. Lehman responded, yes, this was a key component for success for the medical school and also for east campus. If faculty is recruited, in order to have a really credible research program, you have to be able to devote about 60-70% of your time – both on the east and west campus. Two things need to happen – a chairman that knows that they
have to protect that research time, and the rest of the faculty to buy-in. It means that on the east campus some of the faculty are going to have to spend a little bit more time in teaching and service responsibilities to the undergraduates. And on the west campus, it means that some of the practicing physicians in the clinical departments are going to have to spend a little bit more time seeing more patients or doing more surgeries in order to release that time. Therefore, you need the faculty member that is willing to do that; you need the chair or the dean to recognize that that has to happen – you have to have that focus, and then you have to have the other faculty buy-in.

Mr. Brody commented that specifically in this case, it’s been his perception that the family practice plan had been under such pressure that the doctors were spending a tremendous amount of time to produce at the family practice center, hence they don’t have the time to produce in the research department, and that if we had more funded fellowships, it would take the pressure off of the researchers.

Dr. Lehman said that was a fair statement. In other words, if you could give the chair a half-time or full-time physician, to allow that individual to do research, then you would be able to accomplish that. An example of this was a faculty, Ray Morrison of the department of pediatrics. Dr. Morrison was just awarded with a KO4 award at the BSOM. He is partnering with a basic scientist in the pharmacology department, and they received a 5-year award which would allow us to release him from the clinic. His department chair, Dr. Perkin, said that was fine. Obviously, he had to make a commitment upfront and the other faculty had to allow this physician to do that.

Mr. Brody said the west campus has not done a good job of raising monies for funded positions from endowments. Endowed chairs and fellowships would be a huge springboard and leverage.

In closing, Chairman Greczyn commented briefly that that was what we need that to make this work. At the Committee meeting the day before, it was discussed that we need to continue to build collaborations with Duke and Chapel Hill, because ultimately we have the patients down here, and as we build that collaboration, we build our reputation and qualifications to then become the primary investigator the next time that cycle comes around.

With no other comments or questions, Chairman Greczyn concluded the Committee’s report at 11:50 a.m.

Respectfully submitted,

Margaret Pio
# Year-to-Date Total Awards by Academic Units in Divisions

Unmodified for Multi-Disciplinary Proposals

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* AA Other: Cooperative Education, International Programs, Registrar, Undergraduate Admissions
* HS Other: Center of Student Opportunities, Health Sciences Library, Health Services Research Development
# YTD Percentage Change Report

**May Report for 03-04**

## Submissions

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## Awards

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MEMORANDUM

TO: Chancellor Ballard

FROM: Robert J. Thompson

DATE: June 25, 2004

RE: Economic Development and Community Engagement Report for Upcoming Board of Trustee Meeting

At this time only a brief update on the university's economic development and community engagement activities is warranted. I have also attached a copy of the overview report that I gave to you for the Board's general information.

1. **Institute for Economic and Community Development**: As was previously reported, this proposed institute has been approved for planning and work has continued on the next stage for final approval. Members from the partner institutions have met and discussions have been held with staff at the Office of the President concerning the process for securing permission to establish. Final documents should be ready for submission to the Office of the President by the end of July.

2. **Asian Ventures Partnership**: A delegation of South Korean government and business leaders visited the campus on June 21-22. They were particularly interested in the non-invasive robotic cardiovascular surgery procedures and the technology of telemedicine. The visit went very well and the university will likely be invited to participate in some joint technology transfer ventures.

3. **Washington Initiative**: The University’s Washington Initiative is proceeding. Draft priorities have been discussed with the deans and will shortly be reviewed by the appropriate vice chancellors for further refinement. They will then be forwarded to you.
Economic and Community Development

Dr. Robert J. Thompson

May 25, 2004

Outline

• General History
• Economic Development and Community Engagement Units
• Economic and Community Development – Functional Organizational Chart
• Regional Development Institute
• Center for Survey Research
• Small Business and Technology Development Center
• Community Engagement
• Outreach Network
• HUD Grant – Rocky Mount
• Pending – Institute for Community and Economic Development
• Pending – Washington Initiative
• Pending – SECA
• Pending – Entrepreneurial Initiative
• Pending – Japan Center East
• Pending – Other
  – NC Bio Tech Proposal
  – Service Learning
  – Asian Ventures Partners
  – Regional Science Center
  – Coalition of Urban and Metropolitan Universities
General History

• ECU's involvement in public assistance directed toward regional economic development began in 1964 with the establishment of the Regional Development Institute (RDI)

• This was the first such institute in the United States established after federal funding became available

• Over time various other units were added to RDI and the name given to the overall entity was Regional Development Services

• In addition to RDI, these new entities were:
  – Small Business and Technology Development Center
  – Center for Survey Research
  – Center for Applied Technology (since moved to Academic Affairs)
  – Japan Center East

• During most of its existence, RDS reported through the Division of Institutional Advancement

• Funding has largely come through a mix of separate state appropriations, contract revenues, and university monies.

General History -2-

• In July 2002, the Division of Research and Graduate Studies was changed to the Division of Research, Economic Development and Community Engagement
  – Graduate Studies was transferred to Academic Affairs
  – RDS was moved to the new division
  – An Office of Community Engagement was created

• In November 2003 Vice Chancellor Feldbush retired and the division was reorganized with responsibility for Graduate Studies returning to the division and the economic and community development functions transferred to the Chancellor’s Office

• Since then focus has been on developing the administrative infrastructure of these units, straightening out some financial issues, and positioning the units for future actions

• There are currently three primary functional areas of work:
  – Economic Development
  – Community Development
  – Specialized Support Services
Economic Development and Community Engagement Units

Office of Community Engagement
- Community Engagement
- ECU Outreach Network
- Chancellor’s Community Advisory Council

Regional Development Services
- Regional Development Institute (RDI)
- Small Business and Technology Development Center (SBTDC)
- Center for Survey Research (CSR)
- Japan Center East
- Rocky Mount HUD Grant

Economic and Community Development

Functional Organizational Chart

Office Oversight/Coordination

Economic Development
- Empirical Studies (Economic Impact)
- SBTDC
- Entrepreneurial Initiative
- Japan Center East

Community Development
- Empirical Studies (Transportation/Site Planning)
- Community Engagement
- ICED

Specialized Support Services
- ECU Outreach Network
- Center for Survey Research
Regional Development Institute (RDI)

• Regional Development Institute (RDI) – continues to provide service to local, state, and even federal agencies as well as non-profit entities on a contract basis

• Staff – 3 professional staff (2 FTE) and 2 administrative support staff (1.75 FTE)

• Recent examples of projects –
  – Military Impact in NC
  – Eastern Region Entrepreneurial Study
  – Eastern NC Regional Science Center
  – Surf City Economic Development Planning
  – Hispanic Economic Impact Planning Study
  – Coastal Community Action
  – Transportation Studies (Hyde County, Choanoke Public Transit Authority)
  – Jones County Economic Development Industrial Park Design
  – Town of Grifton Census Survey

Regional Development Institute -2-

• Overview of impact
  – RDI serves approximately 30 clients per year
  – During the past 40 years RDI has done work for virtually every county and most communities in eastern North Carolina
  – The services it provides to local governments enable them to complete projects, secure additional state or federal funding, or apply for private funding

• Future personnel needs
  – Cartographer
  – Economic forecaster
  – Entrepreneurial Initiative
  – Graduate & Faculty Fellowships
Center for Survey Research (CSR)

- The CSR has been active for almost 20 years
- Provides survey assistance to local, state, and even federal agencies as well as non-profit entities on a contractual basis
- In recent years, the finances of the CSR have been in a serious deficit.
- A new business plan has been developed and personnel changes have occurred. In addition, revisions are occurring in the billing and administrative overhead procedures and amounts.
- Given the current level of business and that projected, the CSR should be able to cover its expenses within a couple of years. In the meantime, an agreement has been worked out with the Division of Administration and Finance to carry the deficit.

Small Business and Technology Development Center (SBTDC)

- **Mission**
  - Support economic development in the state by helping companies meet challenges, manage change and plan for the future
  - Help small to medium-sized businesses improve operations and expand
  - Provide assistance and guidance to serious business start-ups
  - Facilitate technology development and commercialization within the state’s small business community

- **Client Success**
  - Serves approximately 600 clients each year (can double during disasters)
  - Has served over 3,500 clients during the past 5 years
  - SBTDC clients have 85% survival rate
    - National rate is 40% over six years
  - SBTDC clients grow five times faster than the average NC small business
  - Clients estimate SBTDC services to be worth $39.6 million
    - Ten times larger than the SBTDC’s total budget

- **Funding** – separately funded by state and federal dollars in partnership with Small Business Administration (SBA)
SBTDC -2-

- SBTDC Service Areas
  - Business & Research Services
  - Government Procurement
  - International Business Development
  - Marine Trades
  - Technology Development and Commercialization

- Management Education Services
  - RMA Compare2
  - Strategic Needs Assessment
  - Strategic Performance Retreat
  - SymmeTree Executive Education Program

- Classes offered to clients
  - Start-up
  - Market Research & Planning
  - Cash Flow Projections
  - Procurement

SBTDC -3-

- Focus on research, development, and commercialization of new technologies
  - New product development, licensing, and market
  - Research and development funding through federal programs - Small Business Innovation Research (SBIR) and Small Technology Transfer Research (STTR)
  - Intellectual property issues
  - Financing alternatives
  - Venture Forum and Angel Investor Network

- ECU Partners
  - College of Business
    - SBI Teams
    - MBA Teams
    - MBA Interns
    - Volunteers
    - Faculty
  - Industrial Technology
  - Tourism
Community Engagement

• Community Access to the University
  – Through the staff of Office of Community Development
  – Website: www.ecuconnect.org
    • Includes query-based submissions
    • Faculty expertise database (1300 entries) ready to go online
    • Spanish Version online

• Community Groups
  – Council on Community Engagement
    • University, business, government, and community leaders (3 counties)
  – Chancellor’s Community Advisory Council
    • Minority leaders from Greenville, Pitt County (African American, Hispanic/Latino)

• Activities
  – 45 Community Visits by Staff
  – Responded to over 50 community requests during 1st year
  – Offered 2 community workshops (Economic Development / Grant-writing)
  – Strategic Planning Workshop for Hyde County Leaders
  – Weekly Radio Show and monthly column in minority newspaper (Chancellor’s column)
  – Grassroots Leadership Training
  – Service-Learning and Student Volunteer Opportunities

Outreach Network

• Purpose – to work with community organizations and local government entities to find resources for programs that promote sustainable growth and development in eastern NC

• History –
  – Began as a pilot project following Hurricane Floyd in 1999
  – Successful in securing grants from local foundations and government agencies
  – Funding provided by ECU in 2003. Faculty buyout and graduate assistants from Technical Writing and Political Science.
  – Major success is the ECU-HUD Rocky Mount Grant in 2002

• Activities –
  – 3 grants submitted totaling more than $200K (e.g., Substance Abuse Coalition for Pitt County, Power of One Mentoring Program)
  – 3 grants being prepared for Submission
  – Several other grant projects in early stages

• Long Term Goal –
  – Find an outside agency to fund the program on a regular basis
HUD Grant – Rocky Mount

• Purpose –
  – 3 year grant to assist in improving the quality of life for residents of the Rocky Mount community and create safe, viable, and vibrant neighborhoods that are also central hubs of educational, health, family-support, and economic-development activities

• Programs –
  – Neighborhood Revitalization Program
  – Social Development Program
  – Health Education and Awareness Program

• Issues –
  – Coordination of ECU and City of Rocky Mount activities
  – ECU program leadership in Rocky Mount
  – Coordinating ECU faculty involvement
  – Extending the program an additional year because of start-up difficulties

Pending - Institute for Community & Economic Development

• Mission: The mission of the Institute is to engage resources from member institutions with community partners to provide support and programs in eastern North Carolina that increase the capacity to solve significant community problems and foster economic growth.

• Partner institutions: ECU, Elizabeth City State University, Fayetteville State University, NCSU, UNC-Pembroke, and UNC-Wilmington

• Status: Permission to plan granted May 6, 2004. Permission to establish documents in preparation

• Future projects: This is the first cooperative inter-institutional institute designed to bring UNC campuses together to address economic and community development issues in their service region. Interest has already been received from external agencies seeking to work with this proposed institute, most notably Fannie Mae.
Pending - Washington Initiative

- In an effort to increase federal funding - grants, contracts, and direct appropriations – Mr. Al Delia (director of RDS) has been temporarily assigned to Washington to serve, in essence, as a federal relations person for ECU.

- OP has been informed of the effort and is in agreement with the concept. Several other campuses employ individuals in a similar role as long as they work in conjunction with the UNC office on UNC priorities.

- Mr. Delia has been asked to prepare a fuller proposal on the operational details if this assignment is to be made permanent.

- Thus far, the Executive Council has been supportive of this proposed action and believe that a permanent person needs to be given this assignment.

- Funding to date has been on the basis of one-time funds and a decision needs to be made for actions to occur after June 30, 2004.

Pending - SECA

- ECU has been at the forefront in the development of a proposal for a Southeast Regional Crescent Authority (SECA) under the leadership of Mr. Al Delia

- The proposed body would be funded and function similarly to the Appalachian Regional Authority

- It would serve the needs of poor counties in Virginia, North Carolina, South Carolina, Georgia, Alabama, Mississippi, and Florida

- Bills have been introduced in Congress and have received considerable support from both Democrats and Republicans; passage is expected

- If successful, SECA would bring millions of dollars in federal support to this region

- Conference currently scheduled for June 4, 2004 at UNC-W to inform prospective partners of potential funding opportunities
Pending - Entrepreneurial Initiative

- Overview of proposal
  - Create an opportunity for ECU to work with “spin-in” and “spin-out” companies in eastern North Carolina.
    - Foster entrepreneurial activity in eastern NC
    - Keep and expand companies in eastern NC
    - Facilitate the smooth transition of ECU Technology Transfer companies to commercialization
  - Involve angel and venture-capital investors in eastern NC with ECU initiative
  - Involve faculty and student teams in
    - Business aspects of developing companies
    - Technological issues in product development

- Specifics
  - EI would work with companies screened by SBTDC (limited in resources and mission)
  - EI would work with less than a handful of companies each year
  - For its involvement ECU would take an equity interest in the companies
  - Opportunities for investors in eastern NC who work with EI to also invest
  - Serve as liaison for ECU with such external economic development agencies as Eastern Region Economic Development Council, NC Rural Center, and Pitt County Development Commission

Pending - Japan Center East Reorganization

- The Japan Center East was established as a branch of the Japan Center at NCSU in the late 1980s

- Dr. Donald Spence was the primary individual behind the Center through his grant work in the then School of Education

- In the 1990s the Center was moved to the Office of International Studies

- The Center was moved to RDS from the Office of International Studies as Dr. Spence became more involved in recruitment of Japanese business to the region in conjunction with the Pitt County Economic Development Commission

- In January 2004, Dr. Spence died unexpectedly and was honored for his contributions by the Japanese Consulate

- As the university currently does not have someone with the skills to replace Dr. Spence in the performance of his various roles, a division of the responsibilities has been proposed and is under review.
Other Pending Issues

• NC Biotech – There has been discussion of hiring an individual to serve as the university/community/regional liaison with the NC Biotech Center. Would involve dedicating a position, space, and operating funds. Some potential for securing limited external support. Payoff expected to be in the development and recruitment of biotech firms to the area and the building of linkages with the university.

• Service Learning – The Office of Community Development is working in conjunction with Academic Affairs and the Volunteer Center as it develops service learning into an academic program. Primarily Community Development will assist in the development of possible sites and projects.

• Asian Ventures Partners – This is a Korean firm with government connections which wants to develop cooperative relations with ECU. They have also talked with NCSU and the Research Triangle as well as other universities. We have signed a letter of agreement to talk; nothing beyond that. They will probably invite the Chancellor and a team to visit Korea.

• Regional Science Center – A local board composed of a number of influential people is interested in developing a regional science center. They are exploring the idea of doing this project in a old historic building the university has purchased. We have agreed to allow them to study this concept and analyze the site, but our only formal agreement is to talk. We have not yet studied the property in terms of our own proposed uses of the building and the adjacent property.

• Coalition of Urban and Metropolitan Universities (CUMA) – Recommend ECU join. This is a rich source of ideas for community/university interactions about community engagement and service learning.