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**AGENDA**

**SPONSORED PROGRAMS COMMITTEE**

Thursday, September 26, 2013

9:00 a.m.

The Claiborne Building  
Louisiana Purchase Room 1-100  
Baton Rouge, Louisiana

- I. Call to Order
- II. Roll Call
- III. Recommended Policy Revisions for the Endowed Chairs and Endowed Professorships Programs
- IV. Approval of Nomination to the Louisiana Experimental Program to Stimulate Competitive Research (EPSCoR) Committee
- V. Update: Development of the FY 2014-15 BoRSF Plan and Budget
- VI. Other Business
- VII. Adjournment

**Committee Members:** Roy Martin III, Chair; William Fenstermaker, Vice Chair; Raymond Brandt; Chris Gorman; Edward Markle; Albert Sam II

## AGENDA ITEM III

### Recommended Policy Revisions for the Endowed Chairs and Endowed Professorships Programs

#### **Background Information**

At its meeting on June 26, 2013, the Sponsored Programs Committee considered vacancy results for the 309 Endowed Chairs and 2,083 Endowed Professorships which the Board of Regents has matched through the Support Fund since its founding in 1986-87. A recent survey indicated that 101 Chairs (33%) and 450 Professorships (22%) were vacant. Of these vacancies, 76 Chairs (75%) and 263 Professorships (58%) have not been filled in more than two years (see Appendices I-II). It is also relevant to note that across all campuses and systems, 96% of Professorships and 97% of Chairs had values above corpus in FY 2011-12 reporting (see Appendix III).

Senior Staff Recommendations were presented at the June meeting to address two general concerns regarding the vacancies: (1) during a period of continuing austerity for higher education, the earnings on a private/State total of \$113,100,000 in endowment corpus have not been used for educational or research purposes for more than two years; and (2) many donors are not being kept apprised of the status of their investments in a timely and regular manner. The staff was also sensitive to the fact that the Board has enforced no restrictions on the length of time a campus may leave as unfilled the Chairs and/or Professorships which the Regents have matched. Over the years campuses have exercised complete discretion.

After considering Senior Staff Recommendations along with viewpoints expressed by several campus representatives and Committee members, the Sponsored Programs Committee and Board voted to table Senior Staff Recommendations, pending additional campus feedback on prospective policy revisions.

#### **Staff Summary**

As a follow-up to the Board decision, on July 1, 2013, Dr. Kerry Davidson invited each campus and/or system to respond to a survey regarding the June Senior Staff Recommendations. Eleven responses were received: nine from respective campuses,<sup>1</sup> and two consolidated responses from the LSU System and Tulane/Tulane Health Sciences Center. Responses ranged from indications that no changes to existing policy are needed, to occasional suggestions for fundamental policy restructuring. Further, campuses often used different rationales to arrive at the same or similar recommendations.

Staff reactions to key campus/consolidated requests for revision are outlined below as follows: (A) requests #1-5 have been incorporated into a newly revised policy; (B) requests #6-8 are made moot by the response to request #1; (C) requests #9-11 are accommodated through a request for waiver provision; and (D) request #12 is denied.

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<sup>1</sup> Centenary, Dillard, Louisiana Tech, Loyola, McNeese, Our Lady of the Lake, UL Monroe, UNO, and Xavier

**A. Five Campus/Consolidated Requests Have Been Incorporated Into a Newly Revised Policy**

1. **Measure vacancy rate thresholds by campus rather than by department** (Centenary, LSU, Our Lady of the Lake, Tulane/TUHSC, Xavier)
2. **Start counting the duration of a vacancy from August of the academic year following the date of the faculty holder's resignation** (LSU)
3. **Clearly define how FTE faculty are counted** (Tulane/TUHSC)
4. **Waive donor reporting requirements for donors who are deceased, have requested no contact, or have not been located through good-faith efforts** (Centenary, LSU, UL Monroe)
5. **Establish an easy mechanism to check campus compliance with the requirement to inform donors** (LSU)

**B. Three Campus/Consolidated Requests to Exempt Designated Departments Become Moot Since Vacancies Would Be Calculated Campus-Wide (#1, above)**

6. **Exempt departments which have been downsized, even if vacancy rates are high** (LSU)
7. **Exempt departments submitting Restricted Bequest proposals for Endowed Chairs** (Tulane/TUHSC)
8. **Exempt departments which have fewer than 10 matched Professorships** (Dillard)

**C. Three Campus/Consolidated Requests May Be Accommodated Through a Provision for Special Waiver**

9. **Exclude vacancies from calculations when they are deemed "reasonable"** (LSU)  
Such vacancies require justification on a case-by-case basis
10. **Exclude vacancies from calculations if earnings from endowments are insufficient "to support donor intent"** (LSU)  
See response to #9 above
11. **Base the calculation of vacancies on a three-year instead of a two-year duration** (LSU, Tulane/TUHSC)  
See response to #9 above

**D. One Campus/Consolidated Request Is Denied**

12. **Remove language requiring that donor permission be granted to combine multiple Professorships** (Tulane/TUHSC)  
The requirement for donor permission should be retained to ensure that donors are aware and give explicit approval

**Revised Policy Highlights**

- Numerous insights from campuses are integrated.
- All endowed slots previously awarded to campuses are maintained.
- Vacancy rates are calculated on an annual basis, insuring that campuses will become ineligible for new slots only (a) if vacancies of two years or longer exceed 20% campus-wide; and (b) for the year(s) in which the 20% threshold is exceeded.

## Senior Staff Recommendations

**The Senior Staff recommends that the Committee approve the following revisions to the Endowed Chairs and Endowed Professorships program policies:**

I. Effective Date of Policy Revisions

Policy revisions shall take effect January 1, 2014. To provide campuses with sufficient time to adjust to new requirements, calculation of vacancy rates and related policy provisions shall take effect beginning July 1, 2014 for the 2014-15 and subsequent academic years.

II. Endowed Chairs Vacancies

If a campus's percentage of vacancies of greater than two years' duration in the Endowed Chairs program exceeds 20%, that campus shall not be eligible to submit proposals for additional Endowed Chairs matches during that year.<sup>2</sup>

III. Endowed Professorships Vacancies

- A. If a campus's percentage of vacancies of greater than two years' duration in the Endowed Professorships program exceeds 20%, that campus shall not be eligible to submit requests for additional Endowed Professorships matches during that year.<sup>3</sup>
- B. The number of BoRSF-matched Endowed Professorships on a campus shall not exceed the number of FTE faculty, defined as all full-time equivalent faculty employed by the institution (including instructional, clinical, research, adjunct and visiting faculty).<sup>4</sup>
- C. The staff shall revise language in the current Endowed Professorships program policy (Section IV.A.2) to make clear that "annual funding guarantees per institution are contingent

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<sup>2</sup> **Formula:** A campus's percentage of Endowed Chairs vacancies longer than two years shall be calculated as the number of matched slots reported as unfilled for longer than two years divided by the total number of assigned slots in annual program fiscal reporting. The duration of an Endowed Chairs vacancy shall be calculated from August of the academic year following the departure of the most recent chairholder or, in the case of new or not-yet-filled Chairs, from August of the calendar year in which Board match was provided. Endowed Chairs accounts with market values below corpus are excluded from policy formulae related to vacancy rates.

<sup>3</sup> **Formula:** A campus's percentage of Endowed Professorships vacancies longer than two years shall be calculated as the number of matched slots reported as unfilled for longer than two years divided by the total number of assigned slots in annual program fiscal reporting. The duration of an Endowed Professorships vacancy shall be calculated from August of the academic year following the departure of the most recent Professorship holder or, in the case of new or not-yet-filled Professorships, from August of the calendar year in which Board match was provided. Endowed Professorships accounts with market values below corpus are excluded from policy formulae related to vacancy rates.

<sup>4</sup> FTE faculty counts by institution shall be required in annual endowment reporting. With the permission of the donor(s), multiple individual Endowed Professorships slots may be combined into a single Professorship for assignment to a faculty recipient.

upon compliance with policy requirements related to maximum vacancy rates and numbers of FTE faculty employed by institution.”

IV. Required Communication with Donors: Applicable to Endowed Chairs and Endowed Professorships

- A. For each Endowed Chair or Professorship matched by the Board, the institution shall annually provide to the donor the same basic information about the performance of the endowment annually furnished to the Board, including its status (vacant or filled), the current market value, and the amount allocated for expenditure in the most recently completed fiscal year.<sup>5</sup>
- B. Donor reporting shall not be required under the following circumstances: 1) the donor is deceased; 2) the donor has in writing requested no contact; and/or 3) despite a good faith effort, the donor’s contact information could not be located.

V. Request for Waiver

If a campus identifies acute and exceptional circumstances that warrant an exception to any provisions of the Endowed Chairs or Endowed Professorships program policy, a waiver may be formally requested in writing to the Board of Regents.

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<sup>5</sup> A certification of compliance with this requirement, based on documentation retained by the campus, shall be included in the annual fiscal report to the Board of Regents and attested to in the report provided by private or Legislative auditors.

## Appendix I: Endowed Professorships Vacancy Data, June 2013

System/Campus	# EP Matched	# EP Vacant	# EP Vacant >2 Years
<b>UL System</b>	<b>743</b>	<b>150 (20%)</b>	<b>110 (73%)</b>
GSU	25	18 (72%)	10 (56%)
LA Tech	140	13 (9%)	5 (38%)
McNeese	106	19 (18%)	18 (95%)
Nicholls	54	30 (56%)	23 (77%)
NSU	47	8 (17%)	6 (75%)
SELU	52	5 (10%)	2 (40%)
ULL	219	40 (18%)	33 (83%)
ULM	56	3 (5%)	0
UNO	44	14 (32%)	13 (93%)
<b>LSU System</b>	<b>728</b>	<b>140 (19%)</b>	<b>79 (56%)</b>
LSU Ag	38	4 (11%)	0
LSUA	20	5 (25%)	1 (20%)
LSUBR	415	62 (15%)	23 (37%)
LSUE	7	2 (29%)	0
LSUHSCNO	110	23 (21%)	23 (100%)
LSUHSCS	41	13 (32%)	9 (69%)
LSUS	37	1 (3%)	0
LSU Law	54	30 (56%)	23 (77%)
Pennington	6	0	0
<b>LAICU</b>	<b>514</b>	<b>132 (26%)</b>	<b>51 (39%)</b>
Centenary	104	64 (62%)	45 (70%)
Dillard	27	8 (30%)	0
LA College	16	3 (19%)	2 (67%)
Loyola	75	5 (7%)	2 (40%)
OLHC	36	2 (6%)	0
OLOL	39	28 (72%)	0
St. Joseph	12	0	0
Tulane	77	8 (10%)	1 (13%)
TUHSC	75	4 (5%)	1 (25%)
Xavier	53	10 (19%)	0
<b>Southern System</b>	<b>60</b>	<b>10 (45%)*</b>	<b>9 (90%)*</b>
SUBR	38	*0	*0
SU Law	12	0	0
SUNO	4	4 (100%)	4 (100%)
SUS	6	6 (100%)	5 (83%)
<b>LCTCS</b>	<b>38</b>	<b>18 (47%)</b>	<b>14 (78%)</b>
BRCC	4	4 (100%)	1 (25%)
BPCC	1	0	0
CLTCC	0	0	0
Delgado	15	5 (33%)	5 (100%)
Fletcher	2	2 (100%)	2 (100%)
LDCC	4	4 (100%)	3 (75%)
Northshore	0	0	0
Nunez	10	3 (30%)	3 (100%)
RPCC	0	0	0
SLCC	2	0	0
Sowela	0	0	0
<b>Statewide Total</b>	<b>2,083</b>	<b>450 (22%)*</b>	<b>263 (58%)**</b>

\* SUBR did not report on all Endowed Professorships slots matched; these data are not included in percentage calculations

\*\* Percentage calculated as the number vacant more than 2 years divided by the total number vacant.

## Appendix II: Endowed Chairs Vacancy Data, June 2013

System/Campus	# EC Matched	# EC Vacant	# EC Vacant >2 Years
<b>LSU System</b>	<b>135</b>	<b>54 (40%)</b>	<b>42 (78%)</b>
LSU Ag	3	0	0
LSUA	1	0	0
LSUBR	65	26 (40%)	19 (73%)
LSUE	0	0	0
LSUHSCNO	38	20 (53%)	19 (95%)
LSUHSCS	11	5 (45%)	2 (40%)
LSUS	4	0	0
LSU Law	2	1 (50%)	0
Pennington	11	2 (18%)	2 (100%)
<b>LAICU</b>	<b>95</b>	<b>14 (15%)</b>	<b>7 (50%)</b>
Centenary	12	3 (25%)	0
Dillard	4	1 (25%)	0
LA College	0	0	0
Loyola	9	0	0
OLHC	1	0	0
OLOL	1	0	0
St. Joseph	0	0	0
Tulane	32	4 (12%)	3 (75%)
TUHSC	31	6 (19%)	4 (67%)
Xavier	5	0	0
<b>UL System</b>	<b>75</b>	<b>31 (41%)</b>	<b>25 (81%)</b>
GSU	2	0	0
LA Tech	13	4 (31%)	2 (50%)
McNeese	0	0	0
Nicholls	3	1 (33%)	1 (100%)
NSU	3	1 (33%)	1 (100%)
SELU	2	1 (50%)	1 (100%)
ULL	22	12 (55%)	10 (83%)
ULM	7	1 (14%)	0
UNO	23	11 (48%)	10 (91%)
<b>Southern System</b>	<b>4*</b>	<b>2 (100%)*</b>	<b>2 (100%)*</b>
SUBR	2	Did not report	Did not report
SU Law	0	0	0
SUNO	2	2 (100%)	2 (100%)
SUS	0	0	0
<b>LCTCS</b>	<b>0</b>	<b>0</b>	<b>0</b>
BRCC			
BPCC			
CLTCC			
Delgado			
Fletcher			
LDCC			
Northshore			
Nunez			
RPCC			
SLCC			
Sowela			
<b>Statewide Total</b>	<b>309</b>	<b>101 (33%)*</b>	<b>76 (75%)*</b>

\* SUBR did not report on Endowed Chairs slots matched, so percentage calculations exclude SUBR matched chairs

\*\* Percentage calculated as the number vacant more than 2 years divided by the total number vacant.

**Appendix III: Endowed Professorships & Endowed Chairs Values Over Corpus, FY 2011-12**

<b>System/Campus</b>	<b># EP Matched</b>	<b># EP Over Corpus</b>	<b># EP Under Corpus</b>	<b># EC Matched</b>	<b># EC Over Corpus</b>	<b># EC Under Corpus</b>
<b>LAICU</b>	<b>514</b>	<b>482 (94%)</b>	<b>32 (6%)</b>	<b>95</b>	<b>90 (95%)</b>	<b>5 (5%)</b>
Centenary	104	102	2	12	12	0
Dillard	27	7	20	4	0	4
LA College	16	15	1	0	0	0
Loyola	75	73	2	9	9	0
OLHC	36	36	0	1	1	0
OLOL	39	39	0	1	1	0
St. Joseph	12	12	0	0	0	0
Tulane	77	77	0	32	32	0
TUHSC	75	75	0	31	30	1
Xavier	53	46	7	5	5	0
<b>LCTCS</b>	<b>38</b>	<b>37 (97%)</b>	<b>1 (3%)</b>	<b>0</b>	<b>0</b>	<b>0</b>
BRCC	4	4	0			
BPCC	1	0	1			
CLTCC	0	0	0			
Delgado	15	15	0			
Fletcher	2	2	0			
LDCC	4	4	0			
Northshore	0	0	0			
Nunez	10	10	0			
RPCC	0	0	0			
SLCC	2	2	0			
Sowela	0	0	0			
<b>LSU System</b>	<b>728</b>	<b>696 (96%)</b>	<b>32 (4%)</b>	<b>135</b>	<b>132 (98%)</b>	<b>3 (2%)</b>
LSU Ag	38	36	2	3	3	0
LSUA	20	19	1	1	1	0
LSUBR	415	400	15	65	64	1
LSUE	7	5	2	0	0	0
LSUHSCNO	110	107	3	38	36	2
LSUHSCS	41	41	0	11	11	0
LSUS	37	32	5	4	4	0
LSU Law	54	52	2	2	2	0
Pennington	6	4	2	11	11	0
<b>Southern System</b>	<b>60</b>	<b>60 (100%)</b>	<b>0</b>	<b>4</b>	<b>4 (100%)</b>	<b>0</b>
SUBR	38	38	0	2	2	0
SU Law	12	12	0	0	0	0
SUNO	4	4	0	2	2	0
SUS	6	6	0	0	0	0
<b>UL System</b>	<b>743</b>	<b>724 (97%)</b>	<b>19 (3%)</b>	<b>75</b>	<b>73 (97%)</b>	<b>2 (3%)</b>
GSU	25	25	0	2	2	0
LA Tech	140	138	2	13	12	1
McNeese	106	106	0	0	0	0
Nicholls	54	39	15	3	3	0
NSU	47	46	1	3	2	1
SELU	52	52	0	2	2	0
ULL	219	219	0	22	22	0
ULM	56	56	0	7	7	0
UNO	44	43	1	23	23	0
<b>Statewide Total</b>	<b>2,083</b>	<b>1,999 (96%)</b>	<b>84 (4%)</b>	<b>309</b>	<b>299 (97%)</b>	<b>10 (3%)</b>



## AGENDA ITEM IV

### **Approval of Nomination to the Louisiana Experimental Program to Stimulate Competitive Research (EPSCoR) Committee**

#### **Background Information**

The EPSCoR Committee provides advice and guidance to the Board of Regents related to management of statewide EPSCoR projects, federal EPSCoR opportunities, and related research initiatives. Voting members of the EPSCoR Committee include one member from each institution which meets a \$4 million threshold of Federal R&D expenditures using NSF data, as well as the Deputy Commissioner for Sponsored Programs for the Louisiana Board of Regents, business and industry representative(s), and the Governor's economic development representative.

#### **Staff Summary**

Dr. Peter J. Fos, President of the University of New Orleans, has nominated Dr. Kenneth Sewell, Vice President for Research and Economic Development, to serve on the Committee as the representative for the University of New Orleans.

#### **Senior Staff Recommendation**

**The Senior Staff recommends that the Board approve the nomination of Dr. Sewell to the EPSCoR Committee.**

## **AGENDA ITEM V**

### **Update: Development of the FY 2014-15 BoRSF Plan and Budget**

#### **Background Information**

The Board of Regents Support Fund, a constitutionally designated fund managed by the Board of Regents, is required by Article VII, Section 10 of the Constitution to submit an annual plan and budget to the Legislature and the Governor not less than 60 days prior to the beginning of the Regular Legislative Session. This document outlines proposals for expenditure across the four designated components of the Support Fund: Endowed Chairs, Graduate Fellows, Research and Development, and Enhancement.

#### **Staff Summary**

Sponsored Programs staff, with the assistance of the BoRSF Planning Committee, will prepare a tentative FY 2014-15 Support Fund Plan and Budget, which the Advisory Committee will consider in November. Following recommendations of the Committees, the FY 2014-15 Plan and Budget will be presented to the Sponsored Programs Committee and the Board for consideration during December 2013 – January 2014.

#### **Senior Staff Recommendation**

**No action required.**