



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

ATTACHMENT A

CAROL L. FOLT
Chancellor

103 SOUTH BUILDING
CAMPUS BOX 9100
CHAPEL HILL, NC 27599

T 919.962.1365
F 919.962.1647
carol.folt@unc.edu

MEMORANDUM

TO: Members of the Board of Trustees
FROM: Carol L. Folt
RE: Mail Ballot
DATE: December 19, 2016

You have authorized my office to poll you by mail concerning personnel matters which require attention by the Board. Accordingly, we are transmitting to you herewith personnel actions as follows:

EHRA Faculty Compensation & Tenure Actions

Attachment A

Please mark and return the enclosed mail ballot indicating whether or not you agree with the actions proposed. Thank you.

EXECUTIVE SUMMARY

Board of Trustees
December 15, 2016

No.	College/Division	Name	Dept./School	Current Rank	New Rank	Tenure Request Reason	Effective Date	Salary
Personnel Actions								
New Appointments without Tenure								
1	Health Affairs	Bradley Figler	Urology	Nominated Clinical Assistant Professor	Assistant Professor		1/1/2017	\$255,000.00
2	Health Affairs	Hiroyuki Kato	Psychiatry	N/A	Assistant Professor		1/1/2017	\$110,000.00
Addition of Joint Appointment without Tenure								
0								
Promotion to Full Professor								
1	Academic Affairs	Stephen Anderson	Music	Associate Professor	Professor		7/1/2016	\$82,113.00
2	Health Affairs	Lynn Fordham	Radiology	Associate Professor	Professor		1/1/2017	\$280,000.00
3	Academic Affairs	Eva Labro	Kenan-Flagler	Associate Professor	Professor		1/1/2017	\$275,000.00
Reappointments to the same Rank								
1	Health Affairs	Joseph Calabrese	Pharmacology	Assistant Professor	Assistant Professor		3/1/2018	\$110,777.00
Designation/Reappointments to Departmental Chair								
1	Health Affairs	Nancy Thomas	Dermatology	Distinguished Professor/Vice Chair	Distinguished Professor/Chair		1/1/2017	\$389,412.00
Designation/Reappointments to Distinguished Professorship								
0								
Actions Conferring Tenure								
Promotion Conferring Tenure								
1	Health Affairs	Prudence Plummer	Allied Health Sciences	Assistant Professor	Associate Professor	Promotion based on excellence in clinical scholarship	1/1/2017	\$89,726.00
New Appointments Conferring Tenure								
1	Academic Affairs	Deen Freelon	Media & Journalism	N/A	Associate Professor	Appointment based on national and international communication scholarship, research, and leadership	7/1/2017	\$91,000.00
Addition of Joint Appointment Conferring Tenure								
0								
Departmental Transfer								
1	Health Affairs	Krista Perreira	Social Medicine	Professor	Professor		1/1/2017	\$163,415.00
Corrections								
0								

EXECUTIVE SUMMARY

Board of Trustees

July 14, 2014

No.	College/Division	Name	School	Department	Rank	Reason	Requested Amount of Increase **	Percent of Increase **	June 30 Salary	Current Salary	New Salary	Effective Date
Compensation Actions <small>*Available funding for each action has been confirmed by the appropriate Department and School/Division management officials to support the proposed salary increase. Upon implementation, specific funding sources are reviewed and approved at the Department level, as well as by the applicable University Central financial offices, including the University Budget Office and the Office of Sponsored Research for grant-funded salaries.</small>							** Based on cumulative increase(s) to 6/30 salary					
1	Health Affairs	Julie Daniels	Public Health	Epidemiology	Associate Professor	Increase due to promotion to Professor	\$33,067	22.94%	\$144,124	\$154,213	\$177,191	12/1/2016
2	Health Affairs	Timothy Farrell	Medicine	GI Surgery	Professor/Interim Division Chief	Increase due to new secondary administrative appointment as Vice Chair of Education	\$124,065	39.27%	\$315,935	\$390,000	\$440,000	12/1/2016
3	Health Affairs	Lisa Gralinski	Public Health	Epidemiology	Research Associate	Increase due to job change from non-faculty to faculty appointment via external competitive event	\$19,395	32.00%	\$60,605	\$65,014	\$80,000	11/1/2016
4	Academic Affairs	Kelly Hogan	Arts and Sciences	Biology	Senior Lecturer/Director of Instructional Innovation	Increase due to new secondary administrative appointment as QEP Director, and Assistant Dean for Instructional Innovation	\$18,500	25.87%	\$71,500	\$72,460	\$90,000	1/1/2017
5	Academic Affairs	Charles Myer	Business Information and Library Sciences		Professor of the Practice	Increase due to new secondary administrative appointment as Managing Director of the Carolina Angel Network (CAN)	\$31,788	29.84%	\$106,545	\$110,000	\$138,333	12/1/2016
6	Academic Affairs	Ryan Shaw			Assistant Professor/BS Program Coordinator	Increase due to promotion to Associate Professor	\$17,711	20.67%	\$85,690	\$99,401	\$103,401	1/1/2017
7	Health Affairs	Nancy Thomas	Medicine	Dermatology	Distinguished Term Professor/Vice Chair	Increase due to new administrative appointment as Department Chair	\$171,239	52.02%	\$329,174	\$434,413	\$500,413	1/1/2017
8	Health Affairs	Vaughn Upshaw	Public Health	Public Health Leadership Program	Lecturer	Increase due to new Faculty appointment as Professor of the Practice via internal competitive event	\$33,736	29.02%	\$116,264	\$119,752	\$150,000	3/1/2017
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No.	College/Division	Name	Department/School	Rank	Reason	Total Monetary Value of Non-Salary Compensation	Duration of Non-Salary Compensation	Effective Date	End Date
Non-Salary Compensation Actions									
0	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	NA

EXECUTIVE SUMMARY

Board of Trustees

July 14, 2014

No.	College/Division Name	Department/School	Rank	Description
For Information				
0	N/A	N/A	N/A	N/A



THE UNIVERSITY
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CAROL L. FOLT
Chancellor

103 SOUTH BUILDING
CAMPUS BOX 9100
CHAPEL HILL, NC 27599

T 919.962.1365
F 919.962.1647
carol.folt@unc.edu

Mail Ballot

Board of Trustees

December 19, 2016

Chancellor Carol Folt submits for your review and approval the EHRA Faculty salary and tenure actions as recommended for December 2016. This mail ballot will be approved as part of the consent agenda at the Full Board meeting on Thursday, January 25, 2017.

The undersigned votes as follows with recommendation to these proposed actions as presented by the Chancellor.

	Approve	Disapprove
EHRA Faculty Salary Increases and Tenure Promotions (Attachment A)	<input type="checkbox"/>	<input type="checkbox"/>

Signature_____

Printed Name_____

Date_____

Please fax to TJ Scott at (919) 962-1647 or email at tj_scott@unc.edu

This mail ballot was approved by majority vote on December 20, 2016 by the following: Dwight Stone, Haywood Cochrane, Chuck Duckett, Lowry Caudill, Julia Grumbles, Allie Ray McCullen, Ed McMahan, and Hari Nath.



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

ATTACHMENT B

CAROL L. FOLT
Chancellor

103 SOUTH BUILDING
CAMPUS BOX 9100
CHAPEL HILL, NC 27599

T 919.962.1365
F 919.962.1647
carol.folt@unc.edu

TO: Members of the Board of Trustees

FROM: Carol L. Folt

RE: Personnel Mail Ballot

DATE: December 22, 2016

You have authorized me to poll you by mail ballot concerning personnel matters which require the immediate attention of the Board.

I am seeking approval to appoint Mr. Clayton Somers as the Vice Chancellor for Public Affairs and Secretary of the University. The appointment is effective January 3, 2017.

The Board is asked to approve Mr. Somers' appointment and compensation. Attached is the formal offer letter and a copy of Mr. Somers' CV. Please complete the attached mail ballot and return to TJ Scott at your earliest convenience.



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

CAROL L. FOLT
Chancellor

103 SOUTH BUILDING
200 EAST CAMLON AVENUE
CAMPUS BOX 9100
CHAPEL HILL, NC 27599-9100

T 919.962.1365
F 919.962.1647

December 22, 2016

Mr. Clayton Somers
105 Baynes Court
Chapel Hill, NC 27517

Dear Clayton,

I am pleased to confirm your appointment as Vice Chancellor for Public Affairs and Secretary of the University at the University of North Carolina at Chapel Hill, subject to approval of The University's Board of Trustees. As a Vice Chancellor, you will be classified as a Tier I Senior Academic and Administrative Officer and subject to all of the relevant human resources policies for employees in this category. The following outlines the specific details of your appointment:

<i>Employment effective date:</i>	January 3, 2017
<i>Employment status:</i>	At-will; subject to continuation or discontinuation at any time at the discretion of the Chancellor. Subject to a three month, six month and twelve month review during year one and an annual review thereafter. In addition, all Vice Chancellors are subject to a five year administrative review.
<i>Compensation:</i>	\$280,000 per year based on a full-time (1.0 FTE) work schedule. The Office of the Chancellor is responsible for initiating any changes in salary, subject to compensation policies adopted by the Board of Governors and/or Board of Trustees.
<i>Leave Accrual:</i>	26 days (208 hours) per year of annual (vacation) leave and 12 days (96 hours) per year of sick leave for full-time service. Up to 30 days (240 hours) of annual leave may be carried forward each calendar year with any excess balance converted to sick leave at year end. Sick leave does not have a maximum accrual rate.
<i>Leave Payout at Appointment End:</i>	Up to 30 days (240 hours) of annual leave; unused sick leave is not eligible for payout.
<i>University Vehicle:</i>	Use of a leased vehicle or comparable vehicle allowance will be provided for the primary purpose of conducting University business, to be paid for by the University of North Carolina at Chapel Hill Foundation, Inc. At appointment end, the provided vehicle must be returned promptly to the appropriate University official.
<i>Athletic Event Tickets:</i>	You will be provided two personal tickets to UNC Men's basketball and football games. Please note that you may decline the personal tickets, pay for them entirely, or receive them at no cost. If you receive the

personal tickets at no cost, the value of the tickets will be reported as taxable income.

Background Check:

Your appointment is conditional on satisfactory completion of the University's required criminal conviction and credentials checking processes. In the event these processes have not been fully completed at the time your appointment begins, this appointment may be rescinded if any remaining checks disclose information that in the University's judgement are sufficient to bar continued appointment. Before a final decision is made to rescind any appointment, the appointee will receive a copy of the information used in reaching this decision and will have an opportunity to provide any exculpatory or explanatory information.

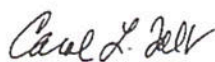
Employment Policies:

Your appointment will be subject to the *Employment Policies for Tier I Senior Academic and Administrative Officers of the University of North Carolina at Chapel Hill* as presently defined and as they may be periodically revised. A copy of the policies currently in effect is enclosed with this letter and is also available at any time by consulting the University's Office of Human Resources web site at <http://hr.unc.edu>.

Your appointment is conditional on your acceptance of all of the terms and conditions stated in this letter and as set out in the "EPA Non-Faculty Appointee Certifications and Conditions of Employment" (Form AP-2a), which is attached. Please signify your acceptance of these terms and conditions by signing and dating the enclosed copy of this letter and the Form AP-2a, and returning it to my office no later than December 22, 2016. In the event you shall fail to return a signed copy of this letter by that time, this offer shall be rescinded, unless further extended in writing by me.

I look forward with great enthusiasm to our working together in furthering the University's mission of teaching, research, and public service.

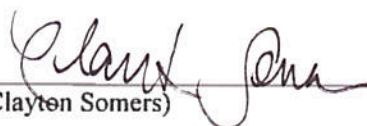
Sincerely,



Carol L. Folt

Enclosure: Employment Policies for Tier I Senior Academic and Administrative Officers
Form AP-2a (EHRA Non-Faculty Appointee Certifications and Conditions of Employment)
Form AP-2 (Recommendation for EHRA Personnel Action)
Equal Opportunity Employment Data Form

Acknowledgment and Acceptance by Appointee:


(Clayton Somers)

Date

12/22/2016

cc: Departmental Personnel File
EPA Non-Faculty Human Resources

CLAYTON D. SOMERS

105 Baynes Court • Chapel Hill, NC 27517

Mobile Phone: (919) 623-0413 • E-mail: csomersnc@yahoo.com

- Driven attorney and executive leader with passion for consensus building in both public and private sectors.
 - Extensive experience with formulation, negotiation and implementation of governmental policy in both public and private sectors; skilled in developing strategic partnerships and working relationships with public officials and private sector leaders and organizations.
 - Diverse leadership experience in structuring and managing enterprises for long-term success; skilled in formulation of corporate and public sector policies, organizational assessment, developing and executing action plans, and implementing management programs consistent with the organization's mission, vision and values.
 - Proven success in solving complex legal and policy matters, serving as liaison between public and private leaders and organizations, negotiating complex issues, and representing clients in a wide variety of legal matters.
-

AREAS OF EXPERTISE

- | | | |
|-----------------------------------|--|-----------------------------------|
| • <i>Public Policy</i> | • <i>Organizational Development</i> | • <i>Corporate Litigation</i> |
| • <i>Consensus Building</i> | • <i>Strategic Planning and Execution</i> | • <i>Sports/Entertainment Law</i> |
| • <i>Relationship Development</i> | • <i>Corporate Governance/Compliance</i> | • <i>Technical Drafting</i> |
| • <i>Board/Executive Liaison</i> | • <i>Corporate and Government Agreements</i> | • <i>Communications Strategy</i> |
-

CAREER HISTORY and SELECT ACHIEVEMENTS

NORTH CAROLINA GENERAL ASSEMBLY, Raleigh, NC 2014 - Present

Chief of Staff, North Carolina Speaker of the House

- Provide counsel on all strategic, legislative and legal matters to Speaker and House members; formed and supervise Speaker's staff to provide policy advisory services.
- Serve as liaison for House/Senate members, government agencies, and external parties; responsible for developing strategic relationships with internal and external constituencies across public and private sectors.
- Responsible for administrative oversight with Senate counterpart of all General Assembly operations, including budgeting, operations, and human resources.

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION, Raleigh, NC 2014

Executive Director, North Carolina Turnpike Authority

- Served as one of twelve staff members on Secretary's Executive Leadership team; provided strategic guidance and counsel for leadership of a 12,000 employee state agency.
- Led NC Turnpike Authority, including executive, management, operational, budget and planning functions; served as liaison to NC Turnpike Board of Directors and NC DOT Board of Directors; planned and led all Board of Directors meetings.
- Developed plan to utilize \$61.3 million in unallocated bond proceeds to fund new capital projects, strengthen reserves and reimburse NCDOT for expenses that allowed funding for other NCDOT projects.

NORTH CAROLINA HIGH SCHOOL ATHLETIC ASSOCIATION, Chapel Hill, NC 2012 - 2014

General Counsel

- Served as its first General Counsel, represented NCHSAA and its Board of Directors in all legal matters.
- Managed business/operations functions and served as chief of staff to Commissioner; primary responsibility for all operational functions: legal, human resources, insurance, and compliance with government regulations.

WASSERMAN MEDIA GROUP / ONSPORT STRATEGIES, Raleigh, NC and Los Angeles, CA 2004 – 2012

Wasserman Media Group: Executive Vice President / Vice President Human Resources / Associate General Counsel

Transitioned from OnSport to Wasserman after acquisition in 2007. Promotions: Vice President of Human Resources (2008), Executive Vice President for Operations/Division Chief Operating Officer (2010). Served as EVP - chief operating officer and legal counsel for two of this sports and entertainment company's three operating divisions (consulting, global sales/business development).

Executive Vice President - Operations, Consulting and Global Sales/Business Development

- Reported to Company's global COO and Division Principals; responsible for all operational functions: legal, human resources, insurance, budget/finance, real estate, training/development, work quality, and administration of Raleigh and New York offices. Provided strategic counsel on all division affairs, including supervision of 100+ employees and serving as liaison to other divisions and executive management team.
- Completely overhauled company-wide insurance programs and risk management strategies.
- Designed and implemented comprehensive division employee training/development program.
- Represented company and divisions in various legal matters both domestically and internationally.

Vice President Human Resources / Associate General Counsel

- Restructured human resources department and all functions/processes from the ground up, including day-to-day management of eight-person team.
- Primary responsibility for all department functions and oversight of all employee benefits plans (health, disability, 401K plan, etc.), including plan design/changes. Designed and implemented plan structure changes resulting in substantial short-term and long-term improvement for company and employees.
- Primary responsibility for company insurance and compliance programs. Designed, and implemented risk management program resulting in significant improvement of risk coverage and reduced premiums.
- Designed corporate policies/procedures to streamline operations and improve company performance.
- Drafted and negotiated wide variety of company and client agreements, leases and vendor agreements. Successfully negotiated agreements with companies such as American Express, T-Mobile, Pepsi, Nationwide Insurance, NIKE, Notre Dame, Dallas Cowboys, L.A. Lakers, USA Basketball, Wembley Stadium, Team New Zealand, Big 10, Big 12, Pac-10, Wachovia, PGA TOUR and Travelers.
- Represented company in numerous external facing legal roles, including overseeing outside counsel and handling pre-litigation matters directly on behalf of company. Efficiently resolved numerous disputes.
- Negotiated/prepared wide variety of instruments including professional services agreements, sales/sponsorship agreements, personal service/endorsement agreements, employee agreements, corporate governance documents, immigration (US/abroad) applications, corporate policies/communications, leases, company responses to RFPs, and responses to employee matters such as unemployment and workers comp claims.

ONSPORT STRATEGIES: GENERAL COUNSEL**2004 - 2007**

Recruited to serve as the first General Counsel for this emerging leader in sports and entertainment consulting. Provided legal and administrative guidance to the CEO and senior executives on building a sound business infrastructure that supported exponential growth from 2004-2007.

- Represented company in all legal/policy matters including employment law, contracts, real estate, M&As, risk management, and corporate governance. Administered employee benefits, 401(k) plan, and insurance plans.
- Created and administered training programs for management and support teams in the areas of education, compliance, diversity, harassment prevention, and personal/career development. Oversaw intellectual property matters and conducted due diligence with respect to merger and acquisition opportunities.
- Non-legal business projects included serving as consultant for NASCAR in selecting the site for its Hall of Fame and for USA Basketball in negotiating the potential relocation of its corporate headquarters.

NORTH CAROLINA ABC COMMISSION, Raleigh, NC**2002 – 2003****KILPATRICK STOCKTON, LLP, Raleigh, NC****2001 – 2002****SMITH HELMS MULLISS & MOORE, LLP, Raleigh, NC****1997 - 2000****THE SANFORD HOLSHOUSER LAW FIRM, Raleigh, NC****1996 - 1997**

Conducted complex litigation work for these full-service law firms and state agency. Supervised the work of junior associates, paralegals and administrative assistants. Conducted motions, depositions, mediations, hearings and trials before state and federal courts and administrative agencies.

- Areas of practice included: commercial litigation, debtor/creditor rights, real estate, non-profit organizations, debtor/creditor rights, insurance defense and subrogation, securities, construction, worker's compensation and personal injury, real estate matters, employment law, and cases in both state and federal appellate courts.
- Interviewed parties, reviewed cases, and developed mediation and/or trial strategy. Drafted motions, pleadings, briefs and orders for matters before federal and state courts in North Carolina and southeastern United States.

BAR ADMISSIONS

NORTH CAROLINA STATE BAR
CALIFORNIA STATE BAR
NEW YORK STATE BAR

EDUCATION

J.D., WAKE FOREST UNIVERSITY SCHOOL OF LAW; Winston-Salem, NC • 1996
Recipient of the Marvin K. Blount and the William T. Hatch Scholarships
Law Review and Moot Court Board • Moot Court Board Award for Outstanding Achievement

B.S. BUSINESS ADMINISTRATION, UNIVERSITY OF NORTH CAROLINA; Chapel Hill, NC • 1993
James M. Johnston Scholar • Undergraduate Honors Program

CIVIC AFFILIATIONS

USA BASKETBALL • 2015 - Present

Appeals Panelist for Coach Licensing Program

Appointed by USA Basketball Board of Directors to serve as one of three members (and rotating chair) of Appeals Panel to hear appeals from coaches applying to receive USA Basketball licensed coaching credentials; hear testimony, examine parties and review materials to render binding decision on whether USA Basketball grants coaching licenses.

TRIANGLE EDUCATIONAL ADVANCEMENT FOUNDATION (TEAF) • 2000 - Present

Served as Board Member from 2000 – 2008 and 2015 – present; served as President of Foundation from 2008-2015.

Provide executive leadership and pro bono legal counsel for this non-profit organization focused on raising scholarship funds for high school students in the 40 Triangle-area high schools. Distributed over \$800,000 in scholarships during Board tenure to date. Negotiated and finalized new multi-year six-figure title sponsorship agreement.

TEAF'S HIGHSCHOOL.OT.COM HOLIDAY INVITATIONAL BASKETBALL TOURNAMENT

Directed all operations of TEAF's largest fundraising event and have grown the event to become one of the leading national high school basketball tournaments in the country (2000-2008).



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Chancellor

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F 919.962.1647
carol.folt@unc.edu

Mail Ballot

Board of Trustees

December 22, 2016

Attached for your review and approval is a memo concerning the terms of appointment and compensation for Clayton Somers as Vice Chancellor for Public Affairs and Secretary of the University. This mail ballot will be approved as part of the Consent Agenda at the Full Board meeting on Thursday, January 26, 2017.

The undersigned votes as follows with respect to the recommendation proposed in Chancellor Folt's memorandum dated December 22, 2016.

Approve Disapprove

Appointment and compensation for Clayton Somers
as Vice Chancellor for Public Affairs and Secretary
of the University

☐☐

Signature_____

Printed Name_____

Date_____

Please fax to TJ Scott at (919) 962-1647 or email at tj_scott@unc.edu

This mail ballot was approved by majority vote on December 22, 2016 by the following: Dwight Stone, Haywood Cochrane, Chuck Duckett, Lowry Caudill, Julia Grumbles, Bill Keyes, Allie Ray McCullen, Ed McMahan, and Bradley Opere.

December 2016

PUTTING IMPORTANT IDEAS TO USE FOR THE PUBLIC GOOD

2010 Strategic Roadmap to Accelerate Innovation at the University of North Carolina at Chapel Hill

■ *Final Implementation Report*



INNOVATE CAROLINA



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

THE CHANCELLOR'S INNOVATION CIRCLE

■ *Charter Members*

The Strategic Roadmap to Accelerate Innovation was developed by three groups that shared a passion for Carolina's future: the Chancellor's Innovation Circle, the Faculty Steering Committee, and the Chancellor's Student Innovation Team.

TITLES AS OF 2010

LOWRY CAUDILL
Chair, Innovation Circle,
Co-founder, Magellan
Laboratories, Inc. (Retired)
Durham, North Carolina

RYE BARCOTT
Founder, Carolina For Kibera
Charlotte, North Carolina

HARRIS BARTON
Managing Director,
Capital Dynamics
Palo Alto, California

VAUGHN BRYSON
President, CEO, Eli Lilly & Co.
(Retired) President, Clinical
Products, Ltd. Vero Beach, Florida

BEN CAMERON
Program Director for the
Arts, Doris Duke Charitable
Foundation New York, New York

TOM CHEWNING
Executive Vice President and
CFO, Dominion (Retired)
Richmond, Virginia

ALFRED CHILDERS
Co-founder of Magellan
Laboratories, Inc. (Retired)
Cary, North Carolina

PHILLIP L. CLAY
Chancellor, Massachusetts
Institute of Technology
Cambridge, Massachusetts

STACIE COCKRELL
Author, Speaker
Austin, Texas

JOHN DENNISTON
Partner, Kleiner, Perkins,
Caufield & Byers
Menlo Park, California

ALSTON GARDNER
Managing Director,
Fulcrum Ventures LLC
New York, New York

DENNIS GILLINGS
Chairman, CEO, Quintiles
Transnational Corporation
Durham, North Carolina

JULIA SPRUNT GRUMBLES
Vice President, Turner
Broadcasting (Retired)
Chapel Hill, North Carolina

REG HARDY
Co-founder and President,
Concordia Pharmaceuticals
Fort Lauderdale, Florida

DON HOLZWORTH
Chair, Futures Group,
International
Durham, North Carolina

BARBARA ROSSER HYDE
Hyde Family Foundations
Memphis, Tennessee

STUART JANNEY
Chair, Bessemer Securities LLC
Butler, Maryland

KIMBERLY JENKINS
Microsoft Senior Executive
(Retired)
Chapel Hill, North Carolina

BRENT JONES
Managing Director,
Northgate Capital
Danville, California

THOMAS P. KENNEDY
Professor of Medicine
Medical College of Georgia
Augusta, Georgia

JASON KILAR
CEO, Hulu LLC
Los Angeles, California

RICHARD KRASNO
Executive Director, William R.
Kenan, Jr. Charitable Trust
Trustee, Kenan Institute of
Private Enterprise
Chapel Hill, North Carolina

MYLA LAI-GOLDMAN
CEO, CancerGuide
Diagnostics, Inc.
Chapel Hill, North Carolina

RUBY LERNER
President and Executive
Director, Creative
Capital Foundation
New York, New York

DOUG MACKENZIE
Founder, Partner, Radar;
Affiliated Partner at Kleiner,
Perkins, Caufield & Byers
Palo Alto, California

FRED MCCOY
Vice Chairman, Synecor LLC
Chairman, TransEnterix, Inc.
Executive Chairman,
InnerPulse, Inc.
Chapel Hill, North Carolina

STEVE NELSON
Managing Partner,
Wakefield Group
Chapel Hill, North Carolina

TODD POPE
President, CEO,
TransEnterix, Inc.
Chapel Hill, North Carolina

JOHN POWELL
Co-founder, Managing Director,
Integral Capital Partners
Menlo Park, California

JONATHAN RECKFORD
CEO, Habitat for Humanity
Atlanta, Georgia

THOMAS RIZK
Chairman, CEO, TractManager
Saddle Brook, New Jersey

CHRISTY SHAFFER
CEO, Inspire Pharmaceuticals
(Retired)
Chapel Hill, North Carolina

SALLIE SHUPING-RUSSELL
Managing Director, BlackRock
Alternative Advisors
Chapel Hill, North Carolina

RICHARD STACK
Director, Founder, President,
Synecor LLC
Chapel Hill, North Carolina

BILL STARLING
CEO, Synecor, LLC
Managing Director,
Science Life Partners
Portola Valley, California

MATTHEW SZULIK
CEO, Red Hat (Retired)
Raleigh, North Carolina

TOM UHLMAN
Founder, Managing Partner,
New Venture Partners, LLC
Madison, New Jersey

ED VICK
CEO, Chairman,
Young and Rubicam (Retired)
Old Greenwich, Connecticut

KAY WAGONER
Co-founder, Former President,
CEO, Director Icagen, Inc.
Chapel Hill, North Carolina

DEBBIE WRIGHT
Chief Counsel Global IP –
Open Innovation and Supply
Chain, Kraft Foods
Chicago, Illinois

JUDITH CONE
Special Assistant to the
Chancellor for Innovation &
Entrepreneurship,
UNC-Chapel Hill
Chapel Hill, North Carolina

MARK MEARES
Director, Corporate &
Foundation Relations,
UNC-Chapel Hill
Chapel Hill, North Carolina



Chuck Perou, Distinguished Professor of Molecular Oncology (left) talks with lab manager Jerry Usary. Perou received the 2013 Hyman L. Battle Distinguished Cancer Research Award in recognition of his accomplishments in cancer research.



Alice Ammerman (far left), Director of UNC's Center for Health Promotion and Disease Prevention, co-leads the campus theme "Food for All," which focuses on food access, food systems innovation, health promotion and disease prevention, and the documentation of food cultures and history.

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Executive Summary

Introduction

Foundation

Progress on Strategic Implementation

HISTORY & BACKGROUND

The Innovation Roadmap: A Brief History and Guide

Implementation of the Roadmap: An Overview

PROGRESS ON GOALS

Need, Response, Assets

Response of Research Institutions

UNC Chapel-Hill's Response


Common Understanding

 Prepare

 Collaborate

 Translate

 Align

 Catalyze

Executive Summary for the 2010 Innovation Roadmap Final Report

This report is a comprehensive review of the creation and implementation of the 2010 Strategic Roadmap to Accelerate Innovation at the University of North Carolina at Chapel Hill.

It starts with messages from Chancellor Carol Folt, Board of Trustee Chair Dwight Stone, past Board Chair and Chair of the Innovation Circle Lowry Caudill, and the Vice Chancellor for Innovation, Entrepreneurship and Economic Development Judith Cone. They talk about why this work became and continues to be a critical part of the strategic direction for the University as it seeks to have even greater impact.

ACCOMPLISHMENTS TO DATE

Organize and Mobilize for Impact: In 2010, UNC Chapel Hill declared that it wanted to systematically help solve some of the biggest issues facing North Carolina, the nation, and the world. It knew that it had to build a culture, infrastructure, and a robust ecosystem of innovation to have any hope of taking on grand challenges. Programs, or even a center, would be insufficient – it would require a centralized-decentralized approach so that each unit and program would include innovation as core to its work whenever possible. Leaders would be needed throughout the University, as well as in central administration.

This report is the story of how the Board of Trustees, administration, deans, chairs, faculty, staff, students, alumni, parents, and other donors came together to ensure that this University does all it can to help solve some of the biggest challenges facing the world today. In the process of writing the Roadmap, the University took a hard look at itself and designed a path toward being a place that thoroughly supports people who want to work with others to understand needs, and design and successfully implement solutions. It outlined key steps that would make innovation and entrepreneurship (I&E) into widely-shared working priorities at Carolina.

The vision and mission paint the picture of this work.

Vision – With a special focus on the world’s most pressing problems, innovators and innovations launched at Carolina consistently put important ideas to use for the public good.

Mission – To be a place where innovators thrive.

Defining innovation was an important part of the earliest discussions and focuses on three equally important parts.

An innovation is a **successfully implemented, unique** and **valuable** idea.

The full report gives the details of the strategies, goals, actions, lessons learned and next steps for the five key strategic areas described in the Roadmap:

- **Prepare** faculty, graduate and undergraduate students, staff, and the broader Carolina community with the knowledge, skills, and connections necessary to translate new ideas into innovations.
- **Collaborate** with diverse groups internally and externally to explore issues, options, and creative approaches that may lead to innovations.
- **Translate** important new ideas more expeditiously and at an increased volume into innovations that improve society.
- **Align** people, incentives, resources, and processes to strengthen an intentional culture of innovation at Carolina.
- **Catalyze** innovation at Carolina by facilitating the work of faculty, staff, and students as they put important ideas to use for the public good.

In 2010 a special assistant for innovation and entrepreneurship was commissioned by then Chancellor Holden Thorp to lead the creation of the Roadmap and implementation of the centralized/decentralized model described in that document. The Innovation Circle, made up of alumni, parents, and donors, was instrumental in challenging the University with different viewpoints and offering support. Faculty and student working groups helped create the Roadmap. Thorp, along with University Entrepreneur-in-Residence Buck Goldstein, released their book *Engines of Innovation* not long after to encourage the reshaping of higher education institutions to better support innovation.

In 2013, the UNC Board of Trustees targeted one of its four committees to focus on innovation and entrepreneurship, which continues today. Chancellor Folt, who was hired in 2013, was a strong proponent for innovation and entrepreneurship at Dartmouth. She came to UNC-Chapel Hill determined to move it forward in this area. Today the University-wide strategy includes *making innovation fundamental*, and she continues to champion this work.

At the start some deans were already engaged in direct service and innovation. Areas such as medicine, public health, social work, and government, along with the Campus Y and Center for Public Service, have service missions to North Carolina that are integral to their very purpose. Today all the deans have strategies to support innovation and entrepreneurship. Donors helped establish innovation funds in such schools as media and journalism, public health, and pharmacy. Other deans supported specific programs like those in the business school and arts and sciences. Some deans created positions such as associate dean of entrepreneurship. University librarians started opening innovation spaces and developing programs. The Kenan Science Library, for example, hosts a maker space.

Across the campus, a growing number of academic units now have designated faculty serving as their Innovation and Entrepreneurship (I&E) liaisons, and many have external entrepreneurs-in-residence (EIRs) who help to watch for promising ideas and mentor potential faculty or student entrepreneurs. The Chancellor's Student and Graduate Student Innovation Teams were formed to channel student input, and to promote and assist student-led activities.

Networks and linkages of innovation leaders are growing both within the University and with external partners. In 2010, there were a few people involved in I&E. Today the Innovate Carolina Network has 200 people who meet regularly to learn from each other, work together, and help move the I&E strategy and programs forward.

Communication of I&E news has accelerated; a master web portal for information (innovate.unc.edu) is in service; and all efforts are branded under *Innovate Carolina*.

Embrace Multidisciplinary, Convergence, and Diversity of Thought: The Roadmap described the need for interdisciplinary, diverse communities to understand and help solve the world's most complex problems. It specified the need for applied physical sciences and biomedical engineering and other such hybrid disciplines.

- The Chancellor, Provost and Deans of Medicine and Arts and Sciences created the first new department in forty years in the sciences – applied physical sciences.
- UNC-Chapel Hill and NC State University Chancellors Folt and Woodson and Provosts Dean and Arden, committed to strengthening the joint department of biomedical engineering.
- The Roadmap also called for makerspaces, graduating students data literate, strengthening computer science, building app development services and promoting serious games as important tools of innovation.

Partnerships with Donors and Industry: Donors like Gillings, Marciso and Eshelman and many others made significant investments in translational work and continue to be involved on a strategic level as well. The

Roadmap called for an increased emphasis on industry partnerships.

- The GlaxoSmithKline project with UNC-Chapel Hill for the HIV/AIDS cure was a first-of-its-kind public-private partnership. This is just the beginning of such meaningful relationships. In order to better realize these complex deals, there is now a cross-university team dedicated to developing additional deep relationships with industry.
- The Chemistry Department partnered with Eastman Chemical Company for joint research.
- The School of Medicine is working with IBM Watson Health and with SAS, Siemens and other firms.
- Plans for the future call for commercialization spaces to house such activities. Most peer institutions have dedicated innovation spaces including wet labs for faculty startups and proximity for/to industry.
- The new Office of Industry Contracting consolidates and improves the support of industry-sponsored research at UNC-Chapel Hill. The Office of Sponsored Research is undergoing a complete redesign.

Embed Innovation in Research and Teaching: The teaching of innovation and entrepreneurship both for credit and in extra curricular workshops and coaching grew from a few courses in the business school and a new minor in entrepreneurship in Arts and Sciences to programs through the schools and institutes. Today, the following is happening:

- Applied Physical Sciences is hiring new faculty and will be part of the proposed new convergence science building.
- Carolina's BeAM (Be a Maker) movement now operates three state-of-the-art makerspaces where students and faculty can prototype and build physical objects. This is essential for developing ideas that could lead to advanced manufacturing, new products in arts and other fields.
- The Center for Entrepreneurial Studies in the Kenan-Flagler Business School already had courses in 2010 and had just started the Carolina Challenge, the campus-competition. Today those courses have expanded. Additionally, working with the IEED, they have taken on responsibility for Launch Chapel Hill and 1789. They now run the new Adams Apprenticeship program as well.
- In 2010 the undergraduate Entrepreneurship Minor had just started and had two tracks: social and commercial and was serving 100 students a year. Today, it serves 150 students in the Minor, 450 students in Econ 125 Introduction to Entrepreneurship, and has hubs in Silicon Valley, New York and Beijing. It continues to reach more students through nine tracks.

Support for Startups and Innovators: Pre-Roadmap, the University had no physical facilities dedicated to nurturing startup ventures. Now there are several with related support services and programs. Today, the newly-created Office of the Vice Chancellor for Innovation, Entrepreneurship and Economic Development (IEED) includes support for KickStart Venture Services, the Carolina Research Ventures Fund, Carolina Angel Network, Launch Chapel Hill, and 1789 Venture Labs among other programs. The University's tech transfer office had one of the most underfunded and understaffed offices among its peer institutions. In 2010 there were five commercialization managers. Today there are eight plus two interns, people in new positions in outreach, marketing, strategic partnerships, and research services. It reports to the VC IEED.

- **KickStart Venture Services:** worked with 72 companies since 2009 > 43 companies received funding > \$1.6M in KickStart grants > \$74M in SBIR/STTR funds > \$766M in investment dollars.
KickStart Venture Services, part of the UNC-Chapel Hill Office of Commercialization and Economic Development, supports IP-based startup formation, based on faculty research at UNC-Chapel Hill. Services include business development by providing coaching and mentoring, early-stage funding, connection with key service providers, management, investors and space. KickStart Labs is the wet lab startup incubator located on campus in the heart of research and innovation. KickStart Labs has

incubated 13 startup companies offering close proximity to the University founders, access to specialized equipment and acts as a location to operate as a fully-functional faculty startup business.

- **Carolina Research Venture Fund LLC** started in 2015 > \$10M fund > Hired Hatteras Venture Partners > 3 investments into startups to date that have raised more than \$115M.

Many of the UNC-Chapel Hill faculty startups based on intellectual property are working on breakthrough ideas and solutions that could greatly benefit the public. Since private investment capital is not broadly available at this earliest stage, these ideas struggle to get translated into practical use. That lack of capital keeps University research innovations from converting into commercial products. Such a gap in funding can be hard to overcome. The Carolina Research Venture Fund helps unlock these young companies' potential and get their products into the hands of businesses and consumers by providing early capital and leveraging our relationships with the national venture capital community. This is an affiliated entity, run by an experienced board that is tasked with hiring and managing a top venture capital firm to manage the fund.

- **Launch Chapel Hill Accelerator:** 63 companies since 2013 > raised \$10M >100 jobs

Launch Chapel Hill is an international award-winning startup accelerator located in downtown Chapel Hill. Initiated by UNC-Chapel Hill, this public-private partnership brings together the town, county, University, and a private donor. Twice a year, it accepts applications to the accelerator program from entrepreneurs who are committed to building their early stage businesses into self-sustaining enterprises. Its goal is to provide the tools and knowledge needed to decrease risks, reduce go-to-market time, and accelerate the growth of startups.

- **Office of Commercialization and Economic Development** (tech transfer): Since it takes a long time to realize the investment in life science technologies, statistics from tech transfer are reported as annual average revenues over a five-year period.

	Annual Ave FY06-10	Annual Ave FY11-15	Cumulative
Disclosures	118.8	146.4	2566
Patent Applications	63.8	74.8	1304
Issues US Patents	24.2	34.6	658
Licenses	58.4	50.4	1130
Startups	3.2	9.8	106
Revenue	\$2.58 M	\$3.66 M	\$53.10 M

The Roadmap outlined in detail the types of actions needed to improve the translational outcomes of the University. The Office of Commercialization and Economic Development (formerly the Office of Technology Development) has been revamped to improve processes of managing University intellectual property into licenses.

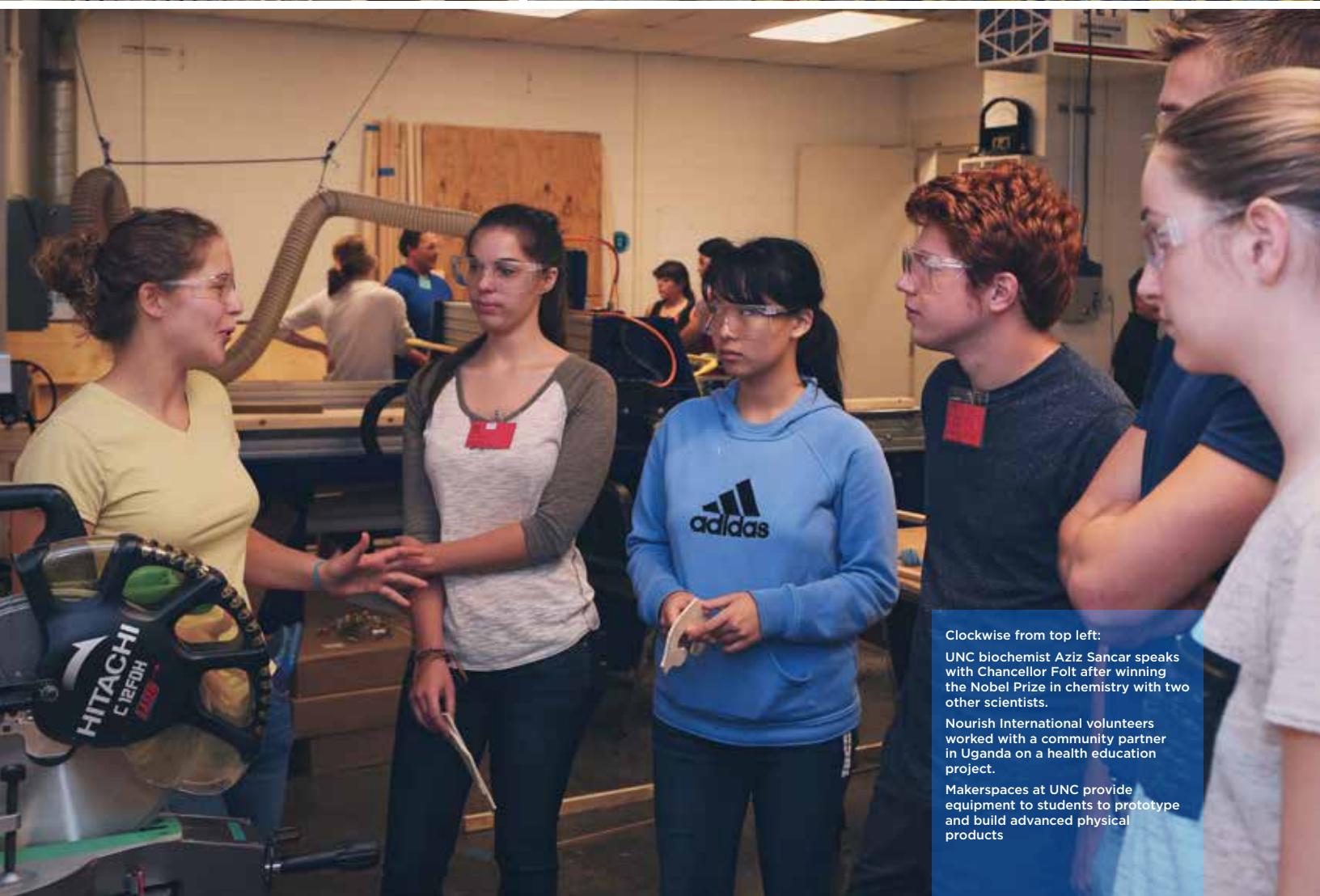
These are but a few stories of the hundreds that are described in the full report. Collectively they reflect the comprehensive ecosystem and culture of innovation at Carolina. They also highlight needs for the future.

WHAT LIES AHEAD

As this report shows, while many significant measures are now well under way, efforts in other areas are at the planning or early-launch stages. Some key needs going forward:

- More and better physical facilities for I&E. A comprehensive space plan is in progress and will become part of the 10-year space plan.
- A number of University policies and procedures need updating to facilitate, rather than hinder, innovation. These include conflict of interest resolution, tenure and promotion guidelines to include I&E activities by faculty, and reducing barriers to collaboration across boundaries. These are being addressed gradually with an ultimate goal of building a nimble, responsive organization.
- Better measurement and evaluation of I&E impact, both to document Carolina's contributions to society and to inform future work. This is challenging, as positive impact takes many forms beyond easily measured economic gains.
- Further fundraising and appropriate budgeting for all I&E programs are required.
- A major opportunity for pan-university dialogue regarding the areas of social innovation and also economic development.

In general: The work begun under the 2010 Roadmap is itself a massive exercise in innovation. It amounts to a sweeping re-invention of the University across many fronts, to better serve a fast-changing society. New ideas have been pilot-tested and proven, which should now be scaled up and/or widely emulated.



Clockwise from top left:
UNC biochemist Aziz Sancar speaks with Chancellor Folt after winning the Nobel Prize in chemistry with two other scientists.
Nourish International volunteers worked with a community partner in Uganda on a health education project.
Makerspaces at UNC provide equipment to students to prototype and build advanced physical products

INTRODUCTION

■ *Chancellor Carol Folt*

Lasting Positive Impact

Dear Colleagues:

As a scientist, one of the reasons I was excited to come to Carolina and serve as Chancellor is because of the University's international reputation as a research powerhouse and the University's commitment to become a leading innovation and entrepreneurship center. Over the past three years, through focused work and institution-wide dedication, Carolina's success in this area has literally blasted off to new heights.

This report tells compelling stories about how Carolina embraces the translational aspects of its work and makes innovation and entrepreneurship part of our core missions of research, teaching and service. The following pages document work already under way and discusses the logical next steps that must be taken to build upon recent successes. The stories speak of Carolina's demonstrated commitment to helping people increase their capacity to convert knowledge into practical benefit for the public good that delivers lasting positive impact in our state and beyond.

Under the guidance and support of University-facilitated programs, I have witnessed how students, faculty and staff are working together like never before to create powerful results to tackle North Carolina's and the world's most challenging problems. This perfectly aligns with our pan-university commitment to ensuring our graduates are ready to face a certain-uncertain future as part of the Innovation Generation.

Carolina is already well on its way to being a global leader in innovation and entrepreneurship. Equally as important and essential, we have built a foundation to expand our work in the future, creating opportunities for new ventures, areas of exploration and ultimately successes in the years ahead.



Carol L. Folt, Chancellor



Our success wasn't created by happenstance, and achieving our goals takes many people collaborating across a diverse range of activities, coupled with support from an integrated network of resources.

University innovators who wish to bring discoveries or inventions to market need early-stage support. In this critical area we took deliberative action on multiple fronts. In February 2015, I created a new position reporting directly to me, Vice Chancellor for Innovation, Entrepreneurship and Economic Development. The mandate of this office includes aggressively seeking out marketable ideas and creating needed partnerships among inventors, investors, industry partners, mentors and the University community. Another major new initiative to fuel our social and economic value to North Carolina is the creation of the Carolina Research Venture Fund for investments into faculty-founded, IP-based startups.

In the formal teaching of entrepreneurship, we are building on the successes of the Kenan-Flagler Business School's Center for Entrepreneurial Studies, the Frank Hawkins Kenan Institute of Private Enterprise and the Entrepreneurship Minor in the College of Arts and Sciences. Additionally, the excellent work of other academic units including Computer Science, Media and Journalism, Public Health, Medicine, Pharmacy, Law and many others are contributing to student success.

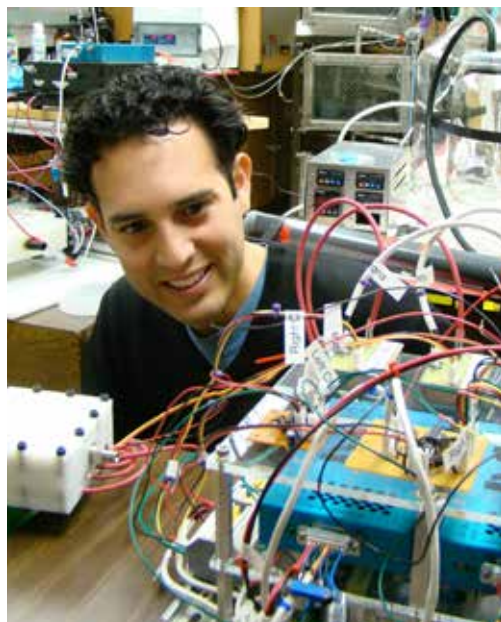
For students, we are dedicated to delivering uncompromising quality in education, in terms of both what and how they learn. We want Carolina graduates to have proficiency in their disciplines, amplified with an entrepreneurial mindset and skillset that includes design, leadership, planning and execution.

Supporting all of these efforts—and our innovators—is a dedicated team of faculty and staff whose work underpins the programs, spaces and initiatives critical to Carolina's innovation strategy. Their efforts are, in part, a reflection of the leadership of the UNC-Chapel Hill Board of Trustees and senior administrators.

In this critical area of support, I want to recognize and thank four leaders for their tireless support and personal commitment: Dwight Stone, Chair of the UNC-Chapel Hill Board of Trustees; Lowry Caudill, Trustee and former Board Chair, for his leadership as Chair of the Innovation Circle; Julia Grumbles, Trustee and Chair of the Board Committee on Commercialization and Economic Development; and Judith Cone, Vice Chancellor for Innovation, Entrepreneurship and Economic Development, who keeps our innovation agenda focused on

Left: Dr. William Vizuete, Associate Professor of Environmental Sciences & Engineering shows his invention to examine the effects of air pollutants on health.

Right: Reese News Lab student interns brainstorm a list of ideas emerging from a design thinking session.



supporting those who are transforming lives for the better. And, very importantly, our initiatives could not have moved forward without the people who recognize the value of innovation and entrepreneurship and provide the financial resources needed to advance these critical activities.

Our overarching goal is to make Carolina synonymous with excellence in innovation and entrepreneurship. This is our personal and institutional commitment to our students, faculty and staff, our state and to those who provide life-blood financial resources needed to advance our programs. Thanks to their continuing support, we are developing and inspiring the next generation of innovators and entrepreneurs who will create new jobs and fields of endeavor that capture imaginations, create new opportunities and help change our state, nation and world.

Carol L. Folt
Chancellor, the University of North Carolina at Chapel Hill

■ *Dwight Stone*

Strategic Support



Dwight Stone,
Chair, UNC-Chapel Hill Board of Trustees

Since its founding in 1789 as the nation's first public university, Carolina has continuously met the changing needs of the state, nation and the world. Our students, faculty and staff see a challenge, mobilize their knowledge and resources and do what it takes to get results.

Today, the challenges confronting universities and academic institutions across the country and world are huge. We must face those head on and meet them with courageous, transformational solutions. As chair of the University of North Carolina at Chapel Hill's Board of Trustees, I feel honored to be able to work with the administration to advance the University to meet new demands while remaining true to its core values.

Many board members were part of the creation in 2010 of the Strategic Roadmap to Accelerate Innovation at the University of North Carolina at Chapel Hill (the Innovation Roadmap). Alston Gardner, Steve Lerner, Barbara Hyde and Sallie Shuping Russell spent nearly a year working with faculty, students, donors, parents and friends of the University to better understand the need and opportunity for Carolina to become a leader in innovation and to create the Innovation Roadmap. Later Innovation Circle members Lowry Caudill, Phil Clay and Julia Sprunt Grumbles would join the UNC-Chapel Hill Board of Trustees. Each successive board since that time has placed innovation as one of the top priorities. A UNC-Chapel Hill Board of Trustee subcommittee on innovation has worked with administration to continue to advance the University's capacity to deliver the much-needed results to communities of need, and to contribute to the economy broadly.

The UNC-Chapel Hill Board of Trustees is committed to providing the leadership and support for making UNC-Chapel Hill a place where people come to explore and create, and where Carolina-born innovations and innovators change the world.

Dwight Stone
Chair, UNC-Chapel Hill Board of Trustees

■ *Lowry Caudill*

An Engine of Innovation

In 2010, a dedicated team of UNC-Chapel Hill family—faculty, students, staff, administrators, alumni and friends—was charged by then Chancellor Holden Thorp with creating a strategic framework that would best position Carolina to produce more innovations faster and, in doing so, change our community, nation and world for the better. The result was the 2010 Innovation Roadmap.

This is the final progress report for the 2010 Roadmap, and I am inspired by what we have accomplished together. The enthusiasm for and commitment to reaching our goals are shared across the Carolina community. This report reveals the work of many, in a variety of fields and for a variety of purposes. It is impossible to ignore the culture of innovation and entrepreneurship that is becoming embedded through all aspects of our university.

I wear many hats at Carolina—a member of the UNC-Chapel Hill Board of Trustees, an alumnus, an adjunct professor, an innovator, an entrepreneur, a donor and a parent—which allows me to see the effect of this work from many different vantage points. By all accounts, the Roadmap—the vision we laid out in 2010 for what we aspired to achieve at Carolina—has been a success. Now we must build on the incredible momentum that has been created. We must support this work in all of its forms by securing the necessary human and financial resources and by crafting new strategies to propel us forward. We must keep telling our story. And we need your help, now more than ever, to become the best public university in the world for innovation and entrepreneurship.

W. Lowry Caudill, PhD, Chair, Chancellor's Innovation Circle
UNC-Chapel Hill Board of Trustees, Past Chair



Lowry Caudill, PhD, Chair,
Chancellor's Innovation Circle
UNC-Chapel Hill Board of Trustees, Past Chair

■ *Judith Cone*

A Community of Innovators



Judith Cone,
Vice Chancellor for Innovation,
Entrepreneurship & Economic
Development

When I left the Kauffman Foundation as vice president and came to Chapel Hill to be Special Assistant to the Chancellor for Innovation and Entrepreneurship in late 2009, I put behind me the privilege of being part of granting for charitable purposes nearly \$100 million a year. The Foundation sought to advance societal benefit by encouraging entrepreneurship and investing in education.

Stepping out of that position into an unstructured one with no budget, no employees and a tiny office on the ground floor of South Building was exhilarating. I had one job: Help one of the most prestigious universities in the world begin an audacious effort to uncover and unleash the vast potential of its faculty, students, staff, alumni and friends to transform the world through the University's innovators and innovations.

It was clear that if we were to be successful, the strategic direction had to be developed by the faculty, staff and students with input from alumni, parents and friends of the University. The process of creating the Innovation Roadmap involved bringing together representatives from these groups, learning from others and then coalescing around key goals.

The Chancellor's Innovation Circle made up of external constituents chaired by Lowry Caudill, the Faculty Steering Committee chaired by John Akin and the Chancellor's Student Innovation Team led by Shruti Shah collaborated in a comprehensive effort to create the Innovation Roadmap. This established an agenda that is distinguishing Carolina as being among the best places for big thinking and bold action.

Many have joined the effort to move the work forward since the publication of the Innovation Roadmap in 2010. The support for this work comes from all levels of University leadership—from the board and senior leaders, deans, administrators and our other campus colleagues who have a passion for innovation and entrepreneurship in all its forms, from the donors who make this possible, and from the volunteers who give so much of their time and talent. Their commitment is transforming the concept of what is possible, and peers and neighbors around the world are taking notice.

Under the name Innovate Carolina we unified the University's innovation and entrepreneurship ecosystem. The Office of the Vice Chancellor for Innovation, Entrepreneurship and Economic Development provides strategic leadership, oversees technology transfer, startup services, communication support, data collection, measurement and reporting. It advocates for strengthening the building blocks of innovation, helps fundraise for members of the Innovate Carolina Network and otherwise catalyzes the ecosystem.

Judith Cone,
Vice Chancellor for Innovation, Entrepreneurship & Economic Development

Recommendations and Goals at a Glance

■ Recommendation 1

Prepare faculty, graduate and undergraduate students, staff, and the broader Carolina community with the knowledge, skills, and connections necessary to translate new ideas into innovations.

■ *Goal 1.1: Ensure that faculty, students, staff, and the broader Carolina community understand the University's commitment to innovation and the resources available to help them reach their related goals.*

■ *Goal 1.2 Learn the skills of innovation and entrepreneurship.*

■ Recommendation 2

Collaborate with diverse groups internally and externally to explore issues, options, and creative approaches that may lead to innovations.

■ *Goal 2.1: Enhance robust interdisciplinary collaboration among physical and social scientists, humanistic scholars, and those in hybrid disciplines such as bioengineering and applied sciences, to address the great challenges of our times.*

■ *Goal 2.2: Collaborate and coordinate around key themes of local, national, and global significance, to mobilize the University toward new understanding of issues and solutions.*

■ *Goal 2.3: Improve industry collaborations and increase industry funding.*

■ *Goal 2.4: Extend collaborations with state and regional partners to help North Carolina further develop into a leading competitive, global, entrepreneurial, knowledge, and innovation economy.*

■ *Goal 2.5: Strengthen collaborations with Carolina's strategic international partners.*

■ Recommendation 3

Translate important new ideas more expediently and at an increased volume into innovations that improve society.

■ *Goal 3.1: Support faculty, students, and staff as they develop understanding of issues and contribute solutions to complex social and environmental problems through social entrepreneurship.*

■ *Goal 3.2: Effectively organize and manage the University's commercialization services to maximize the quality and volume of potentially important innovations for society. Return revenue from these innovations to the University to support this work when possible.*

■ *Goal 3.3: Measure the impact of innovations and innovators launched at Carolina.*

■ Recommendation 4

Align people, incentives, resources, and processes to strengthen an intentional culture of innovation at Carolina.

■ *Goal 4.1: Encourage leaders from across the University to support and promote innovation in their schools, departments, institutes, and offices.*

■ *Goal 4.2 Recruit, retain, and reward faculty, students, and staff who show promise, aptitude, and/or achievement in innovation.*

■ *Goal 4.3 Align the University's internal methods and processes to foster innovation, especially in working across schools.*

■ *Goal 4.4: Provide the necessary funds to support nascent and promising innovations on campus.*

■ Recommendation 5

Catalyze innovation at Carolina by facilitating the work of faculty, staff, and students as they put important ideas to use for the public good.

■ *Goal 5.1: Leverage the talents of leaders across campus to prepare, collaborate, translate, and align resources and processes to strengthen an intentional culture of innovation at Carolina.*

■ *Goal 5.2: Create the Chancellor's Catalyze Group to facilitate the implementation of this Roadmap.*

ATTACHMENT D

SITE APPROVAL – FIELD HOCKEY STADIUM

This project will redevelop the existing Ehringhaus Field as a new facility and field for Women's Field Hockey and shared use by Campus Recreation.

The project budget is \$14,186,500 and will be funded by the Educational Foundation.

The Chancellor's Buildings and Grounds Committee approved the site at its January 5, 2017 meeting.

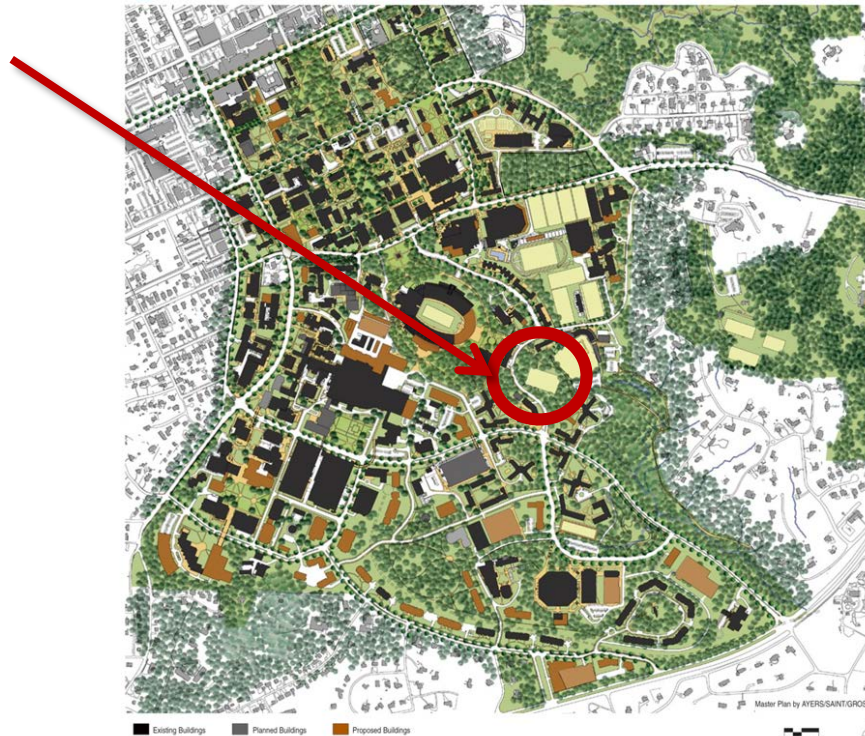
RECOMMENDED ACTION

A motion to approve the site.



Women's Field Hockey Team Facilities

PROJECT LOCATION



2006 CAMPUS MASTER PLAN



UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Site Approval



Women's Field Hockey Team Facilities

PROPOSED SITE



CAMPUS MAP



ATTACHMENT E

APPROVAL FOR THE DEMOLITION OF FRANCES E. HENRY STADIUM

The demolition of the existing Frances E. Henry Stadium is necessary to construct new outdoor fields included in the development of the new Fetzer Soccer/Lacrosse Facility and Indoor Practice facilities.

The demolition project budget is \$230K and will be funded by The Educational Foundation.

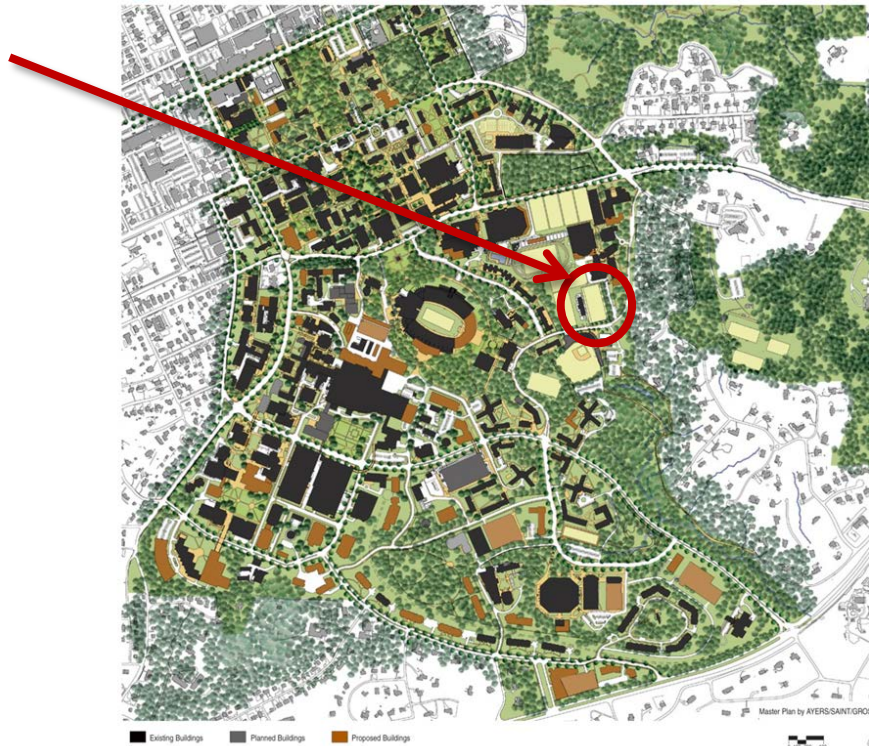
RECOMMENDED ACTION

A motion to approve the demolition of existing the Frances E. Henry Stadium as described above.



Demolition of Henry Stadium

PROJECT LOCATION



2006 CAMPUS MASTER PLAN



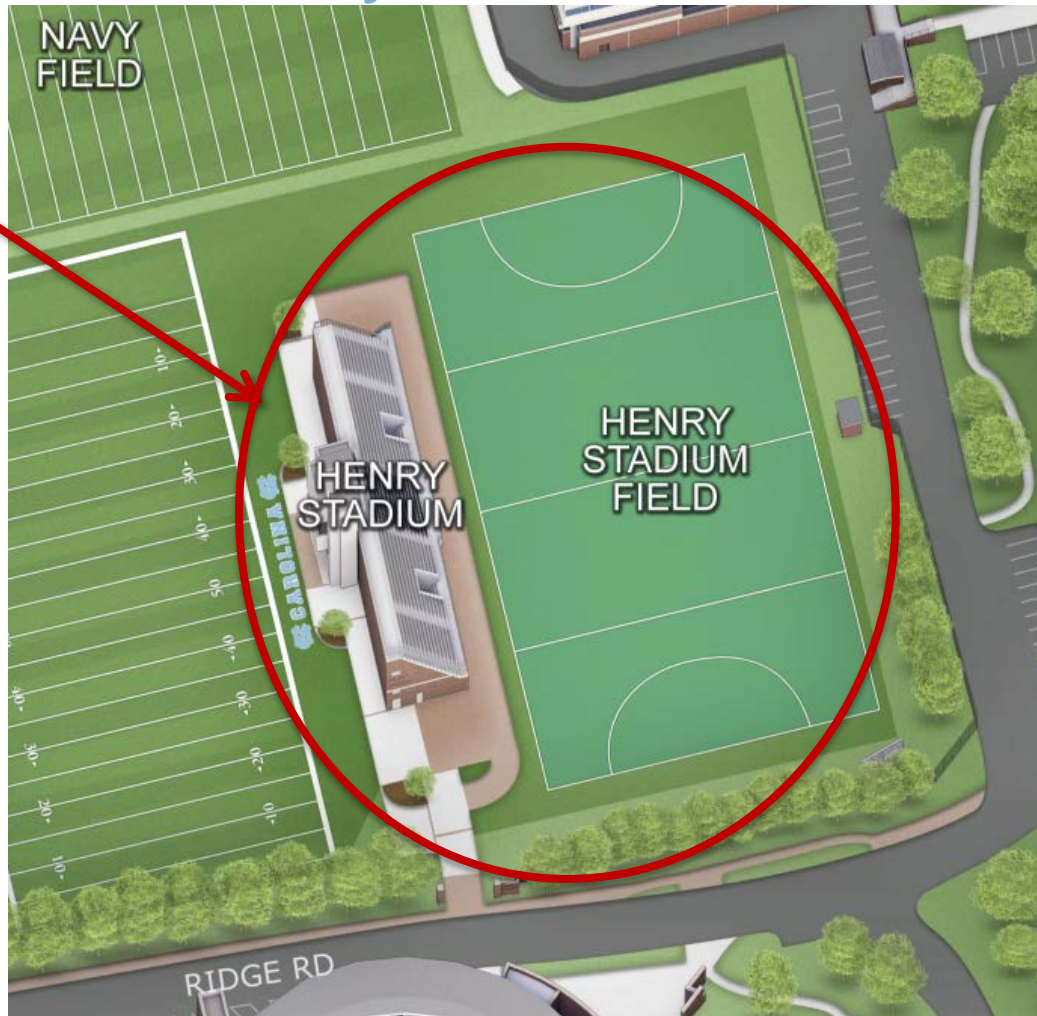
UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Demolition Approval



Demolition of Henry Stadium

EXISTING LOCATION



UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Demolition Approval

ATTACHMENT F

CONSTRUCTION MANAGER AT RISK SELECTION – UNC KENAN LABS HVAC UPGRADES, 7TH & 8TH FLOOR RENOVATION, INFRASTRUCTURE UPGRADES AND FIRE SAFETY IMPROVEMENTS

This project will renovate approximately 23,000 square feet of laboratory and office space on the 7th and 8th floors. Additional infrastructure upgrades include new restroom facilities on floors 4-8, installation of three new rooftop air handling units to serve floors 5-9 and installation of a new fire sprinkler system for the basement and floors 3-9 to meet current fire protection requirements.

The project budget is \$15,850,000.

This project was advertised on November 21, 2016. Six (6) proposals were received. Four (4) firms were interviewed on January 17, 2017. Members of the Board of Trustees did not participate in the interviews.

The committee recommended the selection of the three firms in the following priority order:

- | | |
|--------------------------|-------------|
| 1. Bordeaux Construction | Raleigh, NC |
| 2. LeChase Construction | Durham, NC |
| 3. Barnhill Construction | Raleigh, NC |

The firms were selected for their past performance on similar projects, strength of their consultant team and experience with campus projects

RECOMMENDED ACTION

A motion to approve the three firms in the following priority order:

- | | |
|--------------------------|-------------|
| 1. Bordeaux Construction | Raleigh, NC |
| 2. LeChase Construction | Durham, NC |
| 3. Barnhill Construction | Raleigh, NC |



December 22, 2016

Thomas Loter, AIA, LEED™ AP
Facilities Planning and Design
The University of North Carolina at Chapel Hill
CB 1090, Giles F. Horney Building
103 Airport Drive, Suite 202A
Chapel Hill, NC 27599-1090

**RE: University of North Carolina at Chapel Hill Kenan Labs Renovation
Qualifications Questionnaire for Construction Manager at Risk**

Dear Mr. Loter,

Thank you for the opportunity to present our proposal to provide Construction Management at Risk services for the University of North Carolina at Chapel Hill Kenan Labs Renovation project. Our Executive Summary on the following pages outlines the unique qualities that make Bordeaux Construction perfectly suited for this project.

Enclosed please find four (4) bound copies of the Statement of Qualifications, one (1) Financial Statement in a separate sealed envelope marked Confidential and one (1) electronic copy of a flash-drive.

Once again, thank you for the opportunity to present our qualifications and intentions. The principle office that will be supporting this project is located at 135 E. Martin St #101, Raleigh, NC 27601.

Should you have any questions or require additional information, please contact me at (919) 418-4888 or by email at blair@bordeauxconstruction.com.

Very truly yours,
Bordeaux Construction Company, Inc.



J. Blair Bordeaux, PE
President

JBB:ras



PROJECT EXPERIENCE



Three Generations of Stability

B O R D E A U X
Construction Company, Inc.

University of North Carolina Chapel Hill Kenan Labs 4th and 5th Floor Laboratory Renovations Chapel Hill, North Carolina



The UNC Kenan Laboratory Building was originally constructed in the 1960's, and has been utilized over the past 50 years for scientific graduate instruction and research. This project was a renovation of four separate Laboratories on two separate floors. The building was fully occupied by professors and graduate programs during the renovation, and was separated into two phases to reduce the impact to the academic calendar. The existing Laboratories were heavily contaminated with asbestos, mercury, and numerous hazardous chemicals that had been spread during research. The construction team removed and contained the Laboratory equipment and fume hoods followed by complete decontamination of the Laboratory

space. The renovated Laboratories feature new scientific casework, equipment, fume hoods, and open, bright work areas with epoxy-paint floors, exposed stainless steel duct work, and painted concrete walls and ceilings.

Owner:

Gregg Graves
University of North Carolina
215 Giles Horney Bldg.
Chapel Hill, NC 27599
Phone: 919-843-5659

Architect:

Bill Boghosian
Wilson Architects
1908 Castalia Dr
Cary, NC 27513
Phone: 617-512-3747

Contract Type:

Single Prime Contract

Original Contract Amount:

\$1,159,063

Final Contract Amount:

\$1,436,372

Schedule:

Construction Began:
March, 2012

Contract Completion:
April, 2013

Actual Substantial Completion:
April, 2013

MBE Participation: 9%



PROFILE OF PROPOSER



Three Generations of Stability

B O R D E A U X
Construction Company, Inc.

University of North Carolina Chapel Hill Thurston Bowles Renovations

Chapel Hill, North Carolina



Located within the center of the UNC Chapel Hill Medical Campus, the North Carolina Eye Bank Multidisciplinary Surgical Skills Laboratory occupies 3,500 square feet. Working closely with the University's Facility Planning Department, Bordeaux completed extensive renovations to transform the area into an instructional surgical skills Laboratory complete with a surgery simulator system and histology Laboratory. Future surgeons have access to robotic stations and anatomic computer based simulators through nineteen (19) work stations.



The Laboratory includes three full body surgical stations and 16 cadaver head or skull surgical stations. These stations allow didactic, simulation and cadaver based surgical education in eye, ear and neurosurgery.



Owner:

Lindsey Rose
University of North Carolina
215 Giles Horney Bldg.
Chapel Hill, NC 27599
Phone: 919.843.3238
lhrose@fac.unc.edu

Architect:

Kim Wagner, PA
Wagner Architects, PLLC
92 Elam Ct.
New Hill, NC 27562
Phone: 919.612.5050
kwagner@wagnerarch.com

Contract Type:

Single Prime Contract

Original Contract Amount:

\$580,750

Final Contract Amount:

\$621,053

Schedule:

Construction Began:
May 22, 2012

Contract Completion:
April 1, 2013

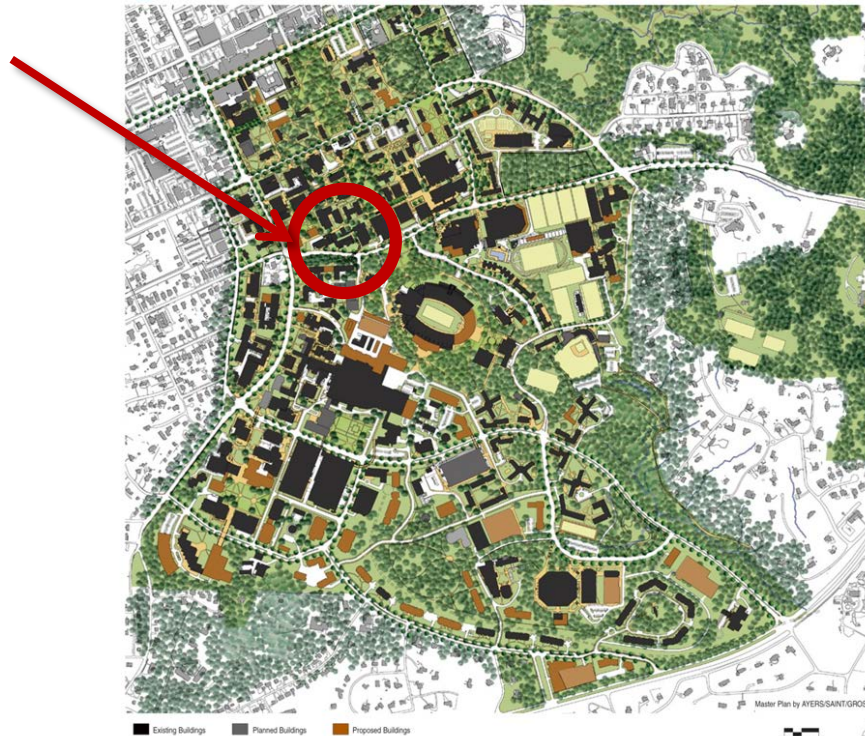
Actual Substantial Completion:
April 1, 2013

MBE Participation: 2%



Renovations to Kenan Labs

PROJECT LOCATION



N

2006 CAMPUS MASTER PLAN



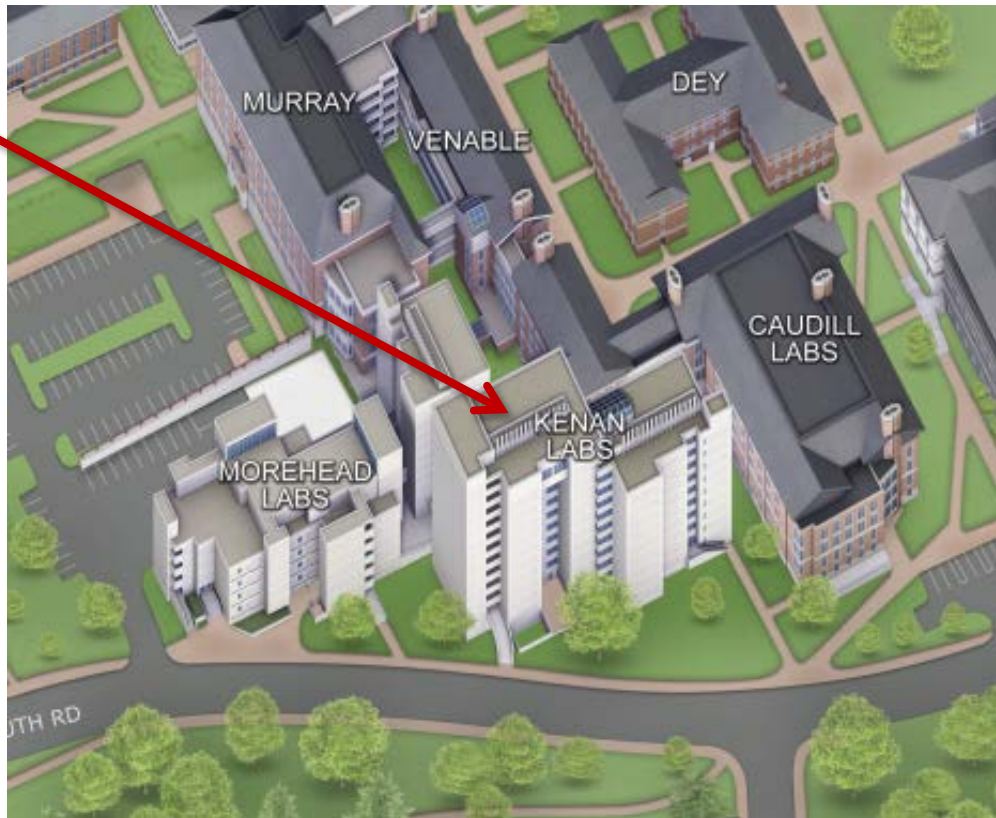
UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Construction Manager at Risk Approval



Renovations to Kenan Labs

PROJECT LOCATION



N

CAMPUS MAP



UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Construction Manager at Risk Approval

CONSTRUCTION MANAGER AT RISK SELECTION – UNC MEDICAL EDUCATION BUILDING

This project will construct a new 135,000 square foot medical education building to support increased enrollment for the School of Medicine. The building will house flexible learning classrooms, clinical skills and simulation rooms, microbiology labs, an anatomy lab, and office space.

The project budget is \$90,000,000 with funding from the Connect NC Bond (\$68,000,000) and the balance provided by School of Medicine gifts.

This project was advertised on November 1, 2016. Nine (9) proposals were received. Four (4) firms were interviewed on January 18, 2017. Two members of the Board of Trustees participated in the interviews.

The committee recommended the selection of the three firms in the following priority order:

- | | |
|--------------------------------|-------------|
| 1. Brasfield & Gorrie / Metcon | Raleigh, NC |
| 2. Skanska /Holt Brothers | Raleigh, NC |
| 3. Dunn /Leeper /LeChase | Raleigh, NC |

The firms were selected for their past performance on similar projects, strength of their team and experience with campus projects.

RECOMMENDED ACTION

A motion to approve the three firms in the following priority order:

- | | |
|---------------------------------|-------------|
| 1. Brassfield & Gorrie / Metcon | Raleigh, NC |
| 2. Skanska /Holt Brothers | Raleigh, NC |
| 3. Dunn /Leeper /LeChase | Raleigh, NC |



A JOINT VENTURE

November 30, 2016

Amy Dean, PE, LEED AP
The University of North Carolina at Chapel Hill
103 Airport Drive, Suite 202A
Chapel Hill, North Carolina 27599-1090

RE: UNC—Medical Education Building

Dear Amy:

Thank you for the opportunity to submit our qualifications and proposal for the Medical Education Building. Brasfield & Gorrie-Metcon is eager to work with UNC Chapel Hill to create a state-of-the-art learning facility. Committed to excellence and focused on client service, Brasfield & Gorrie-Metcon is well suited for this project for the following reasons:

- **Relevant Experience:** Our team has worked on nearly 50 college and university campuses, including the UNC system, Emory University, and Medical University of South Carolina. Most recently, we completed the \$69 million Emory University Health Science Research Building. In addition, our joint venture team has completed four local projects together in the last five years, and more than 130 medical/laboratory projects. We are skilled at minimizing disruption to normal campus operations as evidenced by our work at WakeMed North where there were zero impacts while we added to the front, back, and top of the existing building. Ahead of the learning curve, we will guide the project team through our collaborative preconstruction and construction process.
- **Cohesive Team:** Our proposed team members have worked on projects similar to the upcoming Medical Education Building in similar active-campus environments, maintaining leadership continuity throughout the project. We will guide your team to help build consensus, understanding your vision and your needs, and listen to your concerns. From preconstruction to closeout, this dedicated team will remain your team as we maneuver logistical challenges, exceed HUB goals, and give you information to help you make the most well-informed decisions for the future of UNC Chapel Hill.
- **Detailed Preconstruction Services:** We will work closely with UNC-Chapel Hill and Flad Architects throughout the preconstruction process, providing information and options that will help them to make informed decisions. Brasfield & Gorrie has built a reputation for being the most competitive, economical, and accurate in the industry; our estimates are typically within 1-2 percent from initial estimate to final budget. Using this realistic estimate, we can work through the design and pricing process to provide different options for constructing the high-quality facility you need, within your budget.

We hope the enclosed joint venture proposal proves helpful to you in the selection process. Please contact me with any questions. Thank you for your consideration.

Sincerely,

Eric Perkinson
VP/Division Manager, Brasfield & Gorrie
eperkinson@brasfieldgorrie.com

Aaron Thomas
President, Metcon
athomas@metconus.com

SECTION 2: PROJECT EXPERIENCE

A. List three projects of similar size, scope and complexity performed by the proposer.

B. For each of the three projects, include specific details on the extent to which preconstruction and construction phase services were provided.

C. For the three projects listed above where CM services were provided, list the Guaranteed Maximum Price (if given), or if not given, the estimated cost provided by you, and the total cost of the project at completion.

D. For each of the three projects above where CM services were provided, compare the number of days in the original schedule with the number of days taken for actual completion.

E. For each of the three projects listed above, attach project owner references including the name, address, telephone and fax numbers, and email address of the project owner representative.



MEDICAL UNIVERSITY OF SOUTH CAROLINA DRUG DISCOVERY & BIOENGINEERING BUILDING

CHARLESTON, SOUTH CAROLINA

\$79 million | LEED Gold certified

- **Completed three months early**
- **Flexible research laboratories**
- **Teaching laboratory**
- **Wet and dry laboratories**
- **Tight downtown site**



Steven
Barber



WAKEMED NORTH WOMEN'S HOSPITAL EXPANSION

RALEIGH, NORTH CAROLINA

\$67.2 million | Pending LEED Gold Certification

- **Complex site logistics**
- **Worked with entire team to develop different options in four months**
- **Active campus environment**



Vic
O'Janpa



Missy
Warren



Allison
Crabtree



Barbee
Glover



Kevin
Williams



EMORY UNIVERSITY HEALTH SCIENCES RESEARCH BUILDING (HSRB)

ATLANTA, GEORGIA

\$69 million | LEED Silver certified

- **CMAR delivery**
- **140-ton circulation bridge installed in less than 48 hours**
- **Wet laboratory building**



Ben
Norton



MEDICAL UNIVERSITY OF SOUTH CAROLINA DRUG DISCOVERY AND BIOENGINEERING BUILDING

CHARLESTON, SOUTH CAROLINA

The new Drug Discovery and Bioengineering Building is a complex of research and teaching facilities for multiple departments. Linked at two levels, the six-story Drug Discovery building and the four-story Bioengineering building function as a unified building for research in pharmacology, pharmaceutical sciences, tissue regeneration, bioengineering and cancer genomics research, and computational biomolecular modeling and simulation. Specialized spaces include an animal imaging center (CT, PET, MRI, optical imaging), a Nuclear Magnetic Resonant (NMR) suite for three 800-MHz magnets, wet and dry labs, a 300-seat auditorium and a pharmacy teaching laboratory. Also included are a 150-seat lecture hall, a 75-seat classroom and other conference spaces. The new buildings house 36 principal investigators in flexible research labs and lab support areas, a microfabrication shop, and office suites for the South Carolina Bioengineering Alliance and the MUSC College of Graduate Studies.

Brasfield & Gorrie provided general contracting services including: scheduling; constructability reviews; project accounting; LEED management; coordination of subcontractors, tradespeople, vendors, and suppliers; doubled capacity of existing CEP while it remained operational; safety; quality control; coordination of MEP systems and integration (very complicated); field engineering; and commissioning (full time, on-site for six months).

Brasfield & Gorrie self-performed 10 percent of the work including rough carpentry and construction clean-up, while also achieving 40 percent local participation. Brasfield & Gorrie turned the buildings over to MUSC in July 2011 once it reached substantial completion—**three months earlier than our contractual requirement** of October 2011.

PROJECT DATA

240,000 sq ft
GC Delivery (design-bid-build)
Initial Contract \$73 million
Final Contract \$79 million*
Started July 2009
Completed July 2011
LEED Gold Certified
*\$6 million in owner change orders

ARCHITECT

Stevens & Wilkinson of South Carolina, Inc.
Robby Aull
Senior Vice President
1501 Main Street, Columbia, SC 29201
T 803.765.0320
F 803.254.6209
raull@stevens-wilkinson.com

OWNER

Medical University of South Carolina
Phil Mauney
Director of Engineering & Facilities
169 Ashley Ave, Charleston, SC 29425
T 843.792.2490
F 843.792.1097
mauney@musc.edu

OBSTACLES

DISRUPTION TO CAMPUS OPERATIONS

The University was very concerned that the building sat on 20 miles of H-Pile foundations. The facility was in the center of campus and was directly across from the psychiatric facility. They were worried about the disruption this activity would cause on campus.



We met with the University facilities personnel and reviewed the process of when the activity would start and when we would be completed every day. We also utilized multiple rigs to do the work, decreasing the duration of the activity. The neighbors were able to explain to the users exactly what was happening and when we expected to have the activity finished. Detailed communication between the contractor and owner helped create a seamless process with minimal disruption.

MEP SYSTEMS

The MEP coordination was so intense on this project that the Design Mechanical Engineer came to the site every Wednesday for a coordination meeting with Brasfield & Gorrie and the mechanical contractor. The time spent with the designer and owner helped avoid numerous potential problems in the construction of the facility.

Mock-ups were built of every aspect of the project that could be built. Large detailed sections of the veneer were built on the ground and inspected for quality and water tightness. A mock-up of the various types of the labs was also built. This helped identify potential issues before they occurred, and involved various stakeholders to ensure we were able to see every aspect of each layout to properly plan for future use.

WEATHER

The facility was constructed in a coastal environment so the structure and veneer had to be strengthened to withstand 130-mile hurricane winds, and the first 60 ft in height of the building had to be able to withstand a large missile test. The remainder of the building had to be able to withstand a small missile test. In doing so, this helped to anticipate any storm event causing large debris flying in the air; the building needed to withstand the impact from this material. The design and construction to meet these requirements is very similar to the Anti-Terrorism Force Protection (ATFP) requirements on all federal projects.

SECURITY

Because of the expensive laboratory equipment, the nature of the testing and research conducted at this facility, and the large quantities of controlled substances, security and access to certain parts of the facility were restricted. An elaborate security camera system was installed and was tied into a central control center that was monitored 24 hours a day. Deliveries and shipments had to be brought in through controlled areas, where vehicles could be inspected and a detailed inventory of products delivered and shipped out could be checked and cataloged to be sure the controlled substances could be accounted for at all times.

The sixth floor of the Drug Discovery Building houses a Level 6 Vivarium. This area is where animal testing is done for different types of drugs. Security to this area was especially sensitive due to the nature of the testing, the confidentiality of the test results, and the public's perception of animal testing in general.

INNOVATION CORRIDOR

A public zone of spaces at the ground level is linked together, connecting adjacent research spaces to foster interaction. This "innovation corridor" reaches across physical and philosophical boundaries to bring together the campus and community in common purpose. The intent is to extend collaborative inquiry beyond individual research labs and create new ways of meeting and gathering between campus and community, research domains, and academic departments.

"MUSC has created a platform for research that will continue to grow our local and regional economy. The work that is housed within the walls of these new research buildings, however, will shape advances in science, medicine and society for many years to come."

*-Ray Greenberg, M.D., Ph.D.,
president of MUSC*



1501 Main St. Columbia, SC 29201
Post Office Drawer 7 Columbia, SC 29202
T 803.765.0320 F 803.254.6209
www.stevens-wilkinson.com

06 April 2012

RE: Reference Letter for Brasfield and Gorrie

To whom it may concern,

Please accept this letter as a strong positive reference for Brasfield and Gorrie for their work on the recently completed research labs at MUSC in Charleston, SC. Stevens & Wilkinson is the Architect and Engineer of record for the project. As such, my team and I worked directly with the B&G team for the last three years during construction and post occupancy.

Soon after the bids were received, it became evident that B&G had entered into the construction contract, not only as the low bidder, but as part of the greater project team. Their willingness to work collaboratively with the design team and the owner on issues related to the construction of these very complex buildings made the entire process a positive experience. This positive attitude was true of all B&G personnel on the project, including both office and field staff.

Based upon this experience with B&G, I highly recommend their team and company for the ABC excellence in construction award. Please feel free to contact me for further information or more detailed account of our working relationship.

Best regards,

Robby

Robby Aull, AIA, ACHA

Senior Vice President, Principal

Stevens & Wilkinson SC, Inc.



WAKEMED NORTH WOMEN'S HOSPITAL EXPANSION

RALEIGH, NORTH CAROLINA

WakeMed North Women's Hospital Expansion is a five-story, 174,401 sq ft, 61-bed expansion and renovation to convert an existing ambulatory surgery center into a new hospital. A single-story, 8,550 sq ft central energy plant was also included in the project. **"No impacts" was the directive from WakeMed to Brasfield & Gorrie when the project began. We met that challenge and many others during construction. We added on to the front, back, and top of the existing building while maintaining campus operations.**

The environmentally-friendly facility is staffed 24/7 by specially-trained obstetricians and gynecologists who will support a patient's physician. Spacious labor and delivery rooms and C-section rooms are aligned with a family-centered post-partum unit that features a family lounge area complete with desks, Wi-Fi access, and a coaches' lounge. A six-bed Level III Special Care Nursery, lactation resources, triage, and a 24-hour on-demand room service and dining facility await expectant mothers and families. Women's medical and surgical services from gynecology to urogynecology are offered to women of all ages. As a result of the expansion, the North Women's Hospital has become Wake County's fifth full-service hospital and is designed as a women's facility featuring a tranquil environment, as well as amenities tailored to the needs of women.

Brasfield & Gorrie provided general contracting services including: design review; cost model estimates; subcontractor solicitation/selection; coordination and management; minimal value analysis; constructability reviews; project accounting; BIM and clash detection; LEED management; site logistics coordination; operational impact planning and scheduling; coordination of subcontractors, tradespeople, vendors, and suppliers; safety and quality control; shop drawing review; coordination of systems integration; and commissioning.

PROJECT DATA

174,401 sq ft
CM Delivery
Initial Contract \$67,239,237
Final Contract \$67,239,237
Started February 2013
Completed May 2015 (813 days)
Pending LEED Gold Certification

ARCHITECT

EwingCole
Richard Beale (Formerly with BBH Design)
Managing Principal
8208 Brownleigh Drive, Suite 200
Raleigh, NC 27617
T 919.460.6700
F 919.460.6733
rbeale@bbh-design.com

OWNER

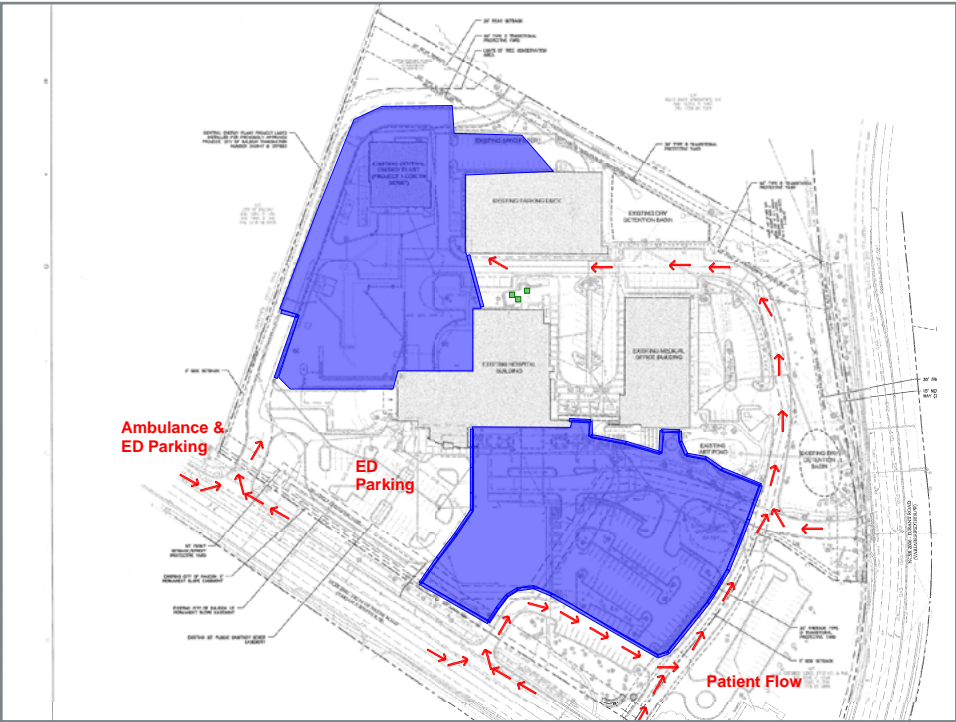
WakeMed Health & Hospitals
Tom Cavender
Vice President, Facilities & Construction
3000 New Bern Avenue
Raleigh, NC 27610
T 919.350.8098
F 919.350.5491
tcavender@wakemed.org

- MULTIPLE OPTIONS
- ACTIVE CAMPUS
- BRASFIELD & GORRIE LED PRECONSTRUCTION, CONSTRUCTABILITY, SCHEDULE, VE

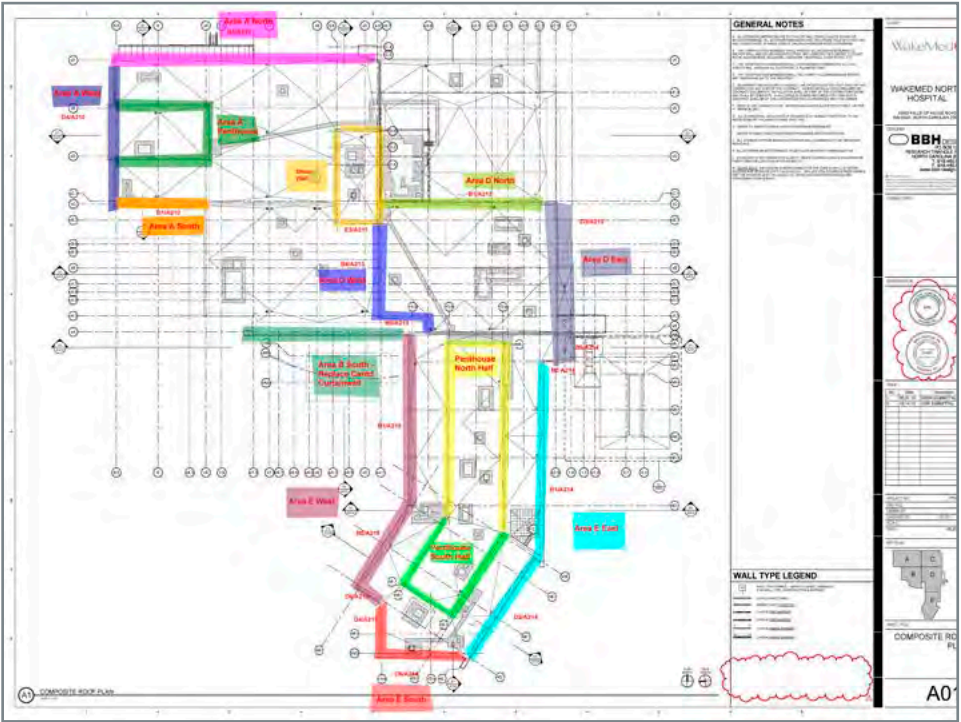
WakeMed North: Site Logistics, Phasing, and Construction Progress



January 13, 2013: Campus prior to the start of construction



September 2013: Phasing and logistics are worked on with owner



Nov. 2013: More detailed phasing developed showing areas of impact



December 11, 2013: Aerial taken 11 months later



2014: Key areas of impact



May 2015: Completed project just in time for Mother's Day

PRECONSTRUCTION & PLANNING

Brasfield & Gorrie was awarded the job based on general conditions, fee, and team. The 2011 schematic budget for the original design came in significantly over WakeMed's CON budget. Our team was then tasked by WakeMed to work with BBH Design to develop various options that would fall within the CON construction budget. Designs needed to:

- Have an efficient use of space to minimize square footage
- Provide the maximum number of new beds
- Flow operationally

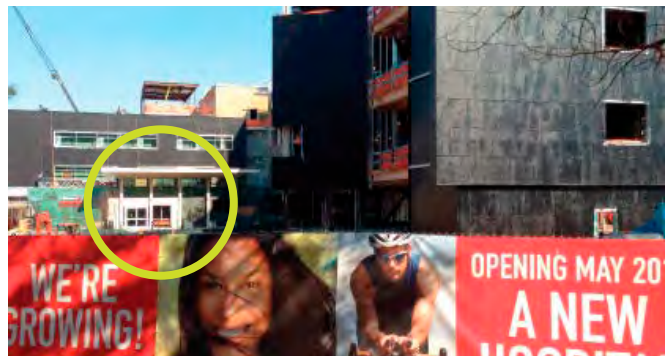
Many of the ideas that had to be evaluated included:

- Moving the Emergency Room to the back side or not
- Attaching the central energy plant to the building or build a standalone building
- Parking deck vs. parking lot, or expanding the existing parking deck
- Vertical expansion or not
- Add on to front or back, etc.
- A new greenfield hospital on a different site in lieu of adding on to and renovating the existing medical office building

Our team priced five different options over the course of four months. A final scheme was selected and the formal design process began.

Brasfield & Gorrie worked with the design team to ensure that the assumptions that were made during the schematic pricing exercises were what the design team used in their design (i.e., skin system types and quantities, finishes, etc.). We did a pricing check at the DD level, and then a final price with the CD's. **We also looked at constructability and phasing to ensure that the existing spaces in the building could remain operational at all times.** The project ended up being drawn in two primary phases with the CEP being first. We encouraged them to include the reworked parking in front of the ED as part of that phase so that they could utilize the other existing parking in front of the building (that would eventually be lost once the new tower started), while we reworked the ED parking.

The second phase included the addition and renovation of the existing medical office building. **At one point we were adding on to the back, front, and top of the building. We removed, reworked, and replaced the entire skin system over the existing ED, but kept them operational at all times.**



The 24/7 ED remained fully operational throughout the project (black structure is new).

By the time the construction documents were complete, very little value analysis was needed. Brasfield & Gorrie and the design team had worked hand-in-hand to provide WakeMed with an efficient, streamlined design to maintain their project budget within .2 percent of the conceptual budget provided off a series of sketches months earlier.

OPERATIONAL IMPACT PLANNING

Even this early in the project when no work was taking place inside or next to the existing building, scheduling each step was critical. Weekly operational impact meetings were held to review the upcoming work that could impact the day to day operations of the building. These critical meetings were held in Brasfield & Gorrie's jobsite office where drawings could be put up on the screen for discussion.

If WakeMed presented concerns over the work that was to take place, alternate methods or timing were discussed. Only when we had full team buy in, did the activity proceed. For the more intense activities, planning began weeks, if not months, in advance so that any temporary equipment could be procured in time. Based on these meetings and the updated log, WakeMed would notify staff accordingly of the upcoming work. Communication was key.

These meetings continued all the way up to opening day so that staff were continually informed when work would take place in or near their department.

WAKEMED NORTH PROGRAM OPTIONS

FOUR OPTIONS WERE PRICED FOR THE OWNER TO MAKE THE BEST DECISIONS

PROGRAM SUMMARY	BBH Option 1 (2/23/2012)	BBH Option C (3/12/2012)	Option E (Greenfield)	Option 1M (3/15/2012)	Option S (date tdb)
Total Licensed Beds	48	61	61	63	
Post-Procedural Beds (Not Licensed)	0	6	0	0	
OR's	4 (Existing)	4 (Existing)	2	4 (Existing)	
Procedure Rooms	4	0	0	0	
LDR's	6	6	6	6	
Future LDR's	2	2	0	2	
C-Section Rooms	2	1	1	2	
Future C-Section Rooms	0	1	1	0	
ED Exam Rooms, Resuscitation Room	24	existing	4	24	
CT	1	existing	1	1	
Rad Room	1	existing	1	1	
Ultrasound	4	3 (1 Ex, 2 New)	3	4	
Mammography	2	2	1	2	
Nuclear Medicine	1	0	0	1	
Sleep Rooms	4	5	2	4	
Pharmacy	Yes	Yes	Yes	Yes	
Pre-Admission Testing	Yes	No	Yes	Yes	
Lab	Yes	Yes (expand existing)	Yes	Yes	
Surgery Renovation	No	No	N/A	No	
ED Relocation	Yes	No	N/A	Yes	
Kitchen, Serving, Dining	Yes	Yes	Yes	Yes	
Below Grade Basement Expansion	No	Yes	N/A	No	
Administration	No	Yes	Yes	P.O.P or 3rd Floor	
Rooftop Helipad	Yes	Yes	No	Yes	
Shell Space Square Footage (Included)	0	13,000	0	5,000	
SQUARE FOOTAGE SUMMARY					
Project 1					
New Construction Square Footage	24,800	24,800	-	24,800	
Project 2 (New Bed Tower)					
New Construction Square Footage (No Penthouses / CEP)	77,089	115,532	175,600	100,189	
Subtotal New Construction:	101,889	140,332	175,600	124,989	
Renovated Square Footage	82,775	38,878	-	82,775	
TOTAL PROJECT SF*:	184,664	179,210	175,600	207,764	
	* Does Not Include 20,000 SF that is to remain	* Does Not Include 64,000 SF that is to remain		* Does Not Include 20,000 SF that is to remain	
PRICING SUMMARY					
Project 1 & 2					
Project 1 Building & Site Costs	\$10,759,752	\$8,893,152	\$0	\$10,759,752	
Project 2 Building & Site Costs	\$36,159,939	\$42,070,820	\$48,142,442	\$41,516,244	
TOTAL PROJECT 1 & 2:	\$46,919,691	\$50,963,972	\$48,142,442	\$52,275,996	
Cost per SF (w/o CEP)	\$254.08	\$284.38	\$274.16	\$251.61	
Cost per bed (w/o CEP)	\$977,494	\$835,475	\$789,220	\$829,778	
SF per Bed (New + Reno + Existing)	4,264	3,774	2,879	3,615	
Other Costs					
Central Energy Plant + Equipment	\$11,234,100	\$11,506,440	\$9,000,000	\$12,154,100	
Parking Deck (275 Spaces; Precast)	\$4,622,125	\$4,622,125	No	\$4,622,125	
Off Site Costs per ColeJenest & Stone	\$565,000	\$565,000	Unknown	\$565,000	
TOTAL OTHER COSTS:	\$16,421,225	\$16,693,565	\$9,000,000	\$17,341,225	
Cost per SF:	\$88.92	\$93.15	\$51.25	\$83.47	
GRAND TOTAL CONSTRUCTION COST:	\$63,340,916	\$67,657,537	\$57,142,442	\$69,617,221	



Thomas G. Cavender, PE
VP Facilities & Construction
3000 New Bern Avenue
Raleigh, NC 27610
(919) 350-8098 phone
(919) 350-5491 fax
tcavender@wakemed.org

August, 2015

Associated Builders and Contractors, Inc.

RE: Excellence in Construction Award Recommendation
Brasfield & Gorrie – WakeMed North Family Health and Women's Hospital

To Whom It May Concern:

For well over a decade, WakeMed Health and Hospitals has engaged Brasfield & Gorrie for the provision for construction management/general contracting services for a myriad of healthcare and non-healthcare projects supporting WakeMed's continued growth to provide quality healthcare services to the communities in which we serve. We have partnered with Brasfield & Gorrie in the development and execution of numerous "mission critical" and challenging projects for our organization – none, however, more challenging than the recently completed WakeMed North Family Health and Women's Hospital project. The focus of this project was to convert an existing facility that operationally included a 14 bed stand-alone 24/7 emergency department serving over 40,000 adult and pediatric patients annually, a 4 room ambulatory surgery center (ASC) and physician offices into a state-of-the-art, 61-bed inpatient hospital focused on women's and infant health. The approximate 18 month, \$85M+ project added 131,000 SF and renovated nearly 60,000 SF to the existing facility – with specific goals of not interrupting the delivery of care in the emergency department and ASC and maintaining a "go-live" date of Mother's Day 2015.

This challenging, systematic and multi-phase project required exceptional pre-construction planning, field administration and leadership to navigate the planning and execution of this project. From site/utility management to the removal and replacement of external curtain wall systems to installation of new and reworked mechanical, electrical and plumbing systems, the delivery of safe and quality care to the patient was never compromised, an astounding accomplishment given the scale, scope and complexity of the project.

The success of this project, other than great collaborative teamwork between consultants, contractors and the Owner, could not have occurred without Brasfield & Gorrie's commitment as a client champion. The Brasfield team's knowledge, project execution methodologies, pragmatic problem solving skills and collaborative style, regardless of time of day or day of week, was beyond reproach.

I truly believe that the successful completion of this highly complex, one-of-a-kind project could not have occurred without Brasfield & Gorrie doing what they do best – go the extra mile for the benefit of all that is involved in the project.

There is no other organization that deserves the Excellence in Construction Award than Brasfield & Gorrie for the WakeMed North Family Health and Women's Hospital project.

Sincerely,

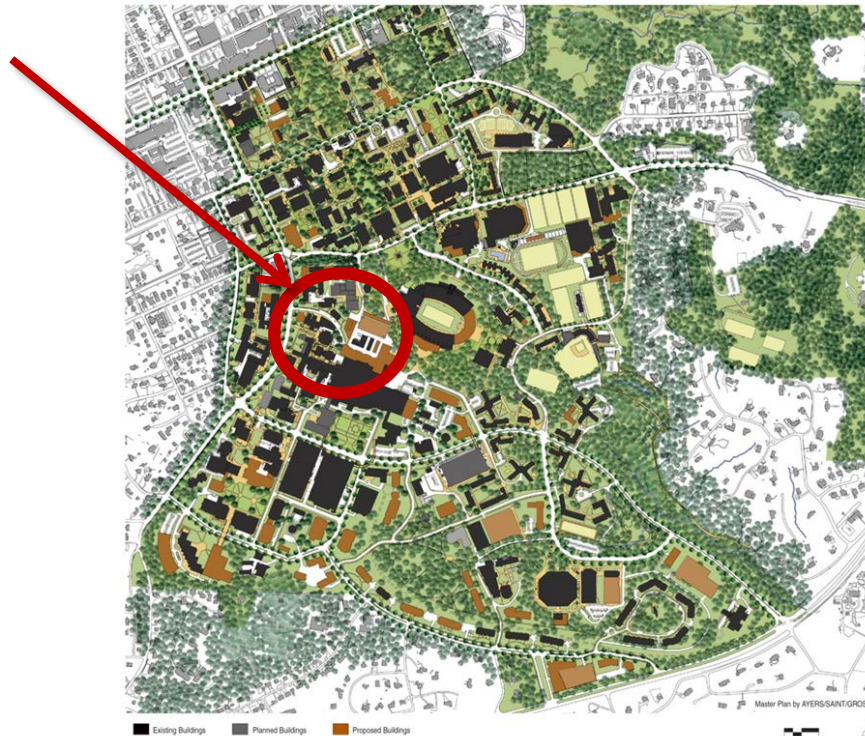
A handwritten signature in blue ink, appearing to read "Thomas G. Cavender", is written over a light blue circular stamp.

Thomas Cavender, PE
Vice President, Facilities & Construction
WakeMed Health & Hospitals



Medical Education Building

PROJECT LOCATION



2006 CAMPUS MASTER PLAN



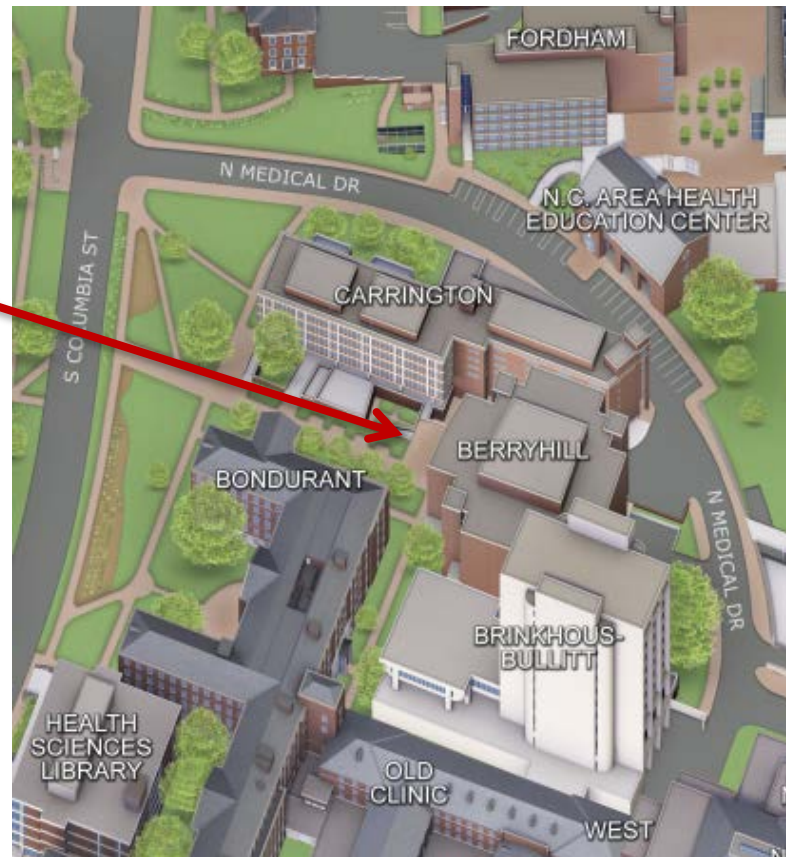
UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Construction Manager at Risk Approval



Medical Education Building

PROJECT SITE



CAMPUS MAP



N



UNC
DIVISION OF FINANCE
AND ADMINISTRATION

Construction Manager at Risk Approval

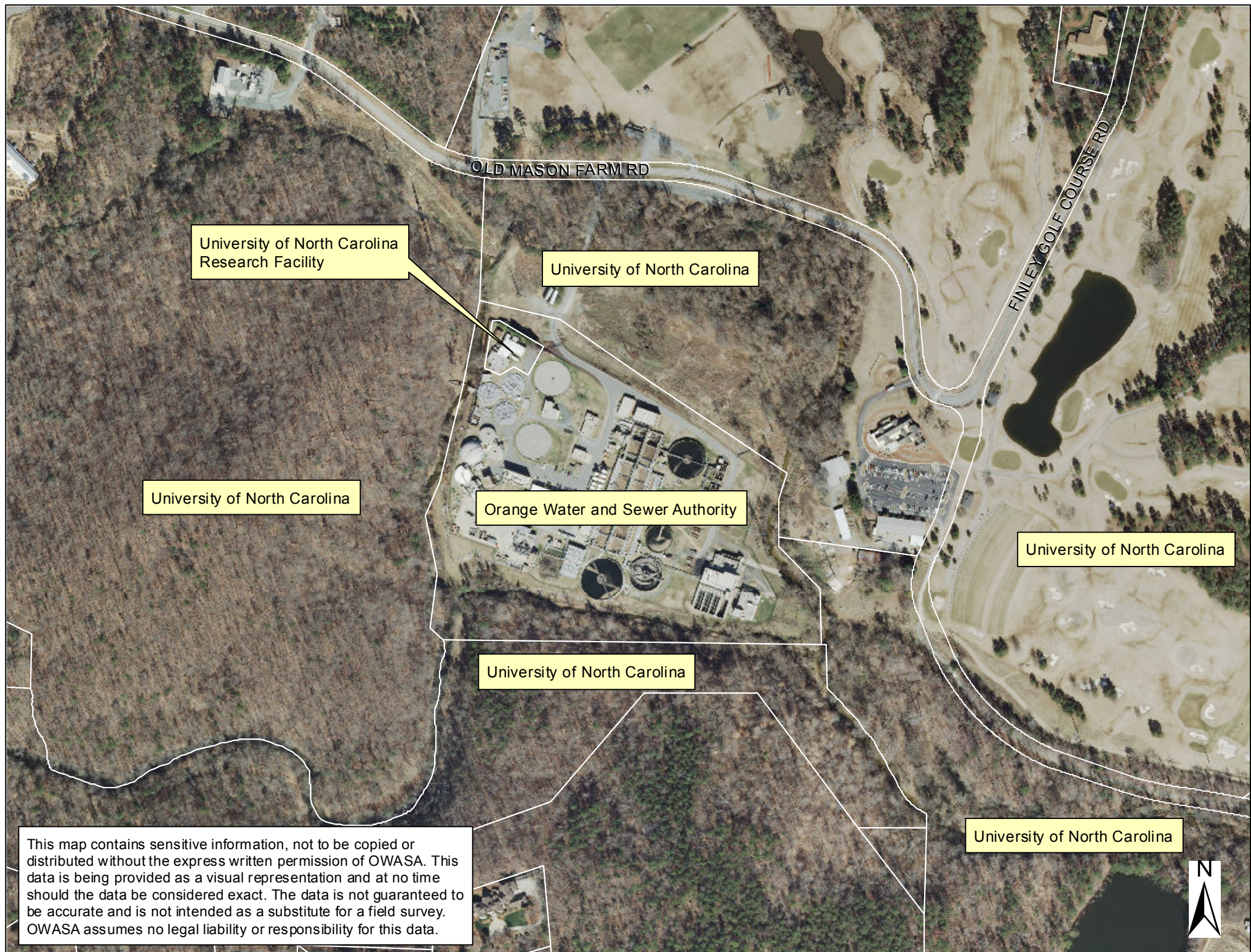
ATTACHMENT H

PROPERTY DISPOSITION BY DEED TO ORANGE WATER AND SEWER AUTHORITY

This request is for approval to transfer by deed an existing wastewater research building and the underlying land to the Orange Water and Sewer Authority (OWASA). The property is located within the existing OWASA treatment plant on Old Mason Farm Road and is landlocked by the OWASA owned plant property. Currently it is accessible through an existing access easement. The property consists of a .52 acre parcel with a 6,293 SF brick and corrugated metal building in very poor condition. The building was constructed in 1969 and used for UNC-Chapel Hill research purposes until approximately 2004 at which time it was abandoned for research and used for legacy equipment storage. The current estimated deferred maintenance on the facility is approximately \$300,000. Due to the location and access restrictions to the property, it is not marketable and thus has virtually no fair market value. Once transferred, OWASA plans to demolish the building and use the site for treatment plant expansion.

RECOMMENDED ACTION

A motion to recommend approval to transfer the above referenced property to OWASA by deed.



University of North Carolina
Research Facility

University of North Carolina

University of North Carolina

Orange Water and Sewer Authority

University of North Carolina

University of North Carolina

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REPORT TO THE FINANCE,
INFRASTRUCTURE, AND
AUDIT COMMITTEE
OF THE
BOARD OF TRUSTEES

Internal Audit Department

University of North Carolina
at Chapel Hill

January 25, 2017

UNC - CHAPEL HILL
INTERNAL AUDIT DEPARTMENT
SUMMARY OF AUDIT ACTIVITIES AND PROJECTS COMPLETED AND IN PROCESS
AUGUST 22 TO DECEMBER 23, 2016

STAFFING UPDATE

Dr. Nicole McCoy joined the Internal Audit staff as Advanced Auditor on January 9, 2017. Dr. McCoy has a PhD. in Accounting and a Master's Degree in Management Information Systems. She previously taught accounting and provided consulting services on information technology and financial services engagements. She is a Certified Public Accountant, a Certified Internal Auditor, and a Certified Information Systems Auditor.

AUDIT CONFERENCE

The Internal Audit Departments at NCCU, NC State, and UNC-CH planned and presented a successful annual conference for the University of North Carolina Auditors Association. The theme of the conference, which took place in Chapel Hill, was "It Starts with Us."

COMPLETED PROJECTS

Law – External Activities for Pay – review of allegations that a faculty member taught a course at another institution while on family medical leave from UNC-Chapel Hill. We found that the employee taught a course at another institution as an external professional activity for pay (EPAP) but was not on family medical leave at the time as alleged. The faculty member's leave status and her EPAP activities were both in keeping with University policy.

We recommended that the University review its faculty leave and EPAP policies since these policies do not speak to whether or not a faculty member should be allowed to engage in EPA while on a type of leave that is not charged to accrued leave balances.

Employee Travel – this report is based on work done as part of two projects. We identified the need for policies and procedures that define how to manage employee travel that combines business and personal days as well as travel that departs from or returns to a location other than a traveler's primary work station. These issues are relevant from both a cost standpoint and in relation to the potential taxability of travel reimbursements.

Management is working on several tax compliance initiatives and will include the issues mentioned above in that work.

Travel Accommodations – this report was a supplement to a review of travel expenses of a faculty member in the School of Law.

We found that the University's policy related to air travel by employees who needed workplace accommodations need to be revised. The existing policy gave deans or department heads the authority to approve travel accommodation requests and required employees to disclose to a dean or department head the reason an accommodation was needed.

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In our opinion, this practice could lead to inconsistent application of workplace accommodations and required unnecessary disclosure of private health information.

We recommended that the Equal Opportunity and Compliance Office assume responsibility for reviewing and approving requests for travel accommodations. Management agreed to make this change.

Technical Assistance to University Management – data retrieval and preliminary analysis related projects in three departments.

IN PROCESS

Radiology 2016 – management request - review of travel costs paid and other reimbursements requests made by a faculty member. We questioned costs related to several trips the faculty member took between September 2010 and September 2016. We also questioned a request the faculty member made for reimbursement of legal costs; the reimbursement was not made. There were two interim reports for this project. One, dated October 20, 2016, related to the faculty member's travel costs. The second, dated November 14, 2016, presented information about the request for reimbursement of legal costs.

Results of the Radiology audit contributed to our report relating to tax issues associated with employee travel.

The full report for this project will be issued the first week of January 2017.

Orthodontics – assistance to management with a review of processes and transactions related to acquisition of dental molds and implants for patient care and instructional purposes. We found that two cases of conflict of interest involving labs used to produce dental molds for Orthodontics and the need for better processes related to how dental labs are selected to provide services. The University no longer does business with the labs involved and one of the employees who had the conflict of interest is no longer with the University. Draft report is with management in process.

Clery Act Reporting – a review of processes used to manage notifications and reporting required by the “Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act”. This project has been delayed by time-sensitive projects requested by management.

Historically Under-utilized Business Program – a review of processes used to promote and encourage full and open competition, promote equal access to contracting opportunities among the various contractors and vendors that do business with the University, and ensure compliance with policy a reporting requirements related to this program. This project has been delayed by time-sensitive projects requested by management.

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Follow-up of Prior Internal Audit Findings – a review and evaluation of steps that management has taken to resolve issues reported from past audits. Standard **2500 – Monitoring Progress** of *the International Standards for the Professional Practice of Internal Auditing* requires that “the chief audit executive must establish and maintain a system to monitor the disposition of results communicated to management.”

Nutrition Research Institute – a review of allegations of incorrect purchasing practices and use of requisitions when needed. Project is in early stages; we have not determined the likely validity of the allegations.

School of Government – review of contracts and the relationship between the School and an outside entity that provides redevelopment project management services.

Carolina Center for Education Excellence – management request – an assessment of financial matters related to a community program run by the School of Education including revenue levels and matching of revenue and costs.

ON-GOING ADVISORY PROJECTS AND COMMITTEE WORK

- CERTIF – committee work done to assist with managing compliance with payment card industry standards.
- HIPAA Security Liaisons;
- University-wide Committee on the Protection of Personal Data; and
- Multiple short-term projects done to assist management with identifying and managing risks.

**UNC Internal Audit
Use of Audit Resources
Summary of Audit Hours Used - FY 2017 as of 12/23/16**

	<u>Budgeted</u>	<u>Pro-Rated Budget -5-</u>	<u>Hours Charged</u>	<u>Variance (Over)/Under</u>
Total Hours Available -1-	14,560	n/a	n/a	n/a
<u>Less:</u> Vacancies -2-	(3,640)	n/a	n/a	n/a
<u>Less:</u> Training & Professional Development	(420)	(160)	267	(107)
<u>Less:</u> Leave	(2,341)	(892)	649	243
<u>Less:</u> Other Administrative Time -3-	(1,240)	(478)	523	(46)
Total for Training, Leave, & Administrative	4,001	1,530	1,438	
Hours Available for Projects	6,919			
Routine Audits	1,625	-5-	11	
Annual Projects	1,200	-5-	825	
Audit Related -4-	1,580	-5-	726	
Unplanned Projects and Advisory Work	2,800	-5-	1,224	
Total Scheduled/Charged	7,205	-5-	2,785	
Under/<Over> Scheduled	(286)			

-1- = seven staff members at 2080 hours/year

-2- = one vacancy projected to be filled by 09/30/16; another to be filled by end of calendar year; one position projected to be left vacant due to lack of funding

-3- = meetings, professional reading, and other office activities

-4- = consulting and advisory work, activities that improve audit operations.

-5- = Budgeted hours for four staff members for 26 weeks. Budget for audits and other projects cannot be evenly allocated by week because of planned start dates of individual projects and changes in the number of staff.

UNC Internal Audit

2016/17 Audit Schedule as of 12/23/16

Planned Audits

In Process

Historically Underutilized Business Program
Clery Act Reporting

Scheduled

Export Controls
Governance - Trustee Orientation
Access Revocation

Annual Projects

Complete

2016/17 Risk Assessment and Audit Plan
2nd Follow-up - 2015 OSA Financial Statement Audit

In Process

Follow-up for Prior Internal Audit Findings
2016 State Audit
Enterprise Resource Planning

Scheduled

Follow-up for 2016 OSA Audit
UNC Business Compliance Program 2017

Audit Related

Complete

SACS 2016

Scheduled

Internal QAR
HIPAA Risk Assessment

On Going

Audit Manual
Time System
Office Systems
Audit Planning
Audit Committee
Media Requests
Audit Process Improvement
IT Governance Committee & Data Custodian Work
CERTIF
KPI Reporting
Board of Governors' Meetings
HIPAA Security Liaison
Continuous Auditing
University Committee on the Protection of Personal Data
Privacy Liaison
UNCAA Conference Planning

Special Projects & Management Requests

Complete

Auxiliary Equipment (referral from Office of State Auditor)
Lineberger Cancer Center Grants (referral from Office of State Auditor)
Law - Travel
Law - EPAP

UNC Internal Audit
2016/17 Audit Schedule as of 12/23/16

Health Behavior
Maternal and Infant Health
NC Institute of Public Health - assistance to management
Gene Therapy 2016- assistance to management
Associate Director of Policy Management

In Process

Orthodontics
Nutrition Research Institute
Radiology 2016
Carolina Center for Education Excellence
School of Government
Center for Civil Rights
Various Short-term Advisory Projects



MEMORANDUM

TO: Dwight Stone, Chair of the Board of Trustees of UNC Chapel Hill
Chuck Duckett, Chair of the University Affairs Committee, Board of Trustees of
UNC Chapel Hill

FROM: James W. Dean, Jr., Executive Vice Chancellor and Provost *JWD*

RE: Update on Centers and Institutes at UNC-CH

DATE: January 9, 2017

This update includes both a notification and action items concerning the establishment and discontinuation of centers and institutes at UNC Chapel Hill. Each item is listed below along with related policy information.

1. Establishing New Centers and Institutes

Creating a new center or institute within the UNC system requires a two-step process involving first a request for authorization to plan and then a request for authorization to establish the new unit. Authorization to plan is granted by the Chancellor and Provost, with notification to the Board of Trustees. Authorization to establish the new center or institute is given by the Chancellor, the Provost, and the Board of Trustees.

A. Notification of Authorization to Plan (Attachment)

The Centers and Institutes Review Committee recently considered a request for authorization to plan the Center for Medication Optimization through Practice and Policy (CMOPP), a new interdisciplinary research center, submitted by Jon Easter, Professor of the Practice in the Practice Advancement and Clinical Education division of the Eshelman School of Pharmacy. As described in Dr. Easter's request, CMOPP's mission would be "to bring together healthcare stakeholders to create impactful real world research, generate evidence, disseminate best practices, and advance education that integrates medication optimization into value-based care delivery and payment models." Ultimately the goal of this center would be to create sound evidence that not only demonstrates the impact of medication optimization, but also aims to influence health policy, create new payment models, and scale care delivery innovations that will improve patient outcomes and lower the total cost of care in the United States. As stated in the attached proposal, this center would be supported by external funds and has the full support of Bob Blouin, the dean of the Eshelman School of Pharmacy. Moreover, the

Centers and Institutes Review Committee reviewed and endorsed this request. I write now to notify the Board of Trustees that Chancellor Folt and I have approved this request.

B. Recommendation for Authorization to Establish (Attachment)

Last Spring I notified the Board of Trustees that Chancellor Folt and I had approved a request for authorization to plan the Global Social Development Innovation (GSDI) center, a new interdisciplinary research center in the School of Social Work. As previously stated, GSDI would focus on investigation, documentation, and dissemination of knowledge related to international social development practices. It would also build capacity for both rigorous scientific inquiry and for training of the next generation of researchers and practitioners.

Associate Professor Gina Chowa, an award-winning faculty member whose groundbreaking work examines the impact of asset ownership on youth and families in developing countries, has been responsible for conceiving and planning GSDI. Professor Chowa recently submitted a request to the Centers and Institutes Review Committee for authorization to establish this center. As stated in the attached proposal, this would be supported by external funds and has the full support of the dean of the School of Social Work. The Committee has forwarded a recommendation for approval of Dr. Chowa's request for authorization to establish this center, which both the Chancellor and I have accepted. I am now forwarding this recommendation for your consideration.

2. Recommendation for Discontinuation of Centers and Institutes (Attachment)

According to policy, following a periodic review or a formal written request from the administrative officer to whom the center or institute reports, the Centers and Institutes Review Committee may recommend discontinuation of a center or institute to the Executive Vice Chancellor and Provost. If the Executive Vice Chancellor and Provost determines that discontinuation is warranted, he or she will ask the Chancellor and Board of Trustees to approve this action.

The Centers and Institutes Review Committee recently considered nine requests to discontinue or reclassify certain pan-university and school-based centers and institutes. These requests were initiated in response to either (1) changes in operational status or (2) recent revisions of UNC General Administration *Regulations on Planning, Establishing, and Reviewing Centers and Institutes in the University of North Carolina* (UNC Policy Manual section 400.5[R]) and UNC-CH *Policies and Procedures Governing Centers and Institutes*. These policies now provide more distinct definitions of the terms "center" and "institute" and make clear that their primary purpose is to facilitate cross-disciplinary or cross-unit collaboration.

Therefore, the Committee forwarded a recommendation that these nine units be discontinued or no longer classified as centers and institutes and that they be removed from the official list

of University centers and institutes. Both the Chancellor and I support this recommendation, I am now forwarding it for your consideration.

I look forward to discussing these notifications and recommended actions with you and your colleagues later this month.

Attachments: CMOPP Request for Authorization to Plan
GSDI Request for Authorization to Establish
Discontinuation/Reclassification Recommendation

Copy: Dwayne Pinkney, Senior Associate Vice Chancellor for Finance and
Administration and Secretary of the University
Carol Tresolini, Vice Provost for Academic Initiatives and Chair, Center and
Institutes Review Committee

August 31, 2016

Office of the Executive Vice Chancellor and Provost
104 South Building, CB 3000
University of North Carolina at Chapel Hill
Chapel Hill, NC 27599-3000

Subject: Authorization to Plan for a Center

Dear Vice Provost Tresolini,

As requested in the university policy on overseeing the creation of centers, the UNC Eshelman School of Pharmacy would like to respectfully submit this letter as an authorization to plan for the Center for Medication Optimization through Practice and Policy (CMOPP).

1. Relevance of the proposed center to the mission of UNC-Chapel Hill and UNC system

One of the challenges confronting the U.S. health care system is delivering high-value, effective therapies and clinical services that provide the best health outcomes. The Affordable Care Act (ACA) proposes numerous ways to extract greater value from the U.S. health care system framed around three core tenets of care: Quality, Access and Cost. The overriding emphasis and focus of payers and providers has been on controlling total health care spending and “Bending the Cost Curve” as ACA is being implemented. To achieve this objective, more efforts are being directed towards defining, delivering and measuring “Value” for patients, with “Value” being embedded as an integral part of health care and treatment decisions. The importance of medication management within population health is gaining traction based on the need to proactively manage and optimize medication use (especially for patients with chronic conditions) and quality metrics are being tied to reimbursement through public programs and commercial value-based contracts.

The transformation occurring in healthcare is opening up new opportunities to think and act in innovative and creative ways to bring about the change. These changes are affecting every category of stakeholder— the pharmaceutical industry, payers, health systems, health care providers, patients, policy-makers and others. Without question, stakeholders are realizing the need for a radically changed process by which value is identified, created and delivered. This shift to value provides significant opportunity for the profession of pharmacy to demonstrate the value of medications and medication optimization services as a significant contributor to emerging care based delivery and value based payment models.

2. Mission, goals and objectives of the proposed unit and an explanation of why these cannot be met within existing university structures.

The mission of the Center for Medication Optimization through Practice and Policy (CMOPP) at the UNC Eshelman School of Pharmacy is to bring together healthcare stakeholders to create impactful real world research, generate evidence, disseminate best practices, and advance education that integrates medication optimization into value-based care delivery and payment models. We are not aware of any other group or structure within the university system that is focused on improving healthcare delivery through the optimization of medications. The uniqueness of this center is that it fulfills the role as a neutral third party between academia, the private sector and the government to facilitate collaborative research that will produce real world evidence, and has the ability to inform health policy while educating our students.

The objectives of The Center for Medication Optimization through Practice and Policy (CMOPP) at the UNC Eshelman School of Pharmacy are to:

- a. Influence positive Health Policy changes that integrates pharmacy services into value based payment and care delivery models.
- b. Facilitate collaboration within the UNC Eshelman School of Pharmacy, as well as externally with diverse stakeholders, such as health systems, commercial payers, patient groups, and pharmacy organizations in order to build scalable, results-oriented, real world research projects.
- c. Build a world-class 'applied, mission-driven' research capability that addresses the needs of payers and value purchasers, and then use that evidence to educate policymakers on evolving value based reimbursement models.
- d. Integrate healthcare reform and practice innovation into the curricular transformation at the UNC Eshelman School of Pharmacy to prepare the next generation of practitioners.

3. Description of how the proposed unit differs from other centers, institutes, and units within UNC-Chapel Hill, the UNC system, and the state, and proposed relationships with them.

This center is different as it is focused on optimizing medications as a part of newly created care delivery and value-based payment models. These collaborative efforts will be directed towards raising awareness and helping implement rigorous evaluations, solutions, best practices, and policies toward improving patient health outcomes and health care delivery. One of the key objectives of policy shaping will be to help define, build, and champion new value-based payment models that account for value-added services aimed at optimizing medications. Although our focus differs from other centers and units, we envision working on research collaborations with the other entities within the university system, including the UNC Gillings School of Global Public Health, Health Policy and Management, School of Medicine, UNC Health Care, NC State Department of Industrial and Systems Engineering, and many others. As such, we will create a highly collaborative research program that will result in endorsement of new and innovative approaches of care delivery at the state and federal levels and encourage adoption by payers and providers across the state and the nation.

4. Description of the people and units involved.

The Center will be housed at the UNC Eshelman School of Pharmacy, within the Practice Advancement Clinical Education (PACE) division. The proposed organizational structure is as follows:

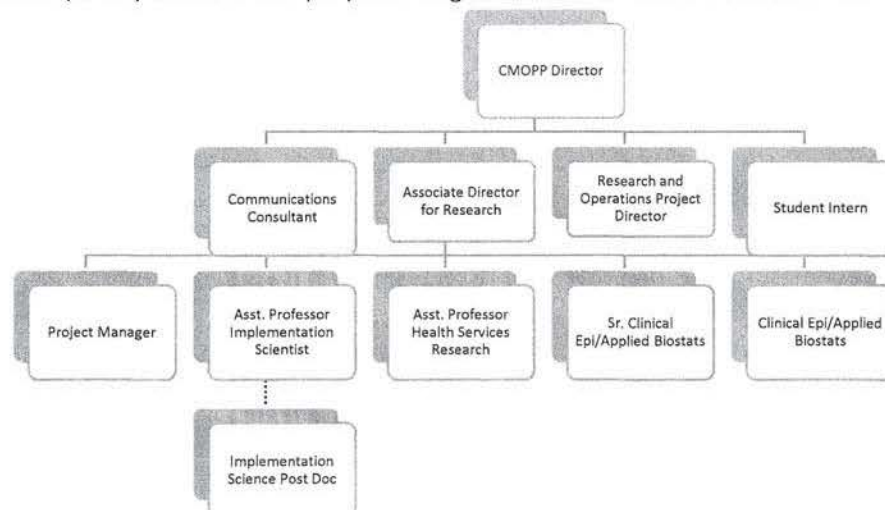


Table 1. Proposed job descriptions

Position	Key Responsibilities
Associate Director of Research	<ul style="list-style-type: none"> • Identify & secure grant funding • Manage multi-stakeholder research collaborations • Develop Implementation Science research capability • Develop Data Science research capability • Convert ideas into IP to accelerate innovation
Research and Operations Project Director	<ul style="list-style-type: none"> • Manage Center ops (budget, dissemination, symposia) • Manage Collaboration ops (ad board, fellows, meetings) • Research coordination; ensure planning & execution of disparate research projects (stakeholder coordination, best practices, dissemination)
Assistant Professor Implementation Scientist	<ul style="list-style-type: none"> • Secure grants & publish evidence on pharmacy practice effectiveness, identify environmental influencers • Identify intervention components, determine effectiveness, measure implementation outcomes
Implementation Science Post Doc	<ul style="list-style-type: none"> • Support implementation grants; field assessments; data assimilation & dissemination tools
Assistant Professor Health Services Research	<ul style="list-style-type: none"> • Develop adherence & population health models via research collaborations with payers, providers, vendors & life science industry • Secure grants & publish evidence on economic & clinical benefit of applied med optimization services
Clinical Epi/Applied Bio stats	<ul style="list-style-type: none"> • Applied data analytics supporting research projects (e.g. CMMI, ACCP) & research collaborations • Develop, test & implement prospective predictive analytic tools for research collaborations
Communications Consultant	<ul style="list-style-type: none"> • Develop CMOPP communication strategy (research dissemination, ad board, PR, social media, media relations, trade shows) • Support faculty grant writing activities
Student Intern	Assist Director on business plan and symposium planning

5. Estimated funding needed to initiate and sustain the proposed center for five years, including amounts of state, non-state, and in-kind support needed during that period

The Center director is a full time faculty member within the Eshelman School of Pharmacy. Startup funds will be provided by the school to cover staff and the operational budget. Additional funding includes a \$3 million endowment, which will provide approximately \$140,000 per year to fund student and post doc positions. Additional funds will be procured through grants and contracts over the first four years to create a path to self-sustainability.

6. Estimated space, facilities, and equipment needs and plans for meeting these needs.

Space was renovated within the UNC Eshelman School of Pharmacy to house the Center and provide an open, collaborative environment for research and faculty-student interaction. Year one of the endowment covered the cost of the renovation, and startup funds will cover basic A-V and computer equipment.

7. If relevant, information about the inter-institutional nature of the proposed unit with regard to mission, leadership, activities, funding, or other aspects.

The Center's mission and funding is driven by the UNC Eshelman School of Pharmacy. As stated above, the center will interact with others within the university system, including NC State and UNC Asheville to collaborate around medication optimization.

8. Proposed timeline, milestones, and responsible parties for planning and establishing the center or institute. If a time-limited center is proposed, e.g., one established only for the duration of certain external funding, estimated "sunset" date.

Table 2. Planning a Center timeline and milestones

Milestone	Timeline	Responsible Party
Submit request to plan a center	3Q16	Center director
Submit application to establish a center	4Q16	Center director
Startup funds and hiring staff	2016-17	School Executive Vice Dean, CFO
Manage existing research	2016-18	Center director
Apply for additional grants and contracts	2017-20	Center director

Existing research that the Center will be responsible for in 2016-2018 includes:

- Transforming Primary Care Medical Practice through Comprehensive Medication Management (American College of Clinical Pharmacy award), which is a \$2.4 million award to evaluate and replicate best practices in medication optimization in primary care
- Community Pharmacy Enhanced Services Network (CPESN), which is a \$15 million Centers for Medicare and Medicaid Innovation (CMMI) Center award to Community Care of North Carolina (CCNC), where UNC Eshelman School of Pharmacy is a subcontractor, to transform payment and care delivery in the community pharmacy setting
- Eshelman Institute for Innovation, which is a \$600,000 award to develop the technology platform to assimilate and disseminate best practices in medication optimization
- CMMI Transforming Primary Care Initiative, which is a \$18 million award to CCNC to transform primary care practice that includes a medication optimization component (UNC Eshelman School of Pharmacy is a subcontractor)

Thank you for the opportunity to submit a request for authorization to plan a new center. We look forward to working with the Vice Provost for Academic Initiatives to answer any questions or further discuss the Center for Medication Optimization through Practice and Policy (CMOPP).

Respectfully submitted,



Jon Easter
Director, Center for Medication Optimization through Practice and Policy
Professor of the Practice
UNC Eshelman School of Pharmacy



UNC
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Dr. Carol Tresolini
Vice Provost for Academic Initiatives,
Centers and Institutes Review Committee
104 South Building, CB 3000
University of North Carolina at Chapel Hill
Chapel Hill, NC 27599-3000

December 7, 2016

Dear Dr. Tresolini,

Re: Cover Letter to the proposal to establish Global Social Development Innovations as a center.

In accordance with the policies and procedures governing centers and institutes at the University of North Carolina, Chapel Hill, I am writing you to submit a proposal to establish Global Social Development Innovations as a center. Please find enclosed the proposal, the five-year budget of the center, and a letter of support from the Dean of social work.

I look forward to hearing from you.

Yours Sincerely,

Gina Chowa, Ph.D, M.S.W.,
Associate Professor, UNC School of Social work



UNC
SCHOOL OF SOCIAL WORK

THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

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GARY L. BOWEN, PHD, ACSW
Dean & Kenan Distinguished Professor

December 6, 2016

Dr. Carol Tresolini
Vice Provost for Academic Initiatives
Centers and Institutes Review Committee
104 South Building
Campus Box 3000

Re: Proposal to Establish Global Social Development Innovations at the School of Social Work

Dear Dr. Tresolini,

I am writing to support Associate Professor Gina Chowa's proposal to establish the Global Social Development Innovations (GSDI) Center. A team of faculty members led by Professor Chowa has established strong partnerships across the globe to conduct rigorous research to address social development problems. This team has demonstrated what the School of Social Work at the University of North Carolina at Chapel Hill is nationally and globally known for conducting rigorous research to address social problems for the wellbeing of marginalized populations. The partnerships across the globe have yielded innovative projects funded by a range of foundations. However, these partnerships and collaborations have been informal, and I am excited that this research team with the leadership of Professor Chowa is seeking to formalize these relationships under the auspices of the proposed center. Permission to establish the center will not only allow the researchers to scale up their work globally but also will make it possible to seek funding and attract resources to do work of the magnitude that will make a difference in the wellbeing of a large number of people across the globe.

The mission of GSDI aligns well with UNC's vision of being a global leader in higher education. Units such as the proposed GSDI center will actualize UNC's vision. Social, economic, and health problems have solutions that can be developed locally but shared globally. GSDI is set to be a leader in providing a platform for incubating and birthing solutions that will change how policies are developed in resource limited countries. The vision of GSDI to "innovate, evaluate, disseminate" in collaboration with local partners across the globe to impact policies and to provide evidence to decision makers to inform their knowledge on issues that affect their citizens. Currently, all of GSDI's projects in the countries where they operate engage policy makers throughout the life cycle of the research projects to ensure that findings are disseminated

to key stakeholders to make informed decisions. This model will be important for countries where information is very limited.

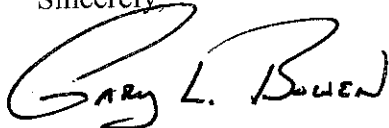
At the School of Social Work, the GSDI researchers have increased the School's global presence and are attracting globally oriented students to come and train under the tutelage of these global scholars. At UNC, GSDI is collaborating with scholars across the university to conduct research around the globe. The establishment of GSDI as a center will provide a space for students and scholars within and outside the school of social work to sharpen their global practice knowledge and skills. The center will provide a platform where junior faculty can be trained to do rigorous research and be mentored to become researchers who will in turn train other junior faculty. This space will provide an opportunity for an exchange of ideas, collaboration on research projects, and stakeholder engagement to address wicked problems that face marginalized and disenfranchised populations across the globe.

I am convinced that GSDI's establishment will be beneficial to UNC, the nation, and the globe. Therefore, I have organized an entire office suite with 10 rooms for GSDI students, staff, and faculty to occupy and work in close proximity. I have also supported the team to set up a communication system to communicate with partners globally and supervise students across the globe that choose to do their social work practicum outside the US. I am committed to supporting GSDI in this way as they grow as a center.

Professor Chowa will report to me as the Director of GSDI. She will submit an annual report of the center to me and I will meet with her annually to review the performance of the center and future plans. GSDI will have a Board of Advisors on which I will serve as an *ex officio* member. Both our Associate Dean for International Programs, Professor Jack Richman, and I will work with Dr. Chowa to ensure that the center is achieving its mission and goals.

I have no doubt in my mind that Professor Chowa and her team will grow GSDI to impact global challenges in collaboration with UNC and global scholars and practitioners. I look forward to seeing GSDI receive authorization and become fully operational. Please let me know if you have any questions.

Sincerely

A handwritten signature in black ink that reads "Gary L. Bowen". The signature is fluid and cursive, with the first name "Gary" being more prominent.

Gary L. Bowen, PhD, ACSW
Dean and Kenan Distinguished Professor



GLOBAL SOCIAL DEVELOPMENT INNOVATIONS

Application to Establish a Research Center at the
University of North Carolina

Chowa, Gina Agnes

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1.1 INTRODUCTION

The aim of this proposal is to request permission to establish the Global Social Development Innovations (GSDI) Center at the School of Social Work at the University of North Carolina at Chapel Hill. The proposal to establish GSDI as a center is in compliance with the policies and procedures governing centers and institutes at UNC. The permission to plan this center was granted December 22, 2015, by Chancellor Carol Folt. Since then, the team of researchers has embarked on several activities toward making GSDI a research center. This proposal presents some of the activities that demonstrate that the researchers working to establish GSDI are ready to implement and grow the center to accomplish the proposed mission. These planning activities included signing memorandum of agreement with global partners, implementing research projects, hosting research symposia, engaging potential funders, disseminating our work, refining our mission and vision, securing physical space and equipment, and hiring staff. If granted permission to establish, GSDI plans to continue and expand its work in alignment with UNC's vision to be a global research university. Permission to establish the center will facilitate a platform for GSDI to accomplish our mission and vision to improve the well-being of marginalized and vulnerable populations globally.

1.2 NAME, MISSION, & GOALS

The name of the center shall be Global Social Development Innovations (GSDI) Center. This name builds on the background and expertise of GSDI's team, as well as members' passion and commitment to investigate social development practices designed to alleviate global poverty. We value real-world interventions, quality research, information dissemination, and the highest capacity of all our global partners to create well-being for all in the world.

GSDI's **mission** will be "to create innovative interventions, build knowledge, produce evidence, and, in collaboration with local stakeholders, impact policy toward the well-being of marginalized populations globally. Our mission is rooted in the values of economic justice for the poor, integrity, honesty, the importance of human relationships, competence, and the dignity and worth of the person."

We put a premium on our partnerships with global peer research institutions and development practitioners who collaborate with us on all of our projects, because we believe collaboration and participatory practices are critical to our success.

We use participatory methods to meaningfully engage with development implementers and all of our target populations. We believe participatory practices give voice to those traditionally unheard. We adhere to all regulatory requirements that ensure best practices and protect all of our clients.

GSDI uses its expertise and capacity to train the next generation of researchers and practitioners to build research capacity for rigorous scientific inquiry in social development practices. We also disseminate knowledge to inform policymakers, other development

practitioners, and non-governmental organizations to aid in the creation of sound policy to improve the well-being of vulnerable populations.

We prioritize the following in our approach:

Collaboration: GSDI works with researchers and implementing partners across the globe, leveraging local expertise to create collaborative and culturally relevant innovations.

Rigorous Research: GSDI's priority on rigorous research is demonstrated through its efforts to build knowledge, produce evidence, and impact policy that promotes the well-being of marginalized populations globally.

Knowledge Sharing: We train the next generation of scholars and practitioners globally to build research capacity. We generate content reservoirs because we believe data is a public good that should be used beyond those who initially collect it.

Our **goals** are to:

1. Create sustainable, social change through global initiatives that increase economic security for the world's most poor
2. Conduct innovative research that adapts and responds to the unique needs of the communities in which we work
3. Create a network of partners and partnerships that enable the exchange and sharing of knowledge and best practices

1.3 RATIONALE

GSDI will be a research unit with a focus on global research to collect evidence and impact policy on social development. We will be a semi-autonomous unit within the University, housed in the School of Social Work. GSDI will be distinguishable from other units or centers in the UNC system because it will focus on more than community exchange or the collection and analysis of data. GSDI will prioritize conceptualization, development, implementation, and evaluation of social interventions or programs couched in a framework that respects and incorporates local expertise in all its work. GSDI's core research will focus on economic security and its effects on economic, educational, psychosocial, health and social well-being.

We will work with researchers and doctoral students to train and prepare them for global research. GSDI will concentrate its efforts on becoming a knowledge hub that inspires greater scientific and practical understanding for enhancing resources and promoting well-being in resource-limited communities.

Although GSDI is a semi-autonomous unit, we will collaborate with other UNC units. Since GSDI's permission to plan, the team has engaged with various units across the University. GSDI has worked with faculty members at the School of Public Health (Drs. Carol Golin, Audrey Pettifor, and Harsha Thirumurthy) to mentor junior faculty in developing NIH research

proposals. We have discussed collaborations and plan to submit an R01/R34 proposal for Zambia with faculty members at UNC School of Medicine, Center for AIDS Research (Drs. Benjamin Chi, Jeffrey Stringer, Groesbeck Parham, and Lisa Hightow-Weidman). We are working with Carolina for Kibera (Kenya) on a youth workforce development project and a funded research internship in Kenya for a graduate student. Drs. Ashu Handa and Kavita Singh Ongechi from the Carolina Population Center have also proven to be invaluable collaborators. Dr. Ongechi currently works with doctoral students on our team. In addition to academic partnerships, GSDI is engaged with nonacademic units. We have hired the Renaissance Computing Institute (RENCI), UNC Creative, and UNC Information Technology Services to create GSDI's virtual data reservoir and online presence. For this reason, in collaboration with RENCi, we have created a data hub where data can be stored and accessed for sharing across the world.

Beyond UNC partnerships, we are engaged with global partners. Through GSDI's partnership, two memoranda of understanding (MOU) have been signed by the University and another MOU is under review. The MOU with the University of Johannesburg (South Africa) formalized our partnerships with the Centre for Social Development in Africa and the Department of Social Work in the Faculty of Humanities. GSDI researchers have worked with both units since 2008. As part of this partnership, we are conducting a national demonstration and intervention project, Siyakha Youth Assets— a project that has been ongoing since 2012. The MOU with the University of Pune in Ahmednagar (India) also formalized our partnership with the Centre for Studies in Rural Development (CSRd), Institute of Social Work and Research (ISWR). As part of this partnership, we are conducting a sanitation research project with Samagra in the urban slums of Pune and an adolescent health intervention with the Comprehensive Rural Health Project in Jamkhed.

In addition, GSDI researchers have conducted social intervention projects in Ghana, Kenya, Uganda, and Zambia. In Ghana, we worked with the Institute for Statistical, Social, and Economic Research at the University of Ghana. We conducted a nationwide youth financial capability intervention, YouthSave, in junior high schools. GSDI researchers collaborated with the Center for Social Development at Washington University in St. Louis and Save the Children (US) to implement YouthSave in Ghana. In Zambia, we worked with the Ministry of Health and the University of Zambia to conduct an asset development and social protection project, "Chuma na Uchizi," for people living with HIV in Eastern Province. In addition, we are working with Rising Fountains Development Program in Eastern Province to implement "Chuma cha Azimai," a livelihood and digital financial inclusion project for women and "Umwini," a skills-based project for adolescents living with HIV.

GSDI's fundraising agenda has included engagement with various private foundations, including the Michael and Susan Dell Foundation, MasterCard Foundation, Ford Foundation, MetLife Foundation, JP Morgan Chase Foundation, Bill and Melinda Gates Foundation, Citi Foundation, and Rockefeller Foundation. Our engagement with these funders is ongoing with potential for

funding in the near future. In collaboration with faculty at CFAR, we will also be applying for federal funding in the near future to build on the CFAR-funded project in Zambia.

The knowledge that we glean from working globally is applicable locally. We work with students to encourage them to think globally and act locally. GSDI focuses on social, economic, and health issues that transcend national boundaries and affect communities in North Carolina and beyond. GSDI researchers are currently training three graduate research assistants and one graduate practicum student. In addition, GSDI has reached out to globally-oriented undergraduate student organizations at UNC to encourage knowledge exchange pertaining to global practice. The faculty at GSDI are supporting globally-oriented graduate students at the School of Social Work through the International Caucus, a student-led organization.

1.4 GSDI'S WORK AND MEASURING SUCCESS

As members of GSDI, we will promote our center as an interdisciplinary gathering place for scholars and practitioners from around the world who are invested in serving the needs of marginalized populations. These scholars may be experts in social work, public health, economics, and other social and behavioral sciences. In addition, GSDI will conduct workshops to train researchers and young scholars in research skills development, including: conceptualizing an idea, designing interventions, collecting data, analyzing data, and disseminating evidence. This process will be couched in a framework that aims to promote well-being and influence policy. We will also host symposia to generate ideas and develop tools for the dissemination of knowledge. We recognize that our impact depends as much on providing a physical place around which interested parties might gather as it does in maintaining a virtual presence for those with limited resources, hence the website and data hub.

1.4.1 Documenting GSDI's Success

GSDI will document all the funding proposal submissions and projects by GSDI faculty and those submitted in collaboration with GSDI partners across the globe. GSDI will also document and record capacity-building workshops and training meetings with partners both locally and globally. GSDI will keep a database of all senior and junior faculty, graduate research assistants, and visiting scholars that are affiliated with GSDI and update the database annually. All publications, conferences, symposia, and seminars will be disseminated through the website and other mechanisms used by our partners. GSDI will document usage of the data hub and website. Finally, GSDI will produce an annual report to disseminate information summarizing all accomplishments including projects, financials, and the future outlook of the center.

1.4.2 Measuring GSDI's Success

GSDI will measure success using the following:

1. Number of proposals submitted
2. Number of projects successfully funded and implemented
3. Number of capacity building workshops and training meetings

4. Number of graduate research assistants trained through the center
5. Number of senior faculty attached to the center
6. Number of junior faculty mentored at the center
7. Number of publications, conferences, organized symposia, and hosted webinars
8. Traffic on data hub and how many partners have shared their databases with GSDI
9. Traffic on website
10. Number of visiting scholars and faculty affiliates

These measures will be used to assess the success of GSDI. Gaps in the previous year will be identified and measures will be taken to address the gaps in the following year.

1.5 DESCRIPTION OF GSDI'S ORGANIZATIONAL STRUCTURE

Associate Professor Gina Chowa will serve as the inaugural director of GSDI and will oversee the work of scholars in six research cores: economic security, financial inclusion, social protection, workforce development, education, and health. (See Appendix A for details on the six research cores.) Dr. Chowa will report to the Dean of Social work. In addition, GSDI will have an advisory council consisting of thought leaders, funders, global practitioners, and ex-officio members from relevant UNC administrative units. (See Appendix B for a proposed composition of the GSDI advisory council.) Each research core will be led by a lead researcher who will report directly to Dr. Chowa for his or her center responsibilities but will still report directly to the Dean for their faculty responsibilities. (See Appendix C for GSDI's roles and responsibilities.) In addition, GSDI will have core faculty members who will be instrumental to the success of the mission and vision of GSDI. (See Appendix D for details of organizational chart.)

Support in the form of project management, coordination, and operations will be provided by the research project manager who will answer to Dr. Chowa. (See Appendix E for job description.) As the center grows, we will hire a statistician to assist in data analysis and publications and a project coordinator to provide additional support to the center.

GSDI has enlisted talented researchers from across the globe to be a part of its professional support network. GSDI will have both junior and senior level affiliates, which are determined based on academic seniority and the amount of time and effort an affiliate has invested in furthering GSDI's mission and goals. (See Appendix F for detailed descriptions of affiliate roles.) As the community of scholars engaged with GSDI grows, the center will evolve to accommodate the community's research interests and to support the range of projects represented. We envision considerable interactivity with scholars from the Gillings School of Global Public Health.

GSDI will hire master's level research assistants who will report directly to the research project manager. A project coordinator will be hired to support the research project manager and assist in managing research assistants and other daily project activities. GSDI faculty have been

supervising masters of social work students for their concentration practicum and ¹GSDI will be an approved site for the same purposes. Doctoral students will be affiliated with the center and trained by core GSDI faculty.

In addition, Dean Gary Bowen at the School of Social Work has organized a space, for faculty and staff working with GSDI to work in close proximity. GSDI researchers, staff and students occupy a suite of 10 offices and an open space on the fourth floor of the School of Social Work. (See Appendix G for photos of the office space.) This enables us to continue working from the Tate-Turner-Kuralt Building in the early years of the center. If we receive authorization from the Centers and Institutes Review Committee to be a center, we will continue to operate from this location. GSDI researchers have purchased computers and computing software for our global projects. We have also secured a state-of-the-art communication system that allows us to host real-time virtual meetings with partners across the globe.

1.6 FUNDING FOR THE CENTER

Work and operations at the center will be totally supported using external dollars.

1.7 STATEMENT TO ACCEPT REQUIREMENTS OF 5-YEAR PERIODIC REVIEW OF THE CENTER

GSDI agrees to comply with all stipulations in the policies and procedures governing centers at the University of North Carolina at Chapel Hill, including the 5-year periodic review of GSDI.

1.8 CONCLUSION

This proposal has outlined the activities that researchers at GSDI have pursued since obtaining the permission to plan. Our recent accomplishments demonstrate our readiness to operate as a research center and promote our mission and vision moving forward. Having the status of a center will allow us to grow our work, obtain larger grants, prepare more students and scholars for engaged practice, and expand the global reach of the School and the University. In the next one to five years, we plan to formalize new partnerships in new project countries, including Bangladesh, Botswana, the Philippines, and the Francophone countries in West Africa. We also intend to expand research partnerships in current project countries, including India, South Africa, and Zambia. GSDI will solidify approved practicum sites in India, Kenya, and South Africa for graduate students. GSDI will continue to seek support focusing on international and private sources to fund its operating expenses. These planned activities will help fulfill GSDI's ultimate goal to improve the well-being of the world's most marginalized populations. GSDI's success will advance UNC's mission to be a global leader in higher education. Moreover, GSDI is prepared to be a leader in providing solutions that effectively address wicked problems in North Carolina and beyond.

¹ The space is the in-kind support that School of Social work will contribute to GSDI

1.9 APPENDICES

1.9.1 Appendix A: Research Cores

GSDI will have six core research areas, which are:

1. **Economic Security:** Economic security promotes well-being by enhancing the capacity of poor people to accumulate resources. Economic instability jeopardizes the ability of individuals, households, and communities to meet their basic needs, including adequate housing, healthcare, and financial security.
2. **Financial Inclusion:** Financial inclusion provides access to strategies and creates capabilities that can facilitate the accumulation of assets toward long-term family economic stability. Financial inclusion ensures that individuals and families have access to affordable, safe, and easy-to-use financial products and platforms or services, toward robust mechanisms for asset accumulation.
3. **Social Protection:** Social protection enhances the ability of individuals and families to manage economic and social vulnerabilities and risks. Lack of social safety nets exacerbates adverse impact of economic shocks.
4. **Workforce Development:** Workforce development enhances employability and increases access to employment using approaches that address the underlying causes of unemployment, including lack of skills, higher education, and mismatch of skills and available jobs.
5. **Health:** People living with communicable diseases as well as non-communicable diseases are more likely to suffer economic shocks due to their health conditions, including loss or reduction in income. When working-age adults become ill, households lose income from reduced labor productivity or work attendance, which in turn, constrains the flow of economic resources to the household.
6. **Education:** Education increases long-term economic mobility and improves livelihood. When youth fail to transition to higher (post-secondary) education due to lack of economic resources, economic insecurity is perpetuated.

1.9.2 Appendix B: Composition of Advisory Council

The GSDI advisory council serves to support the center's mission and vision.

Potential Council Composition:

- UNC Faculty Member at SSW
- UNC Faculty Member outside SSW
- Funder
- Thought leader: practitioner & scholar (2)
- INGO worker
- UNC Global Development Office
- Accountant/Lawyer/Business

Ex Officio Participants

The GSDI Ex Officio participants serve to support, protect, and justify the center's actions as needed and are present at council meetings.

Participants may include:

- School of Social Work Dean
- Associate Dean for International Programs
- Associate Dean for Research

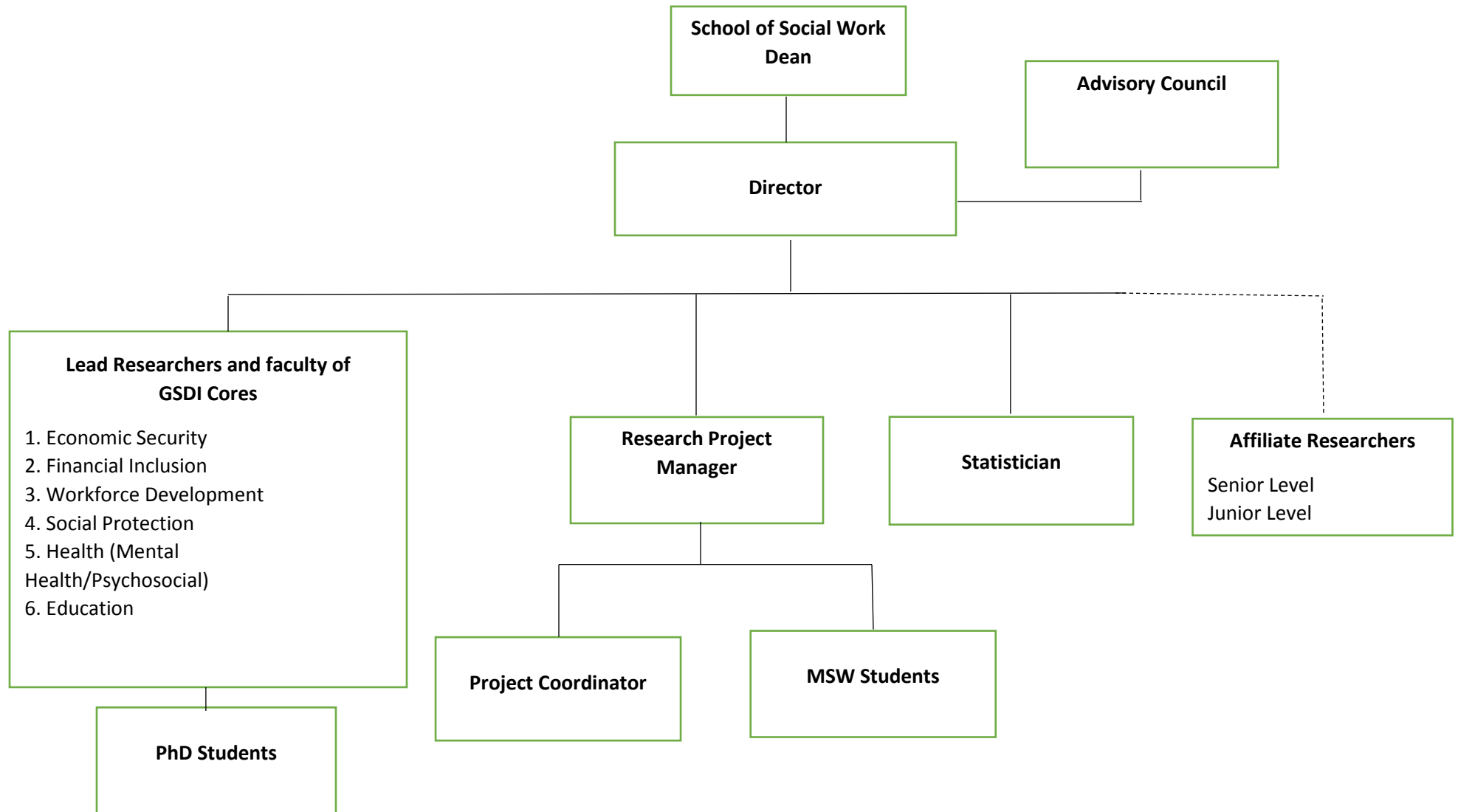
1.9.3 Appendix C: GSDI Roles and Responsibilities

Lead Researcher

GSDI has assembled a core team of researchers to lead its cause. A lead researcher will be charged with the following:

- Publish in the lead researcher's primary core research area and collaborate with other researchers in the center to publish in other core research areas.
- Be a thought leader in the lead researcher's primary core and promote the agenda for the core within and outside the center
- Present at conferences under GSDI's name
- Initiate proposals related to the core areas
- Innovate with new research proposals and concepts for funding
- Bring in funding through the center to support the operations of GSDI
- Identify as GSDI to help build the image of the center
- Attend center meetings, including planning, advisory council meetings, budgeting meetings

1.9.4 Appendix D: GSDI Organizational Chart



1.9.5 Appendix: E Research Project Manager Job Description

Position Description

Responsibilities of this position include comprehensive management of multiple research projects for investigator-initiated and other research studies in coordination with the Global Social Development Innovations (GSDI) Center. The incumbent will oversee planning, implementation and tracking of all research projects and assist in acquiring additional research grants as required. The candidate will also coordinate and manage relations with partners, funders and other stakeholders; developing contracts, budgets and scopes of work. The position will require the hiring and management of research assistants as necessary according to GSDI project needs. The incumbent will report to Dr. Gina Chowa, the director of GSDI. The incumbent will plan, develop, implement, monitor and evaluate projects.

This is a full time (1.0 FTE) position in the non-faculty track and is dependent on grant funding.

Principal Functions: Percentage Effort Description

Plan projects – 25% effort

- Defines scope of projects in collaboration with the research team
- Creates detailed work plans that identify and arrange project activities
- Develops project contracts, budgets, and scopes of work in coordination with the research team, local and international partners, (which includes field visits)
- Analyzes potential risk and benefits of new projects and makes recommendations to the research team
- Determines resources required to complete projects and develops budget justifications
- Attends meetings with key stakeholders (in addition to local researchers/academic institutions and CBOs)
- Develops grant proposals and budgets in coordination with principal investigator
- Reviews and manages project schedules

Implementation of projects – 25% effort

- Executes project plans and manages daily operations to ensure project is on schedule
- Develops implementation protocols in collaboration with the principal investigators
- Manages implementation protocols and other records to track project activities
- Ensures timely submission, approval and renewal of IRB applications from appropriate ethics review board
- Tracks the progress of projects and makes adjustments as necessary to ensure their successful completion
- Establishes communication schedules with all partners in all projects
- Reviews quality of work completed by project team to ensure it meets project standards and fulfills administrative agreements
- Manages, trains, and supervises research assistants and participates in the hiring process of additional staff according to GSDI project needs

Control of Projects – 25% effort

- Monitors all phases of project work including planning, organizing and implementing projects
- Writes and distributes status reports to funders and partners
- Communicates with funders as outlined in funding agreements
- Develops and approves budgeted project expenditures
- Monitors cash flow projections and reports actual cash flow
- Manages project funds according to established accounting policies and procedures
- Coordinates with accounting technician to ensure all financial records for project are up to date

Evaluate projects – 25% effort

- Tracks project deliverables, ensuring they are on time, within budget and at the required level of quality
- Evaluates project outcomes, analyzes and reports to partners as established during planning phases
- Participates in annual or bi-annual center planning and evaluation of GSDI's vision and mission fulfillment

Education Requirements: Master's degree in social work and public health, international development, public administration, or related field

Preferred Qualifications & Experience

Ability to manage GSDI project work and the efforts of the center, which include implementing and tracking projects, budgets, data management and developing tools in coordination with project needs; Ability to prepare, publish and distribute project reports and updates; 2 to 5 years work experience in resource-limited settings required; excellent writing and management skills required; academic research background is preferred; prior experience working in or managing relationships with community-based organizations in global and resource-limited settings is strongly preferred; project management in a global setting and knowledge of current global social, economic and health issues and their impact on the well-being of individuals, families, and communities is preferred; interest and experience in project work related to economic security and health of vulnerable and marginalized populations in global contexts strongly preferred. Working with and managing a diverse team is essential to this position. Candidate must possess excellent communication and interpersonal skills.

1.9.6 Appendix F: Senior and Junior GSDI Affiliates

GSDI has enlisted talented researchers from across the globe to be a part of its professional support network. There are both junior and senior level affiliates, which are determined based on academic seniority and the amount of time and effort an affiliate has invested in furthering GSDI's cause.

Affiliates contribute to the center by:

- Providing leadership in substantive areas that are aligned with the affiliate's research interests
- Collaborating with GSDI on research activities to advance its vision.
- Facilitating the growth of GSDI's external image as ambassadors beyond the center
- Sharing funding opportunities that are relevant to the center's core research areas
- Attending center activities based on research needs

1.9.7 Appendix G: Images of the GSDI Office Space





Global Social Development Innovations Center

TOTAL PROJECT PERIOD: January 1 2016 to Dec 31 2020 PI: Gina Chowa

Start Date: 01/01/2016

	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL	Foundations
PERSONNEL							
Salary	355,550	362,659	369,911	377,310	384,856	1,850,286	Foundations
Fringes	101,218	102,684	104,184	105,709	107,268	521,063	Foundations
TOTAL PERSONNEL	456,768	465,343	474,095	483,019	492,124	2,371,349	
						-	
CONSULTANTS	5,000	5,000	5,000	5,000	5,000	25,000	Foundations
						-	
EQUIPMENT	-	-	-	-	-	-	
						-	
TRAVEL	100,000	100,000	100,000	100,000	100,000	500,000	Foundations
						-	
SUPPLIES	9,000	9,000	9,000	9,000	9,000	45,000	Foundations
						-	
OTHER EXPENSES	29,586	29,586	29,586	29,586	29,586	147,930	Foundations
						-	
TOTAL DIRECT COSTS	600,354	608,929	617,681	626,605	635,710	3,089,279	

NOTE:The space is the in-kind support that School of Social work will contribute to GSDI

Global Social Development Innovations Center
TOTAL PROJECT PERIOD: January 1 2016 to Dec 31 2020

PI: Gina Chowa
Budget Period
Year 1

PERSONNEL	ROLE IN PROJECT	TYPE	EFFORT	SALARY	FRINGES	TOTAL
Gina Chowa	Principal Investigator	9	50%	51,786	14,680	66,466 4.50
Gina Chowa	Principal Investigator	3	100%	32,057	7,336	39,393 3.00
Gina Chowa	PI Supplement	9	15%	15,536	3,555	19,091 0.00
Gina Chowa	PI Supplement	3	15%	4,809	1,100	5,909 0.00
Rain Masa	Co-I	9	33%	26,121	7,845	33,966 2.97
Rain Masa	Co-I	3	100%	26,385	6,038	32,423 3.00
TBN	Co-I	9	33%	26,955	8,036	34,991 2.97
TBN	Co-I	3	100%	27,227	6,230	33,457 3.00
Sara Harwood Mitra	Project Coord	12	100%	55,000	18,245	73,245 12.00
TBN	PhD Student	9	100%	18,500	4,213	22,713 9.00
TBN	PhD Student	3	100%	6,167	1,404	7,571 3.00
TBN	PhD Student	9	100%	18,500	4,213	22,713 9.00
TBN	PhD Student	3	100%	6,167	1,404	7,571 3.00
TBN	MSW Student	9	100%	3,920	2,902	6,822 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	MSW Student	9	100%	3,920	2,902	6,822 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	Contract Specialist	12	40.0%	20,000	6,840	26,840 4.80
TBN	Computer Personnel	12	25.0%	12,500	4,275	16,775 3.00
PERSONNEL				355,550	101,218	456,768
CONSULTANTS						
Total Consultants					5,000	5,000
EQUIPMENT						
Total Equipment						0
TRAVEL						
International & Local travel for 3 Pis					50,000	
Hotel for 3 Pis					30,000	
Ground Transport and food					20,000	
Total Travel						100,000
SUPPLIES						
Data collection supplies					6,000	
Computers					3,000	
Statistical software					10,000	
Total Supplies						9,000
OTHER EXPENSES						
PhD tuition					17,386	
Communication					2,000	
Publication costs					10,200	
Total Other Expenses						29,586
TOTAL Direct COSTS						600,354

NOTE:The space is the in-kind support that School of Social work will contribute to GSDI

PERSONNEL	ROLE IN PROJECT	TYPE	EFFORT	SALARY	FRINGES	TOTAL
Gina Chowa	Principal Investigator	9	50%	52,821	14,917	67,738 4.50
Gina Chowa	Principal Investigator	3	100%	32,698	7,482	40,180 3.00
Gina Chowa	PI Supplement	9	15%	15,846	3,626	19,472 0.00
Gina Chowa	PI Supplement	3	15%	4,905	1,122	6,027 0.00
Rain Masa	Co-I	9	33%	26,644	7,964	34,608 2.97
Rain Masa	Co-I	3	100%	26,913	6,159	33,072 3.00
TBN	Co-I	9	33%	27,494	8,159	35,653 2.97
TBN	Co-I	3	100%	27,772	6,355	34,127 3.00
Sara Harwood Mitra	Project Coord	12	100%	56,100	18,496	74,596 12.00
TBN	PhD Student	9	100%	18,870	4,246	23,116 9.00
TBN	PhD Student	3	100%	6,290	1,415	7,705 3.00
TBN	PhD Student	9	100%	18,870	4,246	23,116 9.00
TBN	PhD Student	3	100%	6,290	1,415	7,705 3.00
TBN	MSW Student	9	100%	3,998	2,909	6,907 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	MSW Student	9	100%	3,998	2,909	6,907 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	Contract Specialist	12	40.0%	20,400	6,932	27,332 4.80
TBN	Computer Personnel	12	25.0%	12,750	4,332	17,082 3.00
PERSONNEL				362,659	102,684	465,343
CONSULTANTS						
Total Consultants					5,000	5,000
EQUIPMENT						
Total Equipment						0
TRAVEL						
International & Local travel for 3 Pis					50,000	
Hotel for 3 Pis					30,000	
Ground Transport and food					20,000	
Total Travel						100,000
SUPPLIES						
Data collection supplies					6,000	
Computers					3,000	
Statistical software					10,000	
Total Supplies						9,000
OTHER EXPENSES						
PhD tuition					17,386	
Communication					2,000	
Publication costs					10,200	
Total Other Expenses						29,586
TOTAL Direct COSTS						608,929

NOTE: The space is the in-kind support that School of Social work will contribute to GSDI

PERSONNEL	ROLE IN PROJECT	TYPE	EFFORT	SALARY	FRINGES	TOTAL
Gina Chowa	Principal Investigator	9	50%	53,878	15,158	69,036 4.50
Gina Chowa	Principal Investigator	3	100%	33,352	7,632	40,984 3.00
Gina Chowa	PI Supplement	9	15%	16,163	3,699	19,862 0.00
Gina Chowa	PI Supplement	3	15%	5,003	1,145	6,148 0.00
Rain Masa	Co-I	9	33%	27,176	8,086	35,262 2.97
Rain Masa	Co-I	3	100%	27,451	6,282	33,733 3.00
TBN	Co-I	9	33%	28,044	8,285	36,329 2.97
TBN	Co-I	3	100%	28,327	6,482	34,809 3.00
Sara Harwood Mitra	Project Coord	12	100%	57,222	18,753	75,975 12.00
TBN	PhD Student	9	100%	19,247	4,280	23,527 9.00
TBN	PhD Student	3	100%	6,416	1,427	7,843 3.00
TBN	PhD Student	9	100%	19,247	4,280	23,527 9.00
TBN	PhD Student	3	100%	6,416	1,427	7,843 3.00
TBN	MSW Student	9	100%	4,078	2,916	6,994 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	MSW Student	9	100%	4,078	2,916	6,994 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	Contract Specialist	12	40.0%	20,808	7,025	27,833 4.80
TBN	Computer Personnel	12	25.0%	13,005	4,391	17,396 3.00
PERSONNEL				369,911	104,184	474,095
CONSULTANTS						
Total Consultants					5,000	5,000
EQUIPMENT						
Total Equipment						0
TRAVEL						
International & Local travel for 3 Pis					50,000	
Hotel for 3 Pis					30,000	
Ground Transport and food					20,000	
Total Travel						100,000
SUPPLIES						
Data collection supplies					6,000	
Computers					3,000	
Statistical software					10,000	
Total Supplies						9,000
OTHER EXPENSES						
PhD tuition					17,386	
Communication					2,000	
Publication costs					10,200	
Total Other Expenses						29,586
TOTAL Direct COSTS						617,681

NOTE: The space is the in-kind support that School of Social work will contribute to GSDI

Global Social Development Innovations Center

TOTAL PROJECT PERIOD: January 1 2016 to Dec 31 2020

Budget Period

PI: Gina Chowa

Year 4

PERSONNEL	ROLE IN PROJECT	TYPE	EFFORT	SALARY	FRINGES	TOTAL
Gina Chowa	Principal Investigator	9	50%	54,955	15,405	70,360 4.50
Gina Chowa	Principal Investigator	3	100%	34,019	7,785	41,804 3.00
Gina Chowa	PI Supplement	9	15%	16,487	3,773	20,260 0.00
Gina Chowa	PI Supplement	3	15%	5,103	1,168	6,271 0.00
Rain Masa	Co-I	9	33%	27,720	8,211	35,931 2.97
Rain Masa	Co-I	3	100%	28,000	6,407	34,407 3.00
TBN	Co-I	9	33%	28,605	8,413	37,018 2.97
TBN	Co-I	3	100%	28,894	6,612	35,506 3.00
Sara Harwood Mitra	Project Coord	12	100%	58,366	19,015	77,381 12.00
TBN	PhD Student	9	100%	19,632	4,314	23,946 9.00
TBN	PhD Student	3	100%	6,544	1,438	7,982 3.00
TBN	PhD Student	9	100%	19,632	4,314	23,946 9.00
TBN	PhD Student	3	100%	6,544	1,438	7,982 3.00
TBN	MSW Student	9	100%	4,160	2,923	7,083 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	MSW Student	9	100%	4,160	2,923	7,083 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	Contract Specialist	12	40.0%	21,224	7,120	28,344 4.80
TBN	Computer Personnel	12	25.0%	13,265	4,450	17,715 3.00
PERSONNEL				377,310	105,709	483,019

CONSULTANTS

Total Consultants	5,000	5,000
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EQUIPMENT

Total Equipment		0
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TRAVEL

International & Local travel for 3 Pis	50,000	
Hotel for 3 Pis	30,000	
Ground Transport and food	20,000	

Total Travel		100,000
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SUPPLIES

Data collection supplies	6,000	
Computers	3,000	
Statistical software	10,000	

Total Supplies		9,000
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OTHER EXPENSES

PhD tuition	17,386	
Communication	2,000	
Publication costs	10,200	

Total Other Expenses		29,586
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TOTAL Direct COSTS		626,605
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NOTE: The space is the in-kind support that School of Social work will contribute to GSDI

PERSONNEL	ROLE IN PROJECT	TYPE	EFFORT	SALARY	FRINGES	TOTAL
Gina Chowa	Principal Investigator	9	50%	56,054	15,656	71,710 4.50
Gina Chowa	Principal Investigator	3	100%	34,700	7,940	42,640 3.00
Gina Chowa	PI Supplement	9	15%	16,816	3,848	20,664 0.00
Gina Chowa	PI Supplement	3	15%	5,205	1,191	6,396 0.00
Rain Masa	Co-I	9	33%	28,274	8,337	36,611 2.97
Rain Masa	Co-I	3	100%	28,560	6,535	35,095 3.00
David Ansong	Co-I	9	33%	29,177	8,544	37,721 2.97
David Ansong	Co-I	3	100%	29,471	6,744	36,215 3.00
Sara Harwood Mitra	Project Coord	12	100%	59,534	19,282	78,816 12.00
TBN	PhD Student	9	100%	20,025	4,350	24,375 9.00
TBN	PhD Student	3	100%	6,675	1,450	8,125 3.00
TBN	PhD Student	9	100%	20,025	4,350	24,375 9.00
TBN	PhD Student	3	100%	6,675	1,450	8,125 3.00
TBN	MSW Student	9	100%	4,243	2,931	7,174 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	MSW Student	9	100%	4,243	2,931	7,174 9.00
TBN	MSW Student	3	0%	0	0	0 0.00
TBN	Contract Specialist	12	40.0%	21,649	7,218	28,867 4.80
TBN	Computer Personnel	12	25.0%	13,530	4,511	18,041 3.00
PERSONNEL				384,856	107,268	492,124
CONSULTANTS						
Total Consultants					5,000	5,000
EQUIPMENT						
Total Equipment						0
TRAVEL						
International & Local travel for 3 Pis					50,000	
Hotel for 3 Pis					30,000	
Ground Transport and food					20,000	
Total Travel						100,000
SUPPLIES						
Data collection supplies					6,000	
Computers					3,000	
Statistical software					10,000	
Total Supplies						9,000
OTHER EXPENSES						
PhD tuition					17,386	
Communication					2,000	
Publication costs					10,200	
Total Other Expenses						29,586
TOTAL Direct COSTS						635,710

NOTE: The space is the in-kind support that School of Social work will contribute to GSDI

Global Social Development Innovations Center
TOTAL PROJECT PERIOD: January 1 2016 to Dec 31 2020
PI: Gina Chowa

CONSTANTS

FY17

ANNUAL PERCENT SALARY INCREASE	1.02		
FULL TIME HEALTH INS.	5,659.00	12 month	
MEDICAL STAFF INS.	7,703.92	12 month	
POST DOC INS	4,310.16	12 month	
GRADUATE STUDENT INS	3,399.24	12 month	283.27
GRADUATE STUDENT TUITION	8,693.00	SOWO PhD	
FRINGE RATE	0.22883		
P&A FRINGE RATE	0.27962		
STUDENT & TEMP FRINGE RATE	0.08990		
HOURS/ACAD YEAR	1,560		
HOURS/12 MONTH YEAR	2,088	261	195.75
NIH Salary Cap	185,100		
NIH Salary Cap (9 months)	136,125		
NIH Salary Cap (3 months)	45,375		

	Type	FY12	Daily rate	Daily fringe
Gina Chowa	Regular 9 month	103,571	521.65	109.53
Gina Chowa	Regular 3 month	32,057		
Rain Masa	Regular 9 month	79,155	405.92	104.70
Rain Masa	Regular 3 month	26,385		
TBN	Regular 9 month	81,682		
TBN	Regular 3 month	27,227		
Sara Mitra	Regular 12 month	55,000		
Project Coordinator	Contract	9,750	25.00	30hrs per week for the summer
PhD Student	Student 9 month	18,500	94.87	22.31
PhD Student	Student 3 month	6,167		
MSW Student Program Assi	Student 9 month	3,920	28.00	16.65
MSW Student Program Assi	Student 3 month	6,720		
Contract Specialist	Regular 12 month	50,000	192.31	63.20
Computer Personnel	Regular 12 month	50,000	192.31	63.20

Travel

Trip to national conference x 1 person

Coach Fare Ticket	\$500 per trip	500
Hotel	\$180 night x 3 nights	540
University Per Diem	\$37.50 / day x 3 days	113
Mileage	36 mi to airport x .50	18
Parking	\$20/day x 3 days	60
Ground transportation	\$30 roundtrip to conference hote	30
Conference registration	\$420 conference registration fee	420
		1,681

Recommendations to Discontinue or Reclassify Centers and Institutes

The Centers and Institutes Review Committee recently has considered a number of requests to discontinue or reclassify certain pan-university and school-based centers and institutes. These requests were initiated in response to either (1) changes in operational status or (2) recent revisions of UNC General Administration *Regulations on Planning, Establishing, and Reviewing Centers and Institutes in the University of North Carolina* (UNC Policy Manual section 400.5[R]) and UNC-CH *Policies and Procedures Governing Centers and Institutes*. These policies now provide clearer definitions of the terms “center” and “institute” and make clear that their primary purpose is to facilitate cross-disciplinary or cross-unit collaboration.

The Committee recommends that the following nine units be discontinued or no longer classified as centers and institutes for the reasons given below and that they be removed from the official list of University centers and institutes. According to UNC-Chapel Hill policy and UNC General Administration regulations, decisions to discontinue a center or institute must first be approved by the Provost, and then by the Chancellor and Board of Trustees. If approved, we then will notify the Office of Research and Graduate Education at UNC General Administration.

Thank you for considering these recommendations and forwarding your determinations to the Chancellor and Board of Trustees for their consideration.

- ***Data Intensive Cyber Environments (DICE)***. Due to DICE’s limited size and scope, and following the retirement of its founding director, the Office of Research is reorganizing DICE’s activities under the auspices of other units, including the Renaissance Computing Institute (RENCI), the School of Information and Library Science, and other appropriate units. DICE wishes to retain its name; however, its activities will be embedded within other units and there is no longer a need for a stand-alone DICE.
- ***Center for Faculty Excellence (CFE)***. The CFE is UNC-Chapel Hill's pan-university faculty development center whose mission is to enable faculty members in all disciplines to reach their goals in teaching, research, and leadership throughout their careers. This unit provides focused services (professional development) to a specific university constituency (faculty), which is a type of unit that is exempted from classification as a center or institute under UNC-Chapel Hill policies. Similar faculty development units across the UNC system are not classified as centers or institutes under the terms of UNC General Administration policies, as they are seen as essential resources for faculty, not as vehicles for cross-disciplinary partnerships. Removing center and institute designation from this unit will in no way affect the level of oversight it is given. It would continue to report to the Vice Provost for Academic Initiatives, receive ongoing supervision, and be subject to regular review.
- The primary purpose of the ***Ackland Art Museum, Morehead Planetarium and Science Center, and NC Botanical Garden*** is “to ensure the professional curation of scientific, scholarly, natural, or cultural resources and collections and provide these to organizations and individuals within the university and/or in the larger community for the purposes of research, education, and public service” (*Policies and Procedures Governing Centers and Institutes*, p.2). As such, they do not meet the definition of center or institute as stated in the policies. Further, similar units across the

UNC system are not classified as centers or institutes. These include the Weatherspoon Art Museum at UNC-Greensboro and the JC Raulston Arboretum at NCSU. Removing center and institute designation from these units will in no way affect the level of oversight given to these units. They would continue to report to the Vice Provost for Academic Initiatives, receive ongoing supervision, and be subject to regular review.

- ***Institute on Aging***. This unit was disbanded by the Vice Chancellor for Research effective December 31, 2014. It was no longer able to attract external research funds to support its work and its state funds had been greatly reduced as a consequence of repeated state budget cuts. Its staff was let go and its office space, furnishings, and equipment were transferred to other Research offices. Remaining funds are being used to support the Partnerships in Aging Program, which provides faculty and students with opportunities to collaborate with and learn from innovative, community-based aging initiatives. The Institute on Aging was abolished as a University department on July 1, 2016.
- ***Carolina Center for Genome Sciences***, School of Medicine. This center achieved its ten-year goal of establishing genome sciences programs in various units across campus. Genomics has now become a common scientific principle and tool used in many different departments and centers across the University. The Center is therefore no longer necessary as it duplicates the mission and activities of many other units.
- ***Environmental Finance Center***, School of Government. This organization is called a center only because that is the designation used by its funder, the Environmental Protection Agency. Further, it is more accurately classified as a coordinating entity within a single department (the School of Government) as it does not play a cross-disciplinary role. Consequently, this unit does not meet the definition of center or institute and therefore is a type of organization that is exempt from the center and institute regulations of the UNC system and UNC-Chapel Hill.
- ***Carolina Vaccine Institute***, School of Medicine. Major supporting funds for this unit were terminated and it is no longer in operation.

Recommendation on Authorization to Plan the Global Business Center

Please refer to the memorandum of April 16, 2016 on the following page regarding the request for authorization to plan the Global Business Center. This is the first step in creating a new center or institute. Once planning has been completed, the Centers and Institutes Review Committee will consider a request for authorization to establish this center and will forward its recommendations to you.



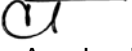
MEMORANDUM

104 SOUTH BUILDING
CAMPUS BOX 3000
CHAPEL HILL, NC 27599-3000

T 919.962.3907
F 919.962.1593
provost.unc.edu

TO: James W. Dean, Jr.,
Executive Vice Chancellor and Provost

CAROL P. TRESOLINI
Vice Provost for Academic Initiatives
carol_tresolini@unc.edu

FROM: Carol Tresolini 
Vice Provost for Academic Initiatives and Chair, Centers & Institutes Review
Committee

DATE: April 14, 2016

RE: Request for Authorization to Plan the Global Business Center

The Centers and Institutes Review Committee met recently to discuss a request submitted by Jay Swaminathan, GlaxoSmithKline Distinguished Professor of Operations, for authorization to plan the Global Business Center (GBC) within the Kenan-Flagler Business School. The GBC's mission would be to increase the global competency of business students, faculty, and staff, with a focus on emerging markets that are relevant to businesses in North Carolina and the United States. The GBC would coordinate cross-unit collaboration to advance Kenan-Flagler's global education strategy, support curricular development, and promote and disseminate research on global issues. In addition, the GBC would reach beyond the walls of the business school to serve and collaborate with partners across the University, the state, and worldwide. The GBC would be categorized as an instructional center but also would be engaged in research and public service.

The GBC's predecessor organization was the Center for International Business Education and Research (CIBER), which was funded entirely through the US Department of Education. That grant ended and activities previously funded by the grant are now supported by Kenan-Flagler Business School and the Office of the Executive Vice Chancellor and Provost. Funding currently totals \$212,500/year, plus in-kind support in the form of office space valued at \$4200/year. Funding from the Provost's Office of \$63,000/year will end after FY 2017-18.

The Committee supports this request for authorization to plan the Global Business Center. We ask for your approval and, if granted, that you then forward your recommendation to the Chancellor for her determination. Approval of this request would then need to be communicated to the Board of Trustees for their information, as directed by policies governing the establishment of new centers and institutes. If approval to plan is granted, the next step will be for Professor Swaminathan to request authorization to establish the Center. The Committee strongly recommends that the request for authorization to establish the GBC include a clear plan for funding the Center following cessation of support from our office.

I would be happy to provide additional information as needed. Thank you for considering this recommendation and forwarding your determination to the Chancellor for her consideration.

Attachment: Request for Authorization to Plan the Global Business Center

The University of North Carolina at Chapel Hill

EXECUTIVE SUMMARY

Board of Trustees

January 26, 2017

ATTACHMENT K

Appendix A

No.	College/Division	Name	Dept./School	Current Rank	New Rank	Tenure Request Reason	Effective Date	Salary
HR Actions								
New Appointments without Tenure								
1	Health Affairs	Jennifer Goralski	Medicine	Clinical Instructor	Assistant Professor		2/1/2017	\$157,100.00
2	Academic Affairs	China Medel	Communication	N/A	Assistant Professor		7/1/2017	\$67,750.00
Addition of Joint Appointment without Tenure								
0								
Promotion to Full Professor								
1	Health Affairs	Tal Kafri	Microbiology & Immunology	Associate Professor	Full Professor		2/2/2017	\$144,999.00
Reappointments to the same Rank								
1	Health Affairs	Elizabeth Shank	Microbiology & Immunology	Assistant Professor	Assistant Professor		1/1/2017	\$78,662.00
Designation/Reappointments to Departmental Chair								
1	Health Affairs	Morris Weinberger	Health Policy & Management	Distinguished Professor/Vice Chair	Chair		12/13/2016	\$221,945.00
Designation/Reappointments to Distinguished Professorship								
1	Health Affairs	Robert Creighton	Orthopaedics	Clinical Professor	Yeagan Distinguished Term Professor in Orthopaedics		1/27/2017	\$558,602.00
2	Health Affairs	Raj Pruthi	Urology	Professor	John Rhodes Distinguished Professorship of Urology		1/28/2017	\$532,308.89
Actions Conferring Tenure								
Promotion Conferring Tenure								
1	Health Affairs	Paul Armistead	Medicine	Assistant Professor	Associate Professor	Promotion based on excellence in clinical scholarship	3/1/2017	\$192,535.00
2	Health Affairs	Jia-Rong Wu	Nursing	Assistant Professor	Associate Professor	Promotion based on excellence in research	2/24/2017	\$81,450.00
New Appointments Conferring Tenure								
0								
Addition of Joint Appointment Conferring Tenure								
0								
Corrections								
0								

The University of North Carolina at Chapel Hill
EXECUTIVE SUMMARY
Board of Trustees
July 14, 2014

Appendix B

No.	College/Division	Name	School	Department	Rank	Reason	Requested Amount of Increase **	Percent of Increase **	June 30 Salary	Current Salary	New Salary	Effective Date
Compensation Actions							<p>* Available funding for each action has been confirmed by the appropriate Department and School/Division management officials to support the proposed salary increase. Upon implementation, specific funding sources are reviewed and approved at the Department level, as well as by the applicable University Central financial offices, including the University Budget Office and the Office of Sponsored Research for grant-funded salaries.</p> <p>** Based on cumulative increase(s) to 6/30 salary</p>					
1	Health Affairs	Jennifer Flythe	Medicine	Nephrology	Assistant Professor	Increase due to new secondary administrative appointments as Medical Director of Hemodialysis, and Co-Representative for the Division of Nephrology to the Department of Medicine Value Care Action Group	\$42,363	26.90%	\$157,500	\$169,863	\$199,863	1/1/2017
2	Academic Affairs	Jill Hamm	Education		Professor	Increase due to interim secondary appointment as Interim Associate Dean for Research & Faculty Development	\$26,573	25.34%	\$104,860	\$106,433	\$131,433	1/1/2017
3	Health Affairs	David Hemsey	Medicine	Hospital Medicine	Clinical Associate Professor	Increase due to new secondary administrative appointment as Chief of the new Division of Hospital Medicine	\$94,600	51.02%	\$185,400	\$234,867	\$280,000	1/1/2017
4	Academic Affairs	Jon McClanahan	Law		Clinical Associate Professor/Associate Dean/Assistant Dean	Increase due to temporary secondary appointment as Associate Dean for Administration, approved 7-1-2016, now becoming a long term secondary appointment	\$35,000	22.62%	\$154,750	\$189,750	\$189,750	3/1/2017
5	Academic Affairs	Zeynep Tufekcioglu	Information & Library Science		Associate Professor	Increase due to retention, as Professor Tufekcioglu received an external offers from the University of Michigan, the University of Virginia, and Rutgers	\$28,649	33.51%	\$85,500	\$93,493	\$114,149	12/1/2016
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No.	College/Division	Name	Department/School	Rank	Reason	Total Monetary Value of Non-Salary Compensation	Duration of Non-Salary Compensation	Effective Date	End Date
Non-Salary Compensation Actions									
0	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	NA

EXECUTIVE SUMMARY

Board of Trustees

July 14, 2014

No.	College/Division Name	Department/School	Rank	Description
For Information				
0	N/A	N/A	N/A	N/A

