

PROCEDURES FOR ANNUAL AND COMPREHENSIVE REVIEW OF CENTERS AND INSTITUTES

East Carolina University 04.28.2023



Table of Contents

Introduction	2
Overview.....	2
Participating Entities.....	2
Centers and Institutes Committee	2
Administrative Home of the Center or Institute Under Review	3
Director of the Center or Institute	3
Self-Study Review Committee	3
Independent Review Committee	4
Information for Faculty, Directors, and Administrators	5
Review Schedule	5
Guide to the Review Process.....	5
Flow Chart of the Review Process	8
Review Process Timeline.....	9
Components of the Self-Study	10
Selecting the Review Committee.....	12
Charge of the Review Committee.....	13
Sample Charge.....	13
Information for Reviewers	15
Composition and Roles of the Review Committee	15
Members	15
Reviewers' Responsibilities	15
The Review Committee Report.....	16
Travel and Expense Information for External Reviewers	18
Appendices	19
Appendix A: Abbreviated Checklist and Timeline for the Review Process	20
Appendix B: Self-Study Template	22
Appendix C: Itinerary Template	23
Appendix D: Internal and External Reviewer Contact Information Template	25
Appendix E: Review Committee Report Template	29
Appendix F: Action Plan Template	30

Introduction

Overview

East Carolina University (ECU) in accordance with UNC Policy 400.5R requires each UNC-designated center and institute to report annually to the ECU Centers and Institutes Committee and to undergo a comprehensive review every 5 years. Each center or institute director is required to be reviewed both annually by the next higher level senior administrator in the organizational structure and as part of the 5-year comprehensive review process.

Annual reports provide the mechanism by which the Centers and Institutes Committee monitors productivity of centers and institutes in relationship to their stated missions, expectations, and resources expended. The annual reports are completed using a standardized template that allows aggregation of data at the time of the comprehensive review. To the extent possible, the annual report includes the assessment components required for institutional accreditation, allowing the report to meet annual assessment reporting requirements. Following the 5-year comprehensive review, the annual report becomes the mechanism by which progress on action plans are documented by the center or institute and tracked by the Centers and Institutes Committee.

The comprehensive review provides independent assessment of the overall effectiveness and impact of centers and institutes relative to ECU's mission and strategic goals, resources allocation, productivity relative to the resources available, specific strengths and weaknesses relative to similar entities at other institutions, and opportunities for improving performance and growing the enterprise. The review process is comprised of five major components:

1. Self-Study informed by the aggregate data from the annual reports
2. Review by an independent Review Committee
3. Review Committee's Report, including recommendations
4. Action Plan that details the response to the Review Committee's Report and provides focus for a post-review meeting of the director and the Centers and Institutes Committee
5. Annual Report to the Centers and Institutes Committee on implementation of the Action Plan

Participating Entities

All reviews will be conducted under the direction of the Centers and Institutes Committee in coordination with the Office of the Provost. Funding of the review process will be managed by the Office of Institutional Planning, Assessment, and Research.

Centers and Institutes Committee

The Centers and Institute Committee delegates a representative to coordinate and manage all aspects of the review process. The Committee's Representative will:

1. Conduct the initial planning sessions with the directors to ensure that the Self-Study is initiated in a timely manner.
2. Provide historical productivity metrics and list of affiliated faculty as reported in the annual reports for the previous 5 years.
3. Survey the center's or institute's constituents to assess performance of the center or institute and its director against the stated mission and goals.
4. Receive the Self-Study report from the director.
5. Coordinate with the internal review committee and director to provide feedback on the self-study.

6. Append the results of the survey to the Self-Study.
7. Distribute the Self-Study and Survey Results to the Review Committee, the appropriate dean, and Office of Research, Economic Development and Engagement (REDE) representatives.
8. Receive the Review Committee Report and disseminate it to the director, the appropriate dean, and REDE representatives.
9. Receive the final revised Action Plan and disseminate it to the appropriate dean and REDE representatives.

The Centers and Institutes Committee will:

1. Evaluate progress on the Action Plan annually.

Administrative Home of the Center or Institute under Review

The dean or designee of the administrative home of the center or institute will meet with the Review Committee and participate in the exit interview. Following completion of the review, they will receive a copy of the Review Committee's report from the Center and Institute Committee Representative and meet with the director to develop a response plan for implementing the recommendations of the Review Committee. The dean and Provost must approve the Final Action Plan prior to its implementation and provide the necessary resources outlined in the plan.

Director of the Center or Institute

The director is responsible for:

1. Working with faculty to write the Self-Study.
2. Forwarding the Self-Study to the Centers and Institutes Committee Representative.
3. Revising the Self-Study based on the recommendations of the Self-Study Review Committee.
4. Forwarding the revised Self-Study to the dean and Centers and Institutes Committee Representative.
5. Recommending a list of five internal reviewers and if applicable, five external reviewers.
6. Consulting with faculty associated with the center or institute to recommend the review dates and to help arrange the schedule of the review.
7. Meeting with the Review Committee.
8. Working with the faculty to develop a draft Action Plan.
9. Meeting with appropriate dean and REDE representatives to present the draft Action Plan.
10. Revising the draft Action Plan and developing a final Action Plan.

Self-Study Review Committee

The Self-Study Review Committee reviews the self-study for accuracy, clarity, consistency, and completeness before it is sent to the independent Review Committee. Members of the Self-Study Review Committee include: the dean (or designee) appropriate for the center or institute, Assistant Vice Chancellor for Research Development, and Associate Dean for Research (or designee) appropriate for the center or institute.

Independent Review Committee

The Review Committee consists of three reviewers that are not associated or affiliated with the center or institute or its director.

- For centers and institutes that receive less than \$100,000 in institutional support annually, the Review Committee consists of three faculty or staff from ECU.
- For centers and institutes that receive \$100,000 or more in institutional support, the Review Committee consists of one internal reviewer and two external reviewers.

Institutional support includes but is not limited to state appropriations, graduate assistantships, F&A distributions, in-kind support, and funds from an affiliated foundation. Institutional support also includes the salary of the director, as well as faculty and staff who are assigned to the center or institute. The director of the center or institute provides recommendations for potential internal and external reviewers. The membership of the Review Committee is decided by the Assistant Vice Chancellor for Research Development.

Information for Center or Institute Directors, Faculty, and Administrators

Review Schedule

Each center and institute is reviewed on a predetermined cycle of at least once every five years. The details of this cycle (month and year of site visit) are determined by the Centers and Institutes Committee in consultation with Academic Program Review and the Office of the Provost. Reviews can be conducted before the end of the five-year cycle as authorized by the Centers and Institutes Committee. Virtual reviews are preferred, but onsite reviews may be conducted if appropriate.

Guide to the Review Process

The primary objectives of the comprehensive review are to 1) assess the value that a center or institute adds to the institution relative to the resources expended in its operations and 2) identify ways to increase the positive impact of the center or institute. Improvement is the result of two final products: (1) an internal evaluation involving self-study and (2) a review conducted by an independent Review Committee.

The timeline and major steps for planning and conducting a formal review are outlined below (see also the Flow Chart of the Review Process on page 8 and the Checklist for Managing the Review Process on page 19). Maintaining the timeline is imperative. Delays may jeopardize the date of the virtual or onsite review by the independent Review Committee.

1. Twelve months prior to a scheduled review
 - a. The Centers and Institutes Committee appoints a representative to oversee each scheduled review. The representative for a review is responsible for ensuring timely completion of all steps of the review process.
 - b. The director consults with the faculty and dean, if applicable, and selects possible dates for the review and proposes reviewers (such as faculty and administrators from other institutions who are familiar with similar centers or institutes, and faculty or administrators at ECU that work in a related discipline). The nominees should not have a relationship with the center or institute or its director being reviewed. The names of potential reviewers are conveyed to the Centers and Institutes Representative.
 - i. For centers and institutes that receive less than \$100,000 in institutional support annually, the director should submit 5 internal reviewers.
 - ii. For centers and institutes that receive \$100,000 or more in institutional support, the director should submit 5 internal and 5 external reviewers.
 - c. The Centers and Institutes Representative compiles data from the annual reports and provides the data to the director.
 - d. The director prepares a Self-Study (See Components of the Self-Study on page 10 and Self-Study Template on page 21) based on input from faculty affiliated with the center or institute.
2. Six months prior to the review
 - a. The Centers and Institutes Representative sends invitations to potential reviewers and finalizes the review team; sets the date for a post-review meeting with the center or institute director, the dean, REDE representatives, and the Provost.
 - b. Institutional Assessment conducts a survey of the center's or institute's constituents to assess performance of the center or institute and its director against the stated mission and goals.

3. Three months prior to the review
 - a. The director sends an electronic copy of the Self-Study to the Centers and Institutes Committee Representative.
 - b. The Centers and Institutes Representative conveys the Self-Study to the Self-Study Review Committee for comment.
 - c. The Centers and Institutes Committee Representative works with the director to develop the itinerary for the review meetings, which include meetings of the Review Committee with the faculty, graduate students, postdoctoral scholars, college/school administrators, and university and community constituents over 2-3 days (See Itinerary Template on page 22).
4. Two months prior to the review
 - a. The Centers and Institutes Representative compiles comments on the Self-Study from the Self-Study Review Committee and sends them back to the director.
 - b. The director revises the Self-Study based on feedback from Self-Study Review Committee.
5. Four weeks prior to the review
 - a. Director sends an electronic copy of the revised Self-Study to the Centers and Institutes Committee Representative.
 - b. The Centers and Institutes Committee Representative sends the revised Self-Study and Survey Results to the Review Committee.
6. The Review
 - a. The Center and Institutes Committee representative hosts the reviewers and coordinates all logistics.
 - b. The Review Committee
 - i. Conducts the review
 - ii. Drafts a preliminary Review Committee Report
 - iii. Circulates drafts among members; and
 - iv. Briefs the director, college/school administrators, REDE representatives, and Provost on findings and recommendations.
7. Within 30 days of the review
 - a. The Review Committee completes the Review Committee Report and sends an electronic copy to the Centers and Institutes Committee Representative, who provides access to the director, college/school administrators, REDE representatives, and the Provost.
8. Within 2 months of the review
 - a. The director in consultation with the advisory board and faculty compiles a draft Action Plan (see Action Plan template on page 29) in response to the recommendations in the Review Committee Report and submits the Action Plan to the Centers and Institutes Committee Representative. The response describes actions they will/will not take to implement the recommendations, who is responsible for the actions, milestones, and a timeline. The response also prioritizes the resource needs that emerge from the recommendations.

9. Within 3 months of the review

- a. The Centers and Institutes Committee Representative convenes a meeting of the director, college/school administrators, REDE representatives, and Self-Study Review Committee members (if different from those listed) to review the draft Action Plan and determine the top priorities.
- b. The Centers and Institutes Committee Representative provides director with written recommendations resulting from the meeting.

10. Within 4 months of the review

- a. The director submits the revised Action Plan to the Center and Institutes Committee Representative.

11. Within 5 months of the review

- a. The Centers and Institutes Representative convenes a meeting of the director, college/school administrators, REDE representatives, and the Provost, where the director summarizes actions to be taken.
- b. The Centers and Institutes Representative provides a written summary of recommendations coming out of the meeting to the director.
- c. The director revises the Action Plan to reflect any new actions that emerge from the meeting.

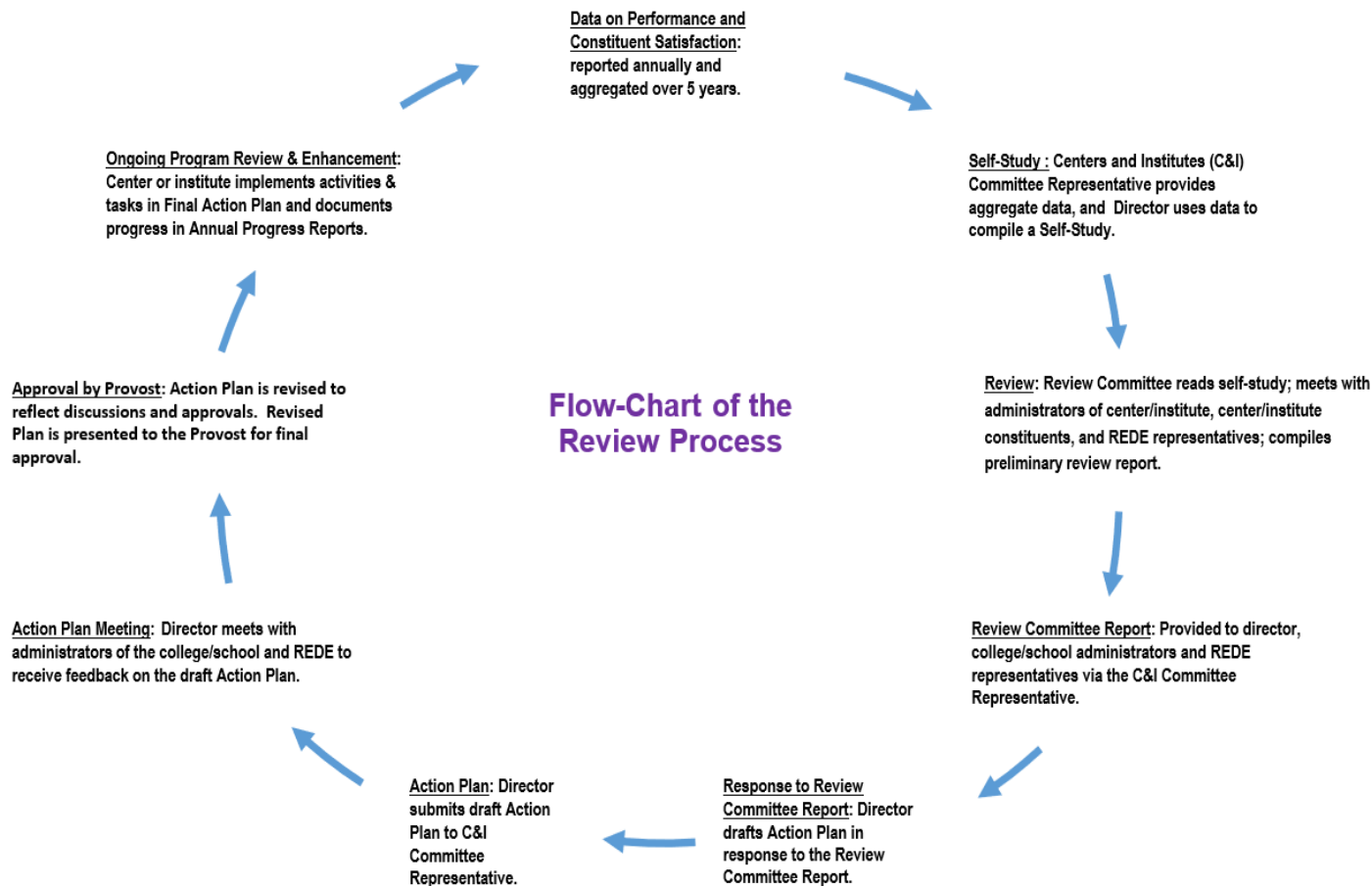
12. Within 6 months of the review

- a. The director submits a Final Action Plan via email to the Centers and Institutes Committee Representative.
- b. The Centers and Institutes Committee Representative solicits final approval by the Provost.
- c. The Centers and Institutes Committee Representative ensures that the Final Action Plan, along with the Self-Study, and Review Committee Report are archived by REDE.

13. Annually

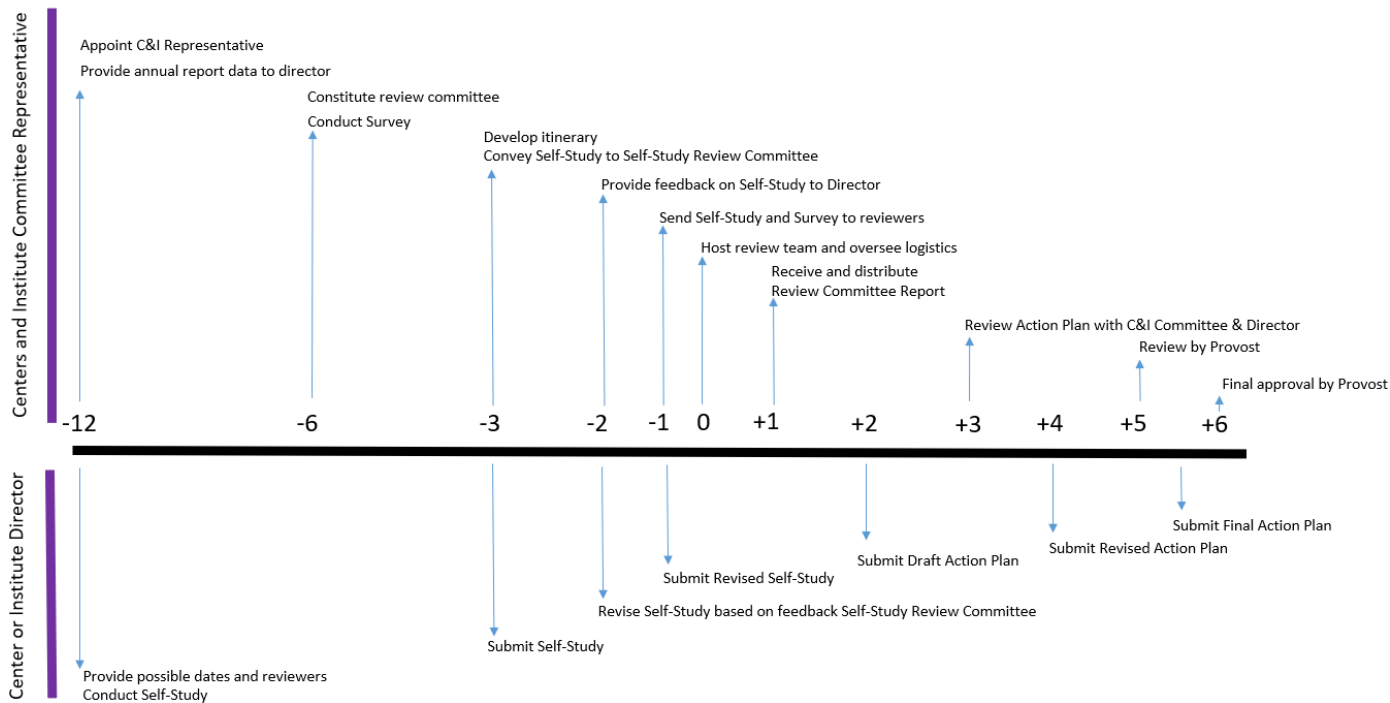
- a. The director summarizes progress on the Action Plan in the annual report submitted to the Centers and Institutes Committee.
- b. The Centers and Institutes Committee monitors progress.

Flow Chart of the Review Process



Review Process Timeline

Review Process Timeline (Months Relative to Review)



Components of the Self-Study

An effective self-study process is a joint effort of all center or institute members and participants, such as faculty and others contributing to the center or institute. After gathering input from center or institute members, the director (or designee) prepares the Self-Study, including supporting documentation, and then vets it through the center or institute members.

The following outline should be used as the framework for the center or institute's Self-Study document. Please **limit the Self-Study to 30 pages**, excluding appendices. Include a table of contents and page numbers in the Self-Study document.

1. Executive Summary (3-5 pages): Based on the information presented in the Self-Study, prepare an executive summary that:
 - Summarizes how faculty were involved in writing the Self-Study.
 - Articulates major features, accomplishments, and ongoing activities of the center or institute.
 - Lists the indicators used to assess each activity that was reviewed, summarizes the outcomes from the activity and the overall quality of the activity as supported by findings of the Self-Study.
 - Summarizes strengths and weaknesses of the center or institute (e.g., How effectively do faculty contribute to research, instruction, or service mission of the center or institute and its programs? How effective are faculty in attracting resources in support of their activities?).
 - Summarizes other major findings from the Self-Study.
 - Summarizes significant actions or changes proposed as a result of the Self-Study.
 - States whether continuation of the center or institute is justified given changes in the environment since its creation and how effective the faculty have been in meeting its stated mission.
 - States whether productivity of the faculty, fellows, staff, and students measurably increased by affiliation with the center or institute.
 - States whether the activities of the center or institute could be accomplished more effectively or efficiently under a different organizational structure.
 - States whether the center or institute should concentrate its efforts and resources in a different way in order to create the greatest possible synergy throughout the university.
 - If applicable, consider the previous comprehensive review action plan and progress reports and describe how the center or institute has advanced.

It is recommended that the Executive Summary be formatted as bullet points, rather than paragraphs.

2. Center or Institute Mission, including Alignment with University Mission
 - 2.1. State the center or institute's founding mission and current mission (if different). Provide the date(s) the mission was created and/or approved.
 - 2.2. Describe how the mission either does or does not align to the University's mission and strategic initiatives, i.e., to what degree is the center or institute central to the strategic priorities of the university and to the program's college priorities?
 - 2.3. How might the program's resources be redistributed to realize its goals and those of the university?
 - 2.4. Is there evidence that the center or institute has clear goals on its stated purpose - research, instruction, or service?
 - 2.5. How effective is the center or institute in meeting its mission?

In sections 3 through 7 below, summarize the data reported in the last 5 annual reports. Supplement with data from other data sources (ODS, ECU BIC, etc.) as appropriate. Supporting data and documentation should be included in Section 8.

3. Strength of Faculty and Analysis of Faculty Activities

3.1. Faculty Resources

- 3.1.1. Describe the current faculty affiliated with the center or institute (e.g., percent full- versus part-time, diversity, percent with terminal degree, tenure status, college/school, department etc.).
- 3.1.2. Does the center or institute have the number and type of faculty to achieve its goals?
- 3.1.3. What actions has the center or institute taken to recruit and retain highly qualified faculty from across disciplines?
- 3.1.4. What actions has the center or institute taken to integrate the work of its faculty?
- 3.1.5. How successful is the center or institute nationally and regionally in attracting qualified faculty?

3.2. Analysis of Research, Scholarship and Creative Activities

- 3.2.1. Highlight the major achievements of the faculty regarding research, scholarship (including scholarship of engagement) and creative activities as documented in the last five years of annual reports and institutional databases: Faculty 180, eTRACS and ODS.
- 3.2.2. Are the research and creative activities of the faculty appropriate to the stated mission with regard to focus, quality, and quantity?
- 3.2.3. Are faculty generating adequate external funding to support their programs?
- 3.2.4. Does the center or institute facilitate interdisciplinary and inter-institutional endeavors in a significant way?
- 3.2.5. Are the faculty engaged in regional and national professional organizations?
- 3.2.6. What has the center or institute done to support and enhance faculty research, scholarship and creative activities? Is career development and training enhanced by existence of the center or institute?
- 3.2.7. Are research facilities, computer facilities, and library resources appropriate to support faculty research?

3.3. Analysis of Service, Outreach, and Training Activities

- 3.3.1. List the major service and outreach initiatives the faculty engaged in as reported in the annual reports.
- 3.3.2. What has the center or institute done to promote, facilitate, and enhance faculty service/outreach activities?
- 3.3.3. Does the center or institute provide service and research programs to address educational challenges negatively impacting underrepresented populations in North Carolina?
- 3.3.4. How successful is the center or institute nationally and regionally in attracting qualified graduate students and post-doctoral fellows and placing them in professional employment?

4. Advisory Board

- 4.1. Describe the membership of the Advisory Board. Include a roster either in the body of the self-study or the appendix.
- 4.2. How often does the Advisory Board meet?
- 4.3. Describe the role of the Advisory Board in relation to the center or institute, including examples of advice that the board has provided to the center or institute.

5. Competitiveness

- 5.1. Identify one or two centers or institutes at other institutions with the same or similar characteristics (productivity, advisory board, number of faculty, amount of resources) to the one being reviewed.
- 5.2. In comparison to similar centers or institutes at other institutions, what are the center's or institute's strengths and weaknesses?
- 5.3. Identify one or two centers or institutes in other institutions that can serve as an aspirational model for future growth in the next five to ten years.
- 5.4. What will the center or institute have to do to achieve the level of the aspirational model?

6. Support
 - 6.1. Does the center or institute receive adequate support from its administrative home and from the university at large in the context of budgetary constraints affecting higher education in general?
 - 6.2. Is the center or institute receiving extramural funding commensurate with the level of institutional support that it receives?
 - 6.3. Are facilities and other resources appropriate to support the mission?
 - 6.4. Would additional investment of resources in the center or institute lead to a measurable increase in extramural revenue streams?
 - 6.5. What benchmarks should be used to measure the effectiveness and efficiency in the use of resources?

7. Opportunities
 - 7.1. Are there funding opportunities, currently or anticipated, that the center or institute is, or should be, positioned to capitalize on?
 - 7.2. Are there opportunities to interact with other institutions that should be pursued?
 - 7.3. Are opportunities to interact with units across campus pursued fully?
 - 7.4. Are there opportunities to increase interactions between diverse individuals?

8. Plans
 - 8.1. What are the major challenges revealed by the Self-Study?
 - 8.2. What actions are proposed to address these challenges?
 - 8.3. What goals have been established for the next year review cycle?
 - 8.4. How will progress toward these goals be monitored?

9. Supporting Documents (aggregated from annual reports and institutional databases) Other documents can be included in addition to the ones listed below.
 - 9.1. Affiliated faculty roster
 - 9.2. Extramural grants and contracts administered by the center or institute during the previous 5 years
 - 9.3. Extramural grants and contracts attributed to the center or institute but not administered by the center or institute
 - 9.4. Publications by faculty affiliated with the center or institute resulting directly from activities of the center or institute
 - 9.5. Presentations by faculty affiliated with the center or institute resulting directly from activities of the center or institute
 - 9.6. Awards to faculty affiliated with the center or institute resulting directly from activities of the center or institute
 - 9.7. Advisory Board roster, if not included in the body of the self-study

Selecting the Review Committee

An important task for the unit is to develop a list of potential reviewers. The number of potential reviewers and their affiliation with ECU depends on the level of institutional support that the center or institute receives.

- For centers and institutes that receive less than \$100,000 in institutional support annually, three internal reviewers from a related campus-based discipline will be chosen as the review team. Therefore, the director should submit names of 5 potential internal reviewers.
- For centers and institutes that receive \$100,000 or more in institutional support, two external reviewers and one internal reviewer will be chosen as the review team. In this case, the director should submit the names of 5 internal and 5 external reviewers.

Institutional support includes but is not limited to state appropriations, graduate assistantships, F&A distributions, in-kind support, and funds from an affiliated foundation. Institutional support also includes the salary of the director, as well as faculty and staff who are assigned to the center or institute. The nominees should not have a relationship with the center or institute being reviewed or its director. The external reviewers should be professionally prominent individuals, nationally recognized in their field. The potential internal reviewers are ECU faculty from a related campus-based discipline.

The list of potential reviewers is submitted to the Center and Institutes Committee Representative using the Internal and External Reviewer Contact Information Template (see page 24). The template includes the following information:

- Name of university
- Complete job title/rank and name of a reviewer's unit
- Primary area of scholarly activity (related to unit being reviewed)
- Rationale for selection
- Contact information (full mailing address, e-mail, and telephone number)

The Assistant Vice Chancellor for Research Development also generates a list of potential reviewers. The Center and Institute Committee Representative confirms with the center or institute director that there is no potential conflict of interest with any names on the combined list. The Assistant Vice Chancellor for Research Development selects three to five reviewers from the combined list. Committee members should be diverse in their experiences, which in the aggregate should cover the major activities of the center or institute under review. The Center and Institute Committee Representative then contacts potential reviewers to determine who is available and willing to serve as a reviewer.

Charge of the Review Committee

The purpose of Center and Institute Five Year Comprehensive Review at East Carolina University is to evaluate the quality of centers and institutes and their alignment to East Carolina University's values, mission, and commitments. This review is an integral part of the university's on-going assessment and strategic planning processes designed to enhance the quality of all education, service, and research programs and we sincerely thank you for assisting us. This letter provides you with the charge to the external review team.

Sample Charge

Please make an objective evaluation of the center's or institute's efficiency and effectiveness in achieving its stated purpose, and make recommendations that will help in planning improvements. Your resources are a Self-Study report prepared by the unit, results from a survey of center or institutes constituents, copies of the Final Action Plan and Progress Reports from the previous review (if applicable), information you gain through interactions while onsite at ECU, and any additional information requested by you. Within the broad charge of recommending ways that the center or institute can continue to improve, here are some overarching questions that we would like you to address:

- Based on the information/data provided in the Self-Study or gathered by the review committee, what are the unit's overall strengths and weaknesses?
- What major improvements has the unit made since the previous review or within the last five years?

- What are the professional benchmarks and how does this center or institute compare?
- What specific recommendations could improve the center or institute's performance?
- Does the center's or institute's faculty, student and staff populations reflect a global and diverse learning and working environment?
- In addition, you may be asked to focus on specific questions during your on-site review of the center or institute.

We look forward to meeting you during the review. If you have any questions or require additional information prior to your visit, contact the Centers and Institutes Committee Representative assigned to this review.

Information for Reviewers

Composition and Responsibilities of the Review Committee

Members

The actual membership of the Review Committee will consist of the following persons:

1. One to three internal reviewers selected for expertise in a discipline comparable to the one being reviewed.
2. Up to two external reviewers selected for expertise in a discipline comparable to the one being reviewed.

The Review Committee will select its chair from the external reviewers, when appropriate.

Reviewers' Responsibilities

Responsibilities of the individual reviewers include:

1. Providing perspective of a senior faculty member in the discipline of the center or institute under review. Internal reviewers also provide the perspective of the institution, its goals, and expectations.
2. Contributing information to the Review Committee that may be used to compare strengths and weaknesses of the center or institute to those of similar programs nationwide.
3. Working with other Review Committee members to write the Review Committee Report, which is begun during the on-site review; and afterward contributes to revising drafts to produce the final Review Committee report.
4. Making his/her own travel arrangements if the review is onsite and furnishing the Office of Institutional Planning, Assessment and Research with receipts necessary for expense reimbursement. Virtual reviews are preferred, but onsite reviews may be conducted if appropriate.

The Review Committee presents a summary of their preliminary findings and recommendations (Review Committee Report) at the exit meeting convened by the Centers and Institutes Committee Representative and attended by the Provost, REDE representatives, Dean, and director of the center or institute being reviewed. This session also provides an opportunity for the Review Committee to clarify issues that will be addressed in the report.

The Review Committee Report

One of the primary responsibilities of the Review Committee is to produce a report based on a careful reading of the Self-Study and on what the committee members learn about the center or institute during the review. (See also Review Committee Report Template on page 28.) In order to be one that provides greatest benefit to the unit, the Review Committee Report should be concise, to the point, and reflect the views of all reviewers. The itinerary for review should provide time for the Review Committee to organize a first draft of the report and to provide a briefing to senior leadership on the findings, perceptions, and preliminary recommendations.

The Review Committee Report typically consists of the following sections:

1. Committee Review Process: Briefly describe the committee review process, including who the reviewers were and what institutions they represent, what the charge of the review committee was, and who the committee met with during the review.
2. Center or Institute Overview: Summarize the reviewers' assessment of the center or institute in relationship to the larger context of ECU's strategic priorities and of developments in the discipline. Consider the centers or institutes overall role within ECU and the University of North Carolina System, and whether the stated mission remains relevant in light of changes that have occurred since establishment of the unit. If applicable, consider the previous comprehensive review action plan and progress reports and describe how the center or institute has advanced. Background material for this section comes from the unit's Self-Study.
3. Center or Institute Evaluation: Summarize the perceived strengths and weaknesses of faculty, research/instruction/service, leadership, students, extramural funding, etc. as appropriate for the center or institute being reviewed and in relation to similar units at other institutions. The strengths may be presented in bullet or paragraph format. The following should be addressed as appropriate to the unit being reviewed:
 - a. Performance in Relation to the Mission
 - i. Is the research/creative activity and scholarly productivity of the faculty affiliated with the center or institute appropriate?
 - ii. Does the center or institute facilitate interdisciplinary and interinstitutional endeavors in a significant way?
 - iii. Is the institution significantly enhanced by the existence of the center of institute?
 - iv. How effective is the center or institute in meeting its mission?
 - b. Faculty and Staff
 - i. What is the quality of the faculty, fellows, staff, and students?
 - ii. Is the productivity of the faculty, fellows, staff, and students measurably increased by affiliation with the center or institute?
 - iii. Is career development and training enhanced by existence of the center or institute?
 - iv. Are faculty involved in the interdisciplinary research groups?
 - v. Are the faculty engaged in regional and national professional organizations?
 - vi. How successful is the center or institute nationally and regionally in attracting qualified faculty?

- vii. How successful is the center or institute nationally and regionally in attracting qualified graduate students and post-doctoral fellows and placing them in professional employment?
- c. Advisory Board
 - i. Does the Advisory Board include members outside of ECU?
 - ii. Does the Advisory Board represent diverse departments at ECU?
 - iii. Does the Advisory Board meet regularly?
 - iv. Has the Advisory Board provided actionable advice to the center or institute?
 - d. Competitiveness
 - i. In comparison to similar centers or institutes at other institutions, what are the center's or institute's strengths and weaknesses?
 - ii. What benchmarks should be used to track competitiveness?
 - iii. Is the center or institute positioned to achieve or maintain national or regional competitiveness in the next decade?
4. Leadership: Evaluate the overall effectiveness of the director in leading the center or institute. Potential factors to consider include:
- a. Is the director an effective advocate at the international, national, state, and/or regional levels?
 - b. Is the director inviting and inclusive of faculty across campus?
 - c. Is the director responsive to the needs of the affiliated faculty and staff?
 - d. Does the director interact appropriately with other university units, including the senior leadership?
5. Infrastructure:
- a. Is the center or institute receiving adequate support from its administrative home and from the university at large in the context of budgetary constraints affecting higher education in general?
 - b. Is the center or institute receiving extramural funding commensurate with the level of institutional support that it receives?
 - c. Could the activities of the center or institute be accomplished more effectively or efficiently under a different organizational structure?
 - d. Are facilities and other resources appropriate to support the mission?
 - e. Would additional investment of resources in the center or institute lead to a measurable increase in extramural revenue streams?
6. Recommendations for Improvement and Identification of Opportunities: Recommendations are the most important part of the review report because they become the basis for a plan of action for the center or institute. Therefore, recommendations should be clear and concrete in their depictions of what faculty in the unit (or the college or the university) should do to improve the center or institute. Questions to consider include:
- a. Is the center or institute missing significant opportunities within its area of focus and mission?
 - b. Are there funding opportunities, currently or anticipated, that the center or institute is, or should be, positioned to capitalize on?
 - c. Are there opportunities to interact with other institutions that should be pursued?
 - d. Are opportunities to interact with units across campus pursued fully?

The chair of the Review Committee will send an electronic copy of the final draft of the report to the Centers and Institutes Committee Representative, who will provide access to unit faculty and administrators.

Travel and Expense Information for External Reviewers

External reviewers will be provided with an honorarium for their participation in the review process.

Virtual reviews are preferred, but onsite reviews may be conducted if appropriate. If a review will be conducted onsite, external reviewers will be reimbursed for all related expenses for their participation in the review process. Reviewers will be reimbursed for meals not provided during the visit in accordance with UNC and State of North Carolina *per diem* regulations. Therefore, receipts for meals will not need to be submitted.

External reviewers should make their own arrangements for transportation to Greenville. Most reviews are scheduled to begin on a Tuesday. If possible, external reviewers should arrive in Greenville on the day before the review begins in time for an organizational dinner with the other reviewers. Greenville is served by the Pitt Greenville Airport (PGV), which is about 10 minutes from the ECU campus. If flying, a copy of the airline reservation that includes the cost of the ticket as well as the payment type must be provided to the Office of Institutional Planning, Assessment and Research (IPAR). To be reimbursed for any baggage, taxi or parking costs, original receipts must be submitted as well. IPAR will make hotel arrangements for external reviewers.

IPAR will provide staffing and funds for expenses and honoraria of the Review Committee.

Appendices

Appendix A: Abbreviated Checklist and Timeline for the Review Process

1. By the beginning of each fiscal year - The Centers and Institutes Committee update 5-year review schedule.
2. Twelve months prior to a scheduled review
 - a. C&I Committee appoints a representative.
 - b. C&I Committee Representative provides data from annual reports to the director and self-study review committee.
 - c. Director selects possible dates for review and proposes reviewers.
3. Six months prior to the review
 - a. C&I Committee Representative conducts constituent survey.
 - b. C&I Committee Representative constitutes the Review Committee.
4. Three months prior to the review
 - a. Director submits Self-Study to the C&I Committee Representative.
 - b. Self-Study Review Committee reviews Self-Study.
 - c. C&I Committee Representative develops the review itinerary.
5. Two months prior to the review
 - a. C&I Committee Representative conveys comments on the Self-Study to the director.
 - b. Director revises Self-Study based on feedback from Self-Study Review Committee.
6. Four weeks prior to the review
 - a. Director provides revised Self-Study to the C&I Committee Representative
 - b. C&I Committee Representative sends Self-Study and survey results to the Review Committee.
7. The Review
 - a. The C&I Committee Representative hosts the reviewers and coordinates all logistics.
 - b. The Review Committee
 - i. Conducts the review.
 - ii. Drafts a preliminary Review Committee Report.
 - iii. Circulates drafts among members.
 - iv. Shares preliminary findings and recommendations in an exit meeting.
8. Within 30 days of the review
 - a. Review Committee submits Review Committee Report to C&I Committee Representative.
 - b. C&I Committee Representative distributes report.
9. Within 2 months of the review – Director submits draft Action Plan.
10. Within 3 month of the review - Draft Action Plan is reviewed and priorities established.
11. Within 4 months of the review - Director submits revised Action Plan.
12. Within 5 months of the review
 - a. C&I Committee Representative convenes a meeting of the director, college/school administrators, REDE representatives, and the Provost.
 - b. Director summarizes the proposed Action Plan.
 - c. C&I Committee Representative provides a written summary of recommendations.

13. Within 6 months of the review
 - a. Director submits a Final Action Plan via email to C&I Committee Representative.
 - b. The C&I Committee Representative solicits final approval by the Provost.
14. Annually – C&I Committee monitors progress reported in Annual Report.

Appendix B: Self-Study Template

[Center or Institute]

5-Year Comprehensive Review
East Carolina University
Self-Study
Date -

1. Executive Summary (Summary of study findings, 3-5 pages):
2. Center or Institute Mission, including Alignment with University Mission
3. Strength of Faculty and Analysis of Faculty Activities
 - 3.1. Faculty Resources (Composition of faculty affiliated with the center or institute)
 - 3.2. Analysis of Research, Scholarship and Creative Activities
 - 3.3. Analysis of Service, Outreach and Training Activities
4. Advisory Board
5. Competitiveness Relative to Similar Units
6. Infrastructure Support
7. Opportunities for Growth
8. Future Plans
9. Supporting Documents
 - 9.1. Affiliated faculty roster
 - 9.2. Extramural grants and contracts administered by the center or institute (5 years)
 - 9.3. Extramural grants and contracts not administered by the center or institute (5 years)
 - 9.4. Publications resulting directly from activities of the center or institute
 - 9.5. Presentations resulting directly from activities of the center or institute
 - 9.6. Honorary Awards to faculty affiliated with the center or institute resulting directly from activities of the center or institute
 - 9.7. Advisory Board roster, if not included in the body of the self-study

Appendix C: Itinerary Template

[Center or Institute]

5-Year Comprehensive Review
 East Carolina University
 Date -
 Reviewers and their institutions

Tuesday, February 21, 2023 All times are Eastern Standard Time	
8:15 – 8:45 am	Charge meeting
9:00 - 9:50 am	Center or Institute Director
10:00 – 10:50 am	Center or Institute Advisory Board
11:00 – 11:30am	Break
11:30am – 12:20 pm	Students (Undergraduate and graduate students who have been impacted by or involved in the center or institute as trainees. Other student workers should not be included.)
12:30 – 1:30 pm	Lunch
1:30 – 2:20 pm	ECU Faculty Affiliated with Center or Institute
2:30 – 3:20 pm	Faculty from Other Institutions who Collaborate with Center or Institute
3:30 – 4:00 pm	Break
4:00 – 4:50 pm	Community Partners

Wednesday, February 22, 2023

8:30 – 9:20 am	ECU Administrators (Dean and Department chairs with faculty in center or institute, Associate Deans of Research, Directors of other centers or institutes)
9:30 – 10:15 am	Reviewers' Working Session
10:15 – 10:45 am	Reviewers' Summary Meeting with Center or Institute Leadership and Staff
11:00 am – 12:00 pm	Exit Review Meeting

Appendix D: Internal and External Reviewer Contact Information Template

Internal and External Reviewer Contact Information Template Comprehensive Review of Centers and Institutes East Carolina University

Please include the following information on all potential reviewers and submit the list to Susan Morrissey, Centers and Institutes Committee Representative (C&I Committee Rep). The Assistant Vice Chancellor for Research Development also generates a list of potential reviewers. The Center and Institute Committee Representative confirms with the center or institute director that there is no potential conflict of interest with any names on the combined list. The Assistant Vice Chancellor for Research Development selects three to five reviewers from the combined list. The C&I Committee Rep will then contact each reviewer to determine their willingness and availability to serve.

For centers and institutes that receive less than \$100,000 in institutional support annually, please recommend five internal (ECU) faculty to serve as potential reviewers. For centers and institutes that receive \$100,000 or more in institutional support, please recommend five internal (ECU) faculty and five external people to serve as potential reviewers. The nominees should not have a relationship with the center or institute or its director being reviewed. The external reviewers should be professionally prominent individuals, nationally recognized in their field. The potential internal reviewers are ECU faculty from a related campus-based discipline.

List of 5 Internal Reviewers	
Reviewer 1:	
Name:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 2:	
Name:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 3:	
Name:	
Job Title/Rank/Reviewer's Unit:	

Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 4:	
Name:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 5:	
Name:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No

List of 5 External Reviewers	
Reviewer 1:	
Name:	
University:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 2:	
Name:	
University:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 3:	
Name:	
University:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 4:	
Name:	
University:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:

	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No
Reviewer 5:	
Name:	
University:	
Job Title/Rank/Reviewer's Unit:	
Primary Area of Scholarly Activity (related to unit being reviewed):	
Rationale for Selection:	
Contact Information:	Mailing Address:
	E-mail:
	Telephone Number:
Confirmed willingness to serve as a reviewer & availability to be completed by C&I Committee Rep:	Yes/No

Appendix E: Review Committee Report Template

East Carolina University
5-Year Comprehensive Review
External Review Committee Report Format

Center or Institute:

Dates of Review:

- I. Committee Review Process
- II. Center or Institute Overview
- III. Center or Institute Evaluation
 - a. Performance in Relation to the Mission
 - b. Faculty and Staff
 - c. Advisory Board
 - d. Competitiveness
- IV. Leadership
- V. Infrastructure
- VI. Recommendations
 - a. Improvement
 - b. Opportunities
- VII. Conclusion

Appendix F: Action Plan Template

East Carolina University Comprehensive Review of Centers and Institutes Action Plan

Center or Institute:

On-site Review Dates:

Instructions: Please provide a brief response to the Comprehensive Review process. Then provide a response for each recommendation put forth by the External Review Committee. The responses should summarize action plans that have been or will be initiated for quality improvement purposes. The responses should address any recommendations related to resources.

The completed Action Plan should be sent to the Centers and Institutes Committee Representative. You will report progress on the Action Plan as part of your annual report to REDE.

- I. Overall Response to the Center's or Institute's Comprehensive Review**
 - a. Narrative response
- II. Recommendation for Improvement (Copy each recommendation from the reviewer's report)**
 - a. Unit Response
 - b. Responsible Party
 - c. Timeline