



OFFICE OF UNIVERSITY DEVELOPMENT

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DAVID S. ROUTH

Vice Chancellor for University Development

MEMORANDUM

TO: Members of the Board of Trustees

FROM: David S. Routh

RE: Mail Ballot

DATE: February 5, 2015

The members of the UNC Board of Visitors have sadly lost another member this year. Carol Malloy, a retired faculty member in the UNC School of Education, who had received awards as an accomplished teacher, influential researcher and beloved mentor, passed away in Wilmington on January 17, 2015 after a short illness.

The members of the Board of Visitors have shared several notes with our staff and BOV Chair Rick Margerison about their interactions with Dr. Malloy and her husband, William, during Dr. Malloy's time on the Board of Visitors.

Carol Malloy still has a year left on her four-year term on the UNC Board of Visitors and we would like to invite her spouse, William Malloy, to serve the remainder of her term. Like his wife, Dr. Malloy is also a UNC School of Education retired faculty member and also an active donor to UNC. He often attended the meetings with Carol Malloy, and we feel he would be a welcomed addition to the Board of Visitors. Also, Dr. Malloy is from a part of the state that is less represented on the Board.

With this memo, you will receive a mail ballot requesting your approval to invite William Malloy to complete the term begun by Carol Malloy. Please respond with your vote.



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

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DAVID S. ROUTH

Vice Chancellor for University Development

Mail Ballot

Board of Trustees

February 5, 2015

Vice Chancellor David Routh submits for your review and approval the nomination of Dr. William Malloy to the UNC Board of Visitors in place of his late wife, Dr. Carol Malloy. This mail ballot will be approved as part of the Consent Agenda at the Full Board meeting on Thursday, March 26, 2015.

The undersigned votes as follows with recommendation to the proposed action as presented by Mr. Routh.

Approve Disapprove

Appointment of Dr. William Malloy to the
UNC Board of Visitors

☐☐

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 February 5, 2015 by the following: Lowry Caudill, Alston Gardner, Jeff Brown, Haywood Cochrane, Chuck Duckett, Peter Grauer, Steve Lerner, Dwight Stone and Andrew Powell.



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

CAROL L. FOLT
Chancellor

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CHAPEL HILL, NC 27599

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carol.folt@unc.edu

MEMORANDUM

TO: Members of the Board of Trustees
FROM: Carol L. Folt
RE: Mail Ballot
DATE: March 2, 2015

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:

EPA 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

February 26, 2015

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	Ian Martin	Medicine/Emergency Medicine	Clinical Assistant Professor	Associate Professor		3/1/2015	\$205,700.00
2	Health Affairs	Benjamin White	Public Health/Dentistry	Visiting Associate Professor	Associate Professor		3/1/2015	\$171,000.00
Addition of Joint Appointment without Tenure								
0	N/A							
Promotion to Full Professor								
1	Academic Affairs	Jennifer Arnold	Psychology	Associate Professor	Professor		7/1/2015	\$87,500.00
2	Health Affairs	Linmarie Sikich	Psychiatry	Associate Professor	Professor		3/1/2015	\$167,389.00
Reappointments to the same Rank								
1	Academic Affairs	Kurt Gray	Psychology	Assistant Professor	Assistant Professor		7/1/2016	\$82,500.00
2	Health Affairs	Shawn Hingtgen	Pharmacy	Assistant Professor	Assistant Professor		3/31/2016	\$108,854.00
3	Academic Affairs	Kristen Lindquist	Psychology	Assistant Professor	Assistant Professor		7/1/2016	\$82,500.00
4	Health Affairs	Christopher Shea	Health Policy & Management	Assistant Professor	Assistant Professor		7/1/2016	\$113,400.00
5	Academic Affairs	Kai Zhang	Statistics & Operations Research	Assistant Professor	Assistant Professor		7/1/2016	\$83,070.00
Designation/Reappointments to Departmental Chair								
1	Health Affairs	Mac Greganti	Medicine	Distinguished Professor	Interim Chair		12/1/2014	\$327,112.00
2	Academic Affairs	Elizabeth Olson	Global Studies	Associate Professor	Acting Department Chair		1/1/2015	\$91,500.00
3	Health Affairs	Steven Offenbacher	Dentistry	W.R. Jr. Kenan Professor	Chair		6/1/2015	\$257,985.00
4	Academic Affairs	Jeff Spinner-Haley	Political Science	Distinguished Professor	Interim Department Chair		1/1/2015	\$145,530.00
5	Health Affairs	John Wright	Dentistry	Professor	Interim Chair		10/1/2014	\$233,330.00
Designation/Reappointments to Distinguished Professorship								
1	Academic Affairs	Whitney Afonso	Government	Assistant Professor	Albert & Gladys Coates Distinguished Term Assistant Professor		3/1/2015	\$87,734.00
2	Health Affairs	George Blakey	Dentistry	Clinical Associate Professor	Raymond P. White Distinguished Term Clinical Associate Professor		4/1/2015	\$397,751.00
3	Academic Affairs	Leisha DeHart-Davis	Government	Associate Professor	Albert & Gladys Coates Distinguished Term Associate Professor		3/1/2015	\$118,594.00
4	Academic Affairs	Norma Houston	Government	Lecturer	Albert & Gladys Coates Distinguished Term Lecturer		3/1/2015	\$189,741.00
5	Academic Affairs	Adam Lovelady	Government	Assistant Professor	Albert & Gladys Coates Distinguished Term Assistant Professor		3/1/2015	\$93,544.00
6	Academic Affairs	James Markham	Government	Associate Professor	Albert & Gladys Coates Distinguished Term Associate Professor		3/1/2015	\$98,965.00

EXECUTIVE SUMMARY

Board of Trustees

February 26, 2015

No.	College/Division	Name	Dept./School	Current Rank	New Rank	Tenure Request Reason	Effective Date	Salary
7	Academic Affairs	C. Tyler Mulligan	Government	Associate Professor	Albert & Gladys Coates Distinguished Term Associate Professor		3/1/2015	\$122,498.00
8	Health Affairs	Victoria Soltis-Jarrett	Nursing	Clinical Professor	Carol Morde Ross Distinguished Professorship		3/1/2015	\$99,009.00
Actions Conferring Tenure								
Promotion Conferring Tenure								
1	Academic Affairs	Charlotte Ann Boettiger Cooney	Psychology	Assistant Professor	Associate Professor	Promotion based on outstanding achievements in research, teaching, mentoring, and service	7/1/2015	\$100,750.00
2	Health Affairs	Anne Sanders	Dentistry	Assistant Professor	Associate Professor	Promotion based on meeting the departmental expectations in research/scholarship, teaching, and service	1/23/2015	\$93,210.00
3	Health Affairs	Andrew Wang	Radiation Oncology/Pharmacy	Assistant Professor	Associate Professor	Promotion based on excellence in research	2/27/2015	\$240,000.00
New Appointments Conferring Tenure								
1	Health Affairs	Todd Baron, Sr.	Medicine	Visiting Professor	Professor	Promotion based on excellence in clinical scholarship	3/1/2015	\$340,000.00
Addition of Joint Appointment Conferring Tenure								
1	Health Affairs	Yufeng Liu	Genetics	Professor	Professor	Joint appointment based on excellence in research	2/28/2015	\$170,000.00
Extension Request - Request for an additional year of leave								
1	Academic Affairs	Sudhanshu Handa	Public Policy	Professor	N/A	N/A	NA/	N/A
Corrections								
1	Academic Affairs	Anne Coble	Dramatic Art	Distinguished Term Professor	Acting Department Chair (adding "acting" - it was omitted on the last agenda)		1/1/2015	\$87,658.00
2	Health Affairs	Andy Kiser	Medicine	Clinical Professor	Byah Thomason Sanford-Doxey Distinguished Professor		3/1/2015 (Updating effective date)	\$600,000.00

EXECUTIVE SUMMARY

Board of Trustees

July 14, 2014

No.	College/Division	Name	Department/School	Rank	Reason	Requested Increase Amount	Percent of Increase	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>				
1	Health Affairs	Maurice Brookhart	Public Health	Associate Professor	Increase due to promotion from Associate Professor to Professor	\$22,909	14.90%	\$155,751	\$178,660	4/1/2015
2	Health Affairs	Rebecca Cleveland	Medicine	Social/Clinical Research Specialist	Increase due to new appointment as Research Assistant Professor	\$11,136	15.08%	\$73,684	\$85,000	4/1/2015
3	Academic Affairs	Dana Griffin	Education	Associate Professor	Increase due to retention; Dr. Griffin is being actively recruited	\$5,000	10.34%	\$81,972	\$86,972	2/1/2015
4	Academic Affairs	MartINETTE Horner	Education	Clinical Assistant Professor	Increase due to administrative appointment as Director of Outreach	\$7,800	12.41%	\$96,408	\$104,208	4/1/2015
5	Health Affairs	Michele Jonsson-Funk	Public Health	Research Assistant Professor	Increase due to promotion to Research Associate Professor	\$13,626	14.90%	\$91,452	\$105,078	4/1/2015
6	Health Affairs	Justin Myers	Medicine	Clinical Instructor	Increase due to new appointment as Clinical Assistant Professor	\$110,000	157.14%	\$70,000	\$185,000	7/1/2015
7	Health Affairs	Victoria Soltis-Jarrett	Nursing	Clinical Professor	Increase due to appointment as Carol Morde Ross Distinguished Professor	\$10,000	13.45%	\$99,009	\$109,009	3/1/2015
8	Health Affairs	Jill Stewart	Public Health	Associate Professor	Increase due to promotion from Assistant to Associate Professor in July 2014; increase wasn't requested at that time due to system changeover and ARP	\$3,486	3.69%	\$109,514	\$113,000	4/1/2015
9	Health Affairs	Annelies Van Rie	Public Health	Professor	Increase due to promotion from Associate Professor to Professor in Dec 2014; increase wasn't requested at that time due to ARP	\$22,452	14.90%	\$150,684	\$173,136	4/1/2015
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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	N/A



THE UNIVERSITY
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at CHAPEL HILL

CAROL L. FOLT
Chancellor

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Mail Ballot
Board of Trustees
March 2, 2015

Chancellor Carol Folt submits for your review and approval the EPA Faculty Personnel Actions as recommended for February 2015. This mail ballot will be approved as part of the Consent Agenda at the Full Board meeting on Thursday, March 26, 2015.

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

	Approve	Disapprove
EPA 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 March 4th, 2015 by the following: Lowry Caudill, Alston Gardner, Sallie Shuping-Russell, Jeff Brown, Phil Clay, Haywood Cochrane, Chuck Duckett, Peter Grauer, and Steve Lerner.

ATTACHMENT B

ADOPTION OF THE ORDINANCE REGULATING TRAFFIC AND PARKING

Attached is the Ordinance Regulating Traffic and Parking having an effective date of August 15, 2015. Changes from the existing Ordinance are:

1. Update name to Transportation & Parking
2. Clarification for definition of motorcycle and motorized two-wheeled vehicles
3. Add/Remove payment methods
4. Remove/Update Zone identifiers
5. Delete pricing for 2013-14 & 2014-15
6. Delete references to Night Parking Fee
7. Increase daily maximum for south campus hourly pay lots from \$8 to \$10

Approved as part of the 2011-12 Ordinance changes incorporating the Transportation & Parking 5-Year Plan:

- 2% Increase in permit prices for 2015-16

Recommended Action:

A motion to adopt The Ordinance Regulating Traffic and Parking effective August 15, 2015.

The Ordinance Regulating Traffic and Parking on the Campus of The University of North Carolina at Chapel Hill

INTRODUCTION

This Ordinance defines the general operations and policies for traffic and parking on the campus of The University of North Carolina at Chapel Hill. The provisions set forth in this Ordinance are designed to ensure the safety and protection of all users of the system.

Effective Date - August 15, ~~2013~~2015

Be it ordained by the Board of Trustees of The University of North Carolina at Chapel Hill, pursuant to Chapter 116, Article 1, Part 6 of General Statutes of North Carolina:

ARTICLE I. GENERAL PROVISIONS

Sec. 1-1. Definitions

The words and phrases defined in this section have the meaning indicated when used in this Ordinance, unless the context clearly requires another meaning:

1. *"Bicycle"* means every device propelled by human power upon which any person may ride, and supported by either two tandem or three wheels, one of which is sixteen inches or more in diameter. "Abandoned bicycles" are those which have not been moved from the same location for a period of two weeks or longer.

2. *"Booting"* means to immobilize a Vehicle through the use of a device designed to be attached to the rear tire or wheel to render the Vehicle inoperable.

3. *"Campus"* means all property that (i) is owned or leased in whole or in part by The State of North Carolina and (ii) is subject to the general oversight of the Board of Trustees of the University excepting and excluding:

- (a) property leased to another not located within one of the areas set out in Sec. 3-3;
- (b) the University Lake watershed; and
- (c) property held for use as an official residence for administrative officers of the University.

4. *"Chancellor"* means the Chancellor of the University.

5. *"Electric Two-Wheeled Vehicle"* means any Motorized Two-Wheeled Vehicle that is propelled by means of a battery powered motor, including, without limitation, Segways.

6. *"Electric Vehicle"* means any Vehicle that is propelled, partially or exclusively, by means of a battery powered motor.

7. *"Internal Combustion Two-Wheeled Vehicle"* means any Motorized Two-Wheeled Vehicle that is propelled by means of an internal combustion motor, including, without limitation, motorcycles, mopeds, motorbikes, and scooters.

8. *"Motorcycle"* means any Motorized Two-Wheeled Vehicle that ~~is required to be registered with the North Carolina Division of Motor Vehicles in order for the operator to lawfully drive it, pursuant to Chapter 20, Article 3, Part 3 of the North Carolina General Statutes~~ has an engine size exceeding 150 cubic centimeters.

9. *"Motorized Two-Wheeled Vehicle"* means any two-wheeled (or three-wheeled) Vehicle that is self-propelled by means of an internal combustion motor or a battery powered motor, ~~is not subject to North Carolina motor vehicle registration and licensing regulations,~~ and is capable of carrying passenger(s), including, without limitation, Internal Combustion Two-Wheeled Vehicles and Electric Two-Wheeled Vehicles.

10. *"Park"* means to leave a Vehicle unattended by any person authorized to, or capable of, moving it immediately upon the direction of a law enforcement or parking control officer. Notes in Vehicles, activated hazard lights, or a running engine do not render a Vehicle "attended."

11. *"Parking Coordinator"* means a department-assigned staff member who acts as a liaison with the University Department of ~~Public Safety~~[Transportation and Parking](#).

12. *"Parking Permit"* means any identification assigned by the ~~University~~ Department of ~~Public Safety~~[Transportation and Parking](#) to be displayed on a Vehicle for parking legally on the campus.

13. *"State-owned Vehicles"* are all Vehicles, including service Vehicles, owned by the State of North Carolina.

14. *"University"* means The University of North Carolina at Chapel Hill.

15. *"Vehicle"* means any device by which a person may be transported upon a roadway, except (a) bicycles and other devices moved by human power, and (b) devices used as a means of transportation by a person with a mobility impairment and limited by design to travelling no more than 15 miles per hour.

16. *"Visitor"* means any individual other than a student or employee of either the University or UNC Hospitals and any of their contract or temporary employees.

Sec. 1-2. North Carolina Motor Vehicle Laws; Regulating; Delegating of Authority

1. The laws and regulations of Chapter 20 of the General Statutes of the State of North Carolina relating to the use of highways of the State and the operation of motor vehicles thereon apply to all streets, alleys, driveways, parking lots, and parking structures on University property.

2. The Chancellor is authorized to adopt and promulgate such rules and regulations and to establish such administrative procedures as he/she may deem necessary or advisable for the administration, interpretation, and enforcement of this Ordinance.

3. The Chancellor may delegate administrative responsibilities imposed on him/her by this Ordinance to the Director of Public Safety, the Director of [Transportation and Parking Services](#), and other officers of the University that the Chancellor may choose.

4. The Department of ~~Public Safety~~[Transportation and Parking](#) operates twenty-four hours a day, seven days a week. In-office customer service is available from 7:30 a.m. until 5:00 p.m., Monday through Friday, except on University-recognized holidays and as otherwise posted. Regulations may be enforced at any time deemed necessary by special event activities or other circumstances.

Sec. 1-3. Posting Notice of Ordinance and Regulations

The Chancellor, through his/her designated administrative officers, shall cause to be posted a public notice of traffic and parking restrictions imposed by or pursuant to the authority of this Ordinance and by Chapter 116, Article 1, Part 6 of the General Statutes of North Carolina. Once posted, these restrictions are in effect at all times unless otherwise stated.

Sec. 1-4. Publications of Ordinance and Regulations

The Chancellor, through his/her designated administrative officers, shall cause copies of this Ordinance and regulations issued pursuant hereto to be printed and made available to students, faculty, and employees of the University in the lobby of the Department of Public Safety building. In addition, this Ordinance shall be posted on the website of the Department of ~~Public Safety~~[Transportation and Parking](#).

Sec. 1-5. Filing of Ordinance and Regulations

A copy of this Ordinance and all regulations issued hereunder, except temporary police regulations, shall be filed in:

1. the Office of the President of The University of North Carolina;
 2. the Office of the Chancellor of The University of North Carolina at Chapel Hill;
 3. the Office of the Secretary of the State of North Carolina;
 4. the Office of the University Director of ~~Public Safety~~[Transportation and Parking](#);
- and
5. the Office of Student Affairs.

Sec. 1-6. Liability

The University assumes no liability or responsibility for damage or theft to any Vehicle parked in or on University properties subject to the jurisdiction or control of the Board of Trustees of the University. The provisions of this Ordinance shall apply to all operators of all Vehicles, public and private, and they shall be enforced twenty-four hours a day except as otherwise specified by this Ordinance. It shall be unlawful for any operator to violate any of the provisions of this Ordinance except as otherwise permitted by The Ordinance or General Statutes of North Carolina.

The operator of any Vehicle shall obey the lawful instruction of any law enforcement officer, parking control officer, official traffic signs or control devices appropriately placed and in accordance with provisions of these regulations.

Sec. 1-7. Cooperation with Civil Authorities

The Chancellor and his/her designated administrative officers shall cooperate with all law enforcement authorities of the State of North Carolina and its political subdivisions in enforcing this Ordinance and issuing regulations hereunder. When the Town of Chapel Hill enacts an Ordinance that, pursuant to G.S. 116.44.5, supersedes any portion of this Ordinance or any regulation issued hereunder, the Chancellor's designated administrative officers shall, upon receiving a copy of such Ordinance from the town clerk, immediately cause to be removed all parking meters, signs and other devices or markings erected or placed on a public street by authority of the superseded Ordinance or regulations.

Sec. 1-8. Rules of Evidence

When a Vehicle is found to be in violation of this Ordinance it shall be considered prima facie evidence that the Vehicle was parked by:

1. The person to whom University parking permit for the Vehicle is registered;
2. If no parking permit has been issued for the Vehicle, the person, company, corporation or firm in whose name the Vehicle is registered with the North Carolina Division of Motor Vehicles or the corresponding agency of another state or nation; or
3. The son, daughter, spouse, or ward of the registered owner enrolled in or employed with the University or UNC Hospitals.

The prima facie rule of evidence established by this Section 1-8 shall not apply to the registered owner of a leased or rented Vehicle when said owner can furnish evidence that the Vehicle was, at the time of the parking violation, leased or rented, to another person. In such instances, the owner of the Vehicle shall, within reasonable time after notification of the parking violation, furnish the Department of ~~Public Safety~~Transportation and Parking with the name and address of the person or company who leased or rented the Vehicle.

Sec. 1-9. Trust Accounts

All monies received pursuant to this Ordinance, except for the clear proceeds of civil penalties that are required to be remitted to the Civil Penalty and Forfeiture Fund in accordance with G.S. 115C-457.2, shall be placed in trust accounts and may be used for the following purposes:

1. to defray the cost of administering and enforcing this Ordinance and Chapter 116, Article 1, Part 6 of the General Statutes of North Carolina;
2. to develop, maintain, and supervise parking lots, areas and facilities;

3. to provide bus service or other transportation systems and facilities, including payments to any public or private transportation system serving University students, faculty, or employees;

4. as a pledge to secure revenue bonds for parking facilities issued under Chapter 116, Article 21, of the General Statutes of North Carolina; and/or

5. for any other purpose related to parking, traffic, and transportation on the campus as authorized by the Chancellor or his/her designated administrative officers.

Sec. 1-10. Parking on Streets or Roads of the Town of Chapel Hill

Except as expressly permitted by this Ordinance, it is unlawful for any person to park a Vehicle:

1. on the campus of the University; or
2. on those portions of the following streets in the Town of Chapel Hill where parking is not prohibited by The Ordinance of the Town of Chapel Hill:
 - a. both sides of Battle Lane for its entire length;
 - b. both sides of South Road from Country Club Road to South Columbia Street;
 - c. both sides of Country Club Road from Raleigh Street to South Road;
 - d. both sides of Raleigh Street for its entire length;
 - e. both sides of Pittsboro Street for its entire length;
 - f. both sides of Boundary Street from East Franklin Street to Country Club Road;
 - g. both sides of Park Place for its entire length;
 - h. both sides of South Columbia Street from East Franklin Street to Manning Drive;
 - i. both sides of Cameron Avenue from Raleigh Street to South Columbia Street;
 - j. both sides of McCauley Street from South Columbia Street to Pittsboro Street;
 - k. both sides of Ridge Road between Country Club Road and Manning Drive; and
 - l. all sidewalks.

Nothing in this Ordinance shall be construed as recognition by the Board of Trustees of the University as a prescriptive easement in any street specifically named herein.

ARTICLE II. PAYMENTS AND COLLECTIONS

Sec. 2-1. Payment Methods

Payments owed to the ~~University~~ Department of ~~Public Safety~~ Transportation and Parking may be made in the following ways (the Department of Transportation and Parking reserves the right to change payment methods for operational efficiency):

1. Cash (not recommended to be sent through the mail) except unrolled coins (receipts will not be given until coins are properly rolled);
2. Checks or money orders (payable to the ~~University~~ Department of ~~Public Safety~~ Transportation and Parking);
3. University and UNC Hospitals Payroll Deduction;

4. University ~~Account Adjustment Request (AJ-1)~~[Journal Entry](#) (to be used by University departments for transferring funds);
5. University Departmental Direct Fund Transfers (following DPS Accounting Services guidelines);
6. [Department Validation Coupons](#)
7. ~~6.~~ MasterCard/VISA;
8. ~~7.~~ UNC - One Card;
8. ~~8.~~ ~~Cash keys (meter activation);~~
9. On-line payments; and
10. Automated pay stations.

Sec. 2-2. Pay Lots After-Hours

1. Vehicles Exiting Unattended Pay Lots After-Hours. Vehicles exiting pay parking lots after pay attendant operations have closed and when the gates are lowered must pay for all parking fees incurred by utilizing the automated pay stations to process their payment for parking fees.
2. Failure to Pay Upon Exiting a Pay Lot. The owner of any Vehicle exiting a visitor or patient parking facility without paying or otherwise having parking validated will be sent a billing notice for a full day's parking.

Sec. 2-3. Replacement Fee

A lost or stolen parking permit must be reported immediately to the Department of ~~Public Safety~~[Transportation and Parking](#) and an affidavit must be filed. A lost permit will be replaced at a charge of \$25.00 or the face value of the permit, or whichever is less. The replacement fee shall be refunded if the missing permit is found and returned to the Department of ~~Public Safety~~[Transportation and Parking](#).

A permit reported stolen will be replaced free of charge on a one time only basis. In order for a stolen permit to be replaced free of charge, a police report must be filed for such permit. Permits reported lost or stolen may not be replaced without the approval of the Director of the Department of ~~Public Safety~~[Transportation and Parking](#) or his/her designee.

Sec. 2-4 Returned Checks

Any payment made by a check that is returned by the bank and not cleared upon notification shall necessitate that a hold be placed with the University Registrar or that the amount be deducted from an employee's paycheck. Returned checks of non-affiliated individuals or companies will be forwarded to a collection agency if not cleared upon notification. A \$25.00 service charge shall be imposed for all returned checks.

Sec. 2-5 Collection Methods

No parking permit may be issued to any individual who has outstanding debts to the Department of ~~Public Safety~~Transportation and Parking. The Department of ~~Public Safety~~Transportation and Parking may reduce or retain any refund from the cancellation of a permit to clear all outstanding balances associated with the account. Failure to pay debts within the required time frame can result in the University arranging for the collection of fees assessed against faculty, staff, students, and visitors in the following manner:

1. Debts owed by employees of the University and UNC Hospitals may be deducted from payroll checks.
2. Debts owed by students necessitates that a “hold” status be placed with the University Registrar.
3. The Attorney General for the State of North Carolina may recommend the use of a collection agency to collect debts from individuals whose debts may not be collected by payroll deduction or by other means.
4. Failure to pay civil penalties or other just debts owed to the Department of ~~Public Safety~~Transportation and Parking within ten calendar days of the date of the citation(s) or incurrence of the debt will result in a \$10.00 late payment fee being assessed on each unpaid citation or other transaction.
5. Debts owed by individuals not eligible for payroll deduction may be subject to garnishment of North Carolina State income tax refund.

Sec. 2-6 Civil Suits for Recovery of Penalties

When the Chancellor in his sole judgment determines that civil penalties validly imposed for violation of this Ordinance cannot or will not be collected through normal administrative procedures, he may request the Attorney General of North Carolina to bring a civil action against the offender in the name of the State for the recovery of the penalty.

ARTICLE III. PARKING

Sec. 3-1. Method of Parking

The Chancellor, or his/her delegates, shall cause each area in which parking is permitted by this Ordinance to be surveyed and developed for parking. Each parking space shall be defined by appropriate signs and painted lines (when the parking area is paved). Parking spaces in unpaved lots will be marked by wheelstops. When parking spaces have been marked off in the area in which parking is lawful, Vehicles shall be parked within the spaces so designated at all times.

1. Some spaces shall be marked for compact Vehicles. These spaces shall be fifteen feet in length and five feet in width, with two and one-half feet of hatching between spaces. It is unlawful for any Vehicle to occupy more than the five-foot portion of the space. Signs shall be posted or on-ground markings shall designate compact spaces.

2. It is a violation of this Ordinance to occupy portions of more than one space when such spaces are defined by painted lines. It is also a violation of this Ordinance to park in any portion of the area not clearly designated for parking.

3. When spaces are painted at an angle (diagonally) to a street curb or dividing median, Vehicles must park with the front of the Vehicle next to the curb or median. When parking spaces are parallel to a curb or dividing median, Vehicles must park with the front of the Vehicle facing the direction of travel authorized for that side of the street or driveway.

Sec. 3-2. Disabled Vehicles

It is unlawful to leave a disabled Vehicle parked in violation of this Ordinance without immediately notifying the Department of ~~Public Safety~~[Transportation and Parking](#). If the Vehicle is obstructing traffic, in a reserved space, or creating a hazard, it must be moved immediately.

No Vehicle will be placed on the disabled Vehicle list more than one time per month unless the operator will accept assistance from the Department of ~~Public Safety~~[Transportation and Parking](#) or a tow firm. Persons who exceed the limitations for placing their Vehicle on the disabled list and do not accept assistance shall be subject to the appropriate penalty if the Vehicle remains parked in violation of this Ordinance. If the Department of ~~Public Safety~~[Transportation and Parking](#) has permits available for the lot in which the Vehicle is parked, the operator may be required to purchase a permit rather than be placed on the disabled list.

Sec. 3-3. Parking Zones

Any person parking a Vehicle in the parking lots and areas described in this Section 3-3 must display the appropriate permit for that lot or parking area during those days and hours specified at the entrance to such lots or areas. Any Vehicle parked without displaying a valid permit is subject to the issuance of a civil penalty, Vehicle immobilization/booting, and/or towing.

If the assigned zone is full, a temporary permit for an alternate zone may be obtained from the [Department of Transportation and Parking in the](#) Public Safety ~~Department~~[building](#) located off Manning Drive. UNC Hospitals' employees may obtain temporary permits from the Hospital Parking Office.

It is unlawful to park a Vehicle within any zone other than the one authorized by permit, as displayed on the registered Vehicle. Vehicles displaying a valid special permit obtained through the ~~University~~ Department of ~~Public Safety~~[Transportation and Parking](#) may park as indicated by use of those permits and their related restrictions. All main campus permits shall also be valid in any R Zone lot.

A guide that summarizes the regulations and a map depicting the University's parking zones is available ~~at~~[on](#) the Department of ~~Public Safety~~[Transportation and Parking website](#). The University's parking zones are as follows:

Zone A	Aycock Circle		McCauley Deck
Zone A	Battle Lane	Zone MD	
Zone A	Spencer	Zone ND	Cobb Deck
	Business School Deck	Zone NG1	Swain
Zone BD		Zone NG3	Caldwell
Zone BTD	Bell Tower	Zone NG3	Steele
	Areas designated by bicycle racks or specifically designated bicycle	Zone N1	440 North
		Zone N1	440 South
		Zone N2	Morehead Planetarium
Zone Bicycle		Zone N2	Porthole
	Chatham County Park and Ride	Zone N3	Alumni Place
Zone CAP <u>PR</u>		Zone N3	Bynum
			Emerson Drive
Zone CAP <u>PR</u>	Friday Center Park and Ride	Zone N3	Hickerson House
Zone CAP <u>PR</u>	Franklin Street Park and Ride	Zone N3	Lenoir Drive
Zone CAP <u>PR</u>	Hedrick Park and Ride	Zone N3	Love House
		Zone N3	Peabody
	725 Martin Luther King Blvd.		Boundary Street
Zone CAP <u>PR</u>		Zone N5	Forest Theater
Zone CD	Craige Deck	Zone N5	Park Place
Zone CG	Helipad		
			University Relations
Zone FC	Fraternity Court	Zone N7	
		Zone N7	Nash
Zone FG	EPA Gated		Undergraduate Library
Zone JD	Jackson Deck	Zone N8	
Zone K	Ehringhaus		International Studies
Zone KSD	Knapp-Sanders Deck	Zone N9	
			University Development
Zone L	Craige	Zone N10	
Zone L	Morrison Circle	Zone N11	New Venable
		Zone NP	Night Parking
Zone M	Hinton James	Zone PD	Cardinal Deck
	Those areas posted or specifically designated for Motorized Two-Wheeled Vehicles	Zone RD	Rams Head Deck
		Zone RR	Estes Resident
		Zone R1	Electrical Distribution
Zone MC			
		Zone R1	Energy Services

Zone R1	Physical Plant	Zone S3	Knapp
Zone R2	Art Building	Zone S3	Law School
Zone R2	Administrative Office Building	Zone S3	Navy Field
		Zone S3	Ridge Road
		Zone S3	Law Programs
Zone R3	Cameron-Graham	Zone S4	Stadium Drive
Zone R3	Cogeneration Facility	Zone S4	Avery
Zone R4	Frank Porter Graham	Zone S5	Carmichael Drive
		Zone S6	Bioinformatics
Zone R5	200 Finley Golf Course Road	Zone S6	EPA
		Zone S6	EPA Loading
		Zone S6	Glaxo
Zone R5	212 Finley Golf Course Road	Zone S6	Isaac Taylor
			Mason Farm Road
		Zone S6	South Chiller
Zone R5	220 Finley Golf Course Road		Kenan Field House
		Zone S8	
		Zone S9	Dean E. Smith
Zone R6	Continuing Education	Zone S10	Boshamer
Zone R6	Day Care Center	Zone S11	Bowles
Zone R6	School Leadership Program	Zone S11	Manning
		Zone S11	Smith
		Zone S11	Williamson
R6	ZZone WUNC	Zone S12	Bernard Street
Zone R7	Bolin Creek	Zone S12	Branson Street
Zone R7	725 Airport Rd.	Zone S12	Community Building
Zone R8	Hedrick Building	Zone S12	Hibbard Drive
		Zone S12	Jackson Circle
Zone R9	Cone Tennis Facility	Zone S12	Mason Farm Road
Zone R10	Chapel Hill North	Zone S12	Branson Overflow
Zone R11	Homestead		Community Building
Zone R12	Carolina North	Zone S12	Mason Farm Overflow
Zone SFH	Baity Hill	Zone S12	
Zone SFH	Mason Farm Residence	Zone T	Outdoor Recreation
Zone S1	Public Safety	Zone W	Beard

Pursuant to Section 1-2, the Chancellor, through his/her delegated administrative officers, may modify parking zones, by adding or deleting University parking areas from such zones, and may change traffic flow patterns and hours of operation as deemed necessary or advisable for the administration or enforcement of this Ordinance.

Sec. 3-4. Parking Fees

1. Parking Permit Fees. Parking permit fees for employees are established based on an employee's base salary as of April 1st prior to the beginning of the permit year. The salary scale determined on April 1st will be used for the entire permit year and will not change if salary changes occur during the permit year. If an employee's employment begins after April 1st, the employee's starting day base salary will be used to determine the parking permit fee.

The student parking permit fees shall be charged as follows:

Student Academic Year Parking Permit Pricing (excluding Summer Sessions)			
Permit Type	2013-2014	2014-2015	2015-2016
Reserved	\$ 699	\$ 713	\$ 727
Gated	\$ 564	\$ 575	\$ 587
Non Gated	\$ 429	\$ 438	\$ 447
RR (Estes Drive)	\$ 324	\$ 331	\$ 337
CAPPR	\$ 227	\$ 227	\$ 227
NP (Night Parking)*	\$ 0	\$ 0	\$ 227
Motorcycle Permit (no on-campus permit)	\$ 179	\$ 182	\$ 186
Motorcycle (with on-campus permit)	\$ 45	\$ 46	\$ 47
Motorized Two-Wheeled Vehicle (non-Motorcycle)	\$ 24	\$ 25	\$ 25
Electric Vehicle Charging Station Decal**	\$250	\$255	\$ 260

* ~~This fee for student NP permits (Night Parking) will be waived if a student parking fee is implemented as part of the required set of fees applicable to all students so long as it generates at least an equivalent amount of proceeds.**~~ The Electric Vehicle charging station decal fee is supplemental to the base parking permit fee. Electric Vehicle users who have purchased this decal are entitled to use the charging station equipment/space and receive electricity to recharge their Vehicle's battery. After the battery has been fully charged, Electric Vehicle users are encouraged to relocate their Vehicle to a different location in the parking facility to allow other Electric Vehicle users access to the charging station.

The employee parking permit fees shall be charged as follows:

Employee Parking Permit Pricing				
Permit Type	Salary Scale (in thousands)	2013-2014	2014-2015	2015-2016
ALG/RS	<\$25	\$1,024	\$1,045	\$1,065
	\$25-<\$50	\$1,126	\$1,149	\$1,172
	\$50-\$100	\$1,422	\$1,450	\$1,479
	>\$100	\$2,197	\$2,241	\$2,286
ALG	<\$25	\$ 768	\$ 783	\$ 799
	\$25-<\$50	\$ 846	\$ 862	\$ 880
	\$50-\$100	\$1,066	\$1,087	\$1,109
	>\$100	\$1,647	\$1,680	\$1,714
Reserved	<\$25	\$ 690	\$ 703	\$ 717
	\$25-<\$50	\$ 761	\$ 776	\$ 792
	\$50-\$100	\$ 960	\$ 979	\$ 999
	>\$100	\$1,483	\$1,513	\$1,543
Gated	<\$25	\$ 557	\$ 568	\$ 579
	\$25-<\$50	\$ 614	\$ 626	\$ 639
	\$50-\$100	\$ 775	\$ 791	\$ 807
	>\$100	\$1,197	\$1,221	\$1,246
Non Gated	<\$25	\$ 423	\$ 432	\$ 440
	\$25-<\$50	\$ 466	\$ 475	\$ 485
	\$50-\$100	\$ 587	\$ 598	\$ 610
	>\$100	\$ 907	\$ 925	\$ 943
AM, PM, NR, SR, PDV	<\$25	\$ 318	\$ 325	N/A <u>\$ 332</u>
	\$25-<\$50	\$ 349	\$ 356	N/A <u>\$ 363</u>
	\$50-\$100	\$ 441	\$ 450	N/A <u>\$ 459</u>
	>\$100	\$ 681	\$ 695	N/A <u>\$ 709</u>
PM ALG	N/A	\$ 318	\$ 325	\$ 331
CAPPR ※	<\$25	\$ 227	\$ 227	\$ 227

Employee Parking Permit Pricing				
Permit Type	Salary Scale (in thousands)	2013-2014	2014-2015	2015-2016
	\$25-<\$50	\$ 250	\$ 250	\$ 250
	\$50-\$100	\$ 300	\$ 300	\$ 300
	>\$100	\$ 390	\$ 390	\$ 390
NP (Night Parking)	<\$25	\$ 0	\$ 0	\$ 227
	\$25-<\$50	\$ 0	\$ 0	\$ 250
	\$50-\$100	\$ 0	\$ 0	\$ 300
	>\$100	\$ 0	\$ 0	\$ 390
Motorcycle Permit (no on-campus permit)	<\$25	\$ 177	\$ 181	\$ 185
	\$25-<\$50	\$ 194	\$ 198	\$ 202
	\$50-\$100	\$ 245	\$ 250	\$ 255
	>\$100	\$ 378	\$ 386	\$ 394
Motorcycle Permit (with on-campus permit)	<\$25	\$ 41	\$ 42	\$ 42
	\$25-<\$50	\$ 45	\$ 46	\$ 47
	\$50-\$100	\$ 55	\$ 56	\$ 57
	>\$100	\$ 85	\$ 86	\$ 88
Motorized Two-Wheeled Vehicle (non-Motorcycle) Permit	<\$25	\$ 24	\$ 25	\$ 25
	\$25-<\$50	\$ 24	\$ 25	\$ 25
	\$50-\$100	\$ 24	\$ 25	\$ 25
	>\$100	\$ 24	\$ 25	\$ 25
Electric Vehicle Charging Station Decal**	N/A	\$ 250	\$ 255	\$ 260

~~* For 2013-2014, this fee for CAP permits applies only to CAP users who are also recipients of a second transportation service subsidized by the University.~~

** The Electric Vehicle charging station decal fee is supplemental to the base parking permit fee. Electric Vehicle users who have purchased this decal are entitled to use the charging station equipment/space and receive electricity to recharge their Vehicle's battery. After the battery has been fully charged, Electric Vehicle users are encouraged to relocate their Vehicle to a different location in the parking facility to allow other Electric Vehicle users access to the charging station.

Service Permit and Official Visitor Permit Pricing			
	2013-2014	2014-2015	2015-2016
15 Minute Service Permit	\$ 77	\$ 78	\$ 80
2-Hour Service Permit	\$ 614	\$ 626	\$ 639
Official Visitor Permit	\$ 614	\$ 626	\$ 639
Vendor Service Permit	\$ 761	\$ 776	\$ 792

The Chancellor, through his/her delegated administrative officers, is authorized to change permit prices (higher or lower) once per permit year prior to the beginning of the permit year. Notice of such change shall be given at least 60 days prior to the beginning of the permit year. Any such change shall be reported to the Board of Trustees for information and shall be recorded in the minutes of the Board of Trustees as an amendment to this Ordinance.

2. Short Term Parking and Special Event Parking Fees. Fees for short term parking and special event parking shall be charged as follows:

Short Term and Special Event Parking Fees	
Service	Fee
Metered Space Parking	<ul style="list-style-type: none"> \$1.50 activation fee per hour (maximum of eight hours). All short-term meters across campus shall be \$0.75 per half-hour, and the maximum time for meter parking at these meters will be thirty minutes. Cash keys are sold with a \$10-minimum without a maximum upon payment of a \$20 deposit.
Electric Vehicle Charging Station Usage by Visitors on Nights and Weekends	<ul style="list-style-type: none"> \$0.75 per hour of battery charging (This fee does not apply to those who have purchased an Electric Vehicle charging station decal)
Hourly/Daily Pay Parking	
Dogwood Deck, Ambulatory Care Center Lot	<ul style="list-style-type: none"> \$1.50 per hour with a daily maximum (or lost ticket) of \$8.0010.00 No charge for visits of less than 15 minutes
Swain Lot, Morehead Lot, Raleigh Road Visitor Lot, Rams Head Deck	<ul style="list-style-type: none"> \$1.50 per hour No charge for visits of less than 5 minutes
Parking Validation Coupons	
Visitor Campus Parking Areas (valid at Swain Lot, Morehead Lot, Raleigh Road Visitor Lot, and Rams Head Deck)	<ul style="list-style-type: none"> \$1.50 for one hour coupon \$12.00 for one-day (8 hour) coupon
Patient Care Parking Areas (valid at Dogwood Deck and ACC Lot)	<ul style="list-style-type: none"> \$1.50 for one hour coupon \$8.0010.00 for one-day (8 hour) coupon
Space Reservations made by University Units in Pay Lots and Pay Decks	
Swain Lot, Morehead Lot, Raleigh Road Visitor Lot, Rams Head Deck	<ul style="list-style-type: none"> \$7.00 per half day (4 hours) \$14.00 per day (8 hours)
Special Event Parking	
Car	<ul style="list-style-type: none"> \$20 (maximum fee)
Limousine	<ul style="list-style-type: none"> \$30 (maximum fee)
RV	<ul style="list-style-type: none"> \$40 (maximum fee)
DPS assistance with chartering bus service with local companies	<ul style="list-style-type: none"> \$25 (plus actual cost of charter services provided)
DPS Monitoring Service	<ul style="list-style-type: none"> \$27 per hour, with a 3-hour minimum, for each monitor assigned

Short Term and Special Event Parking Fees	
Service	Fee
Reserving Meters – DPS may reserve meter spaces for an event	<ul style="list-style-type: none"> • \$7 per meter for half a day • \$14 per meter for full day
Small Event Permit Fees	<ul style="list-style-type: none"> • \$6 per permit for on-campus non-visitor parking lots will be charged to the sponsoring department.
Equipment Set-up	<ul style="list-style-type: none"> • \$17 per hour per staff person. • \$40 fee per sign, which includes set-up, will be charged to the sponsoring department.

Sec. 3-5. Special Event Parking

The Chancellor, through his/her delegated administrative officers, may cause any lot to be reserved to accommodate special event parking (e.g., for concerts, plays, athletics, and other similar events). The applicable fee(s) are set forth in Section 3-4. Excluded from this fee are lots approved for use under Section 3-5.2 (football and basketball parking).

Parking in certain lots or areas will be reserved for athletic events held in Kenan Stadium, the Dean E. Smith Center, and other athletic facilities for specifically authorized persons. Management of the lots or areas is the responsibility of the Department of ~~Public Safety~~[Transportation and Parking](#). Special permits are required and shall be issued and controlled by the Athletic Department, the Educational Foundation, and the Department of ~~Public Safety~~[Transportation and Parking](#), as applicable. Sample permits shall be provided to the Director of ~~Public Safety~~[Transportation and Parking](#).

The Director of ~~Public Safety~~[Transportation and Parking](#) is authorized to remove and/or cite Vehicles parked in reserved spaces prior to football and basketball games pursuant to Section 3-20. On the day that the relocation occurs, a list of all relocated Vehicles will be available at the [offices of the Department of Transportation and Parking in the](#) Department of Public Safety [building](#).

1. Notification to Permit Holders. The Chancellor, through his/her delegated administrative officers, will take one or more of the following steps to inform permit holders of special event parking policies:
 - (a) Information electronically mailed to all permit holders affected by special event parking,
 - (b) Informational signs posted at the entrances to lots reserved for football, basketball, and other special events,
 - (c) Press releases,

- (d) Information posted on the website of the Department of ~~Public Safety's~~Transportation and Parking Services Division, and
- (e) Other methods as appropriate.

2. Football and Basketball Game-Day Parking

(a) The Chancellor, through his/her delegated administrative officers, may reserve in advance parking lots for use by authorized persons during times designated for football home game day operations. Special permits are issued and controlled by the Athletic Department, Educational Foundation, the Chancellor's Office and ~~Public Safety~~the Department of Transportation and Parking for these times. Vehicles without the appropriate authorization or credentials are not permitted in the affected lots during these times.

(b) Certain parking lots will be designated and reserved in advance for use by working employees who have permits for lots that have been reserved for football special events and others as defined by the Chancellor, through his/her delegated administrative officers. Vehicles already parked in lots designated and reserved for working employees will not be required to move.

(c) Parking is prohibited at metered and permitted spaces on campus roadways between the hours of 8:00 a.m. and 12:00 midnight on home football game days to accommodate routing of incoming and outgoing traffic.

3. Concerts. The Chancellor, through his/her delegated administrative officers, may reserve in advance parking lots for pay parking for the public during times designated for concerts and other non-athletic events. Vehicles already parked in these lots are not required to move unless otherwise posted.

4. Miscellaneous Services.

(a) Charter Bus Services. The Department of ~~Public Safety~~Transportation and Parking will assist with chartering service for buses with local companies, subject to the payment of applicable fee(s) described in Section 3-4.

(b) Monitor Services -- ~~The~~the Department of ~~Public Safety~~Transportation and Parking will arrange for monitor services for small events upon request of the sponsoring department, subject to the payment of applicable fee(s) described in Section 3-4.

(c) Reserving Meters -- ~~The~~the Department of ~~Public Safety~~Transportation and Parking may reserve meter spaces for an event, subject to the payment of applicable fee(s) described in Section 3-4.

(d) Permit Fees -- ~~The~~the Department of ~~Public Safety~~Transportation and Parking will schedule small events during normal regulation hours upon the request of the sponsoring department, subject to the payment of applicable fee(s) described in Section 3-4.

(e) Equipment Set-up -- ~~The~~the Department of ~~Public Safety~~Transportation and Parking will provide the necessary equipment and signs for a special event, including equipment set-up and removal services, subject to the payment of applicable fee(s) described in Section 3-4.

Sec. 3-6. Metered Spaces

The Chancellor, through his/her delegated administrative officers, may designate metered parking spaces within any parking lot or area on the campus for general use, or on those portions of public streets as indicated in Section 1-10 and may specify the length of time for parking in each space. Meter activation is required Monday through Friday from 7:30 a.m. until 9:00 p.m. unless otherwise posted. On-street parking meters, off-street parking meters, and meter pay stations shall all be designed so that they can be activated by insertion of lawful coins of the United States, credit cards, or debit cards, ~~or by a cash key obtained at the Department of Public Safety.~~ The applicable fees are set forth in Section 3-4.

1. Expired Meter. It is a violation of this Ordinance for any Vehicle to occupy a metered space without the meter being activated by lawful coins ~~or cash key.~~
2. Cumulative Violations of Expired Meter. Any Vehicle in violation of Section 3-6.1 will be subject to the issuance of an additional citation for each additional period of one hour that the Vehicle occupies the space with the meter expired.
3. Extended parking at meters. It is a violation of this Ordinance for any Vehicle to occupy any portion of a metered space for more than twenty-four consecutive hours, regardless of whether or not the meter is activated.
4. Abuse of meters. It is a violation of this Ordinance for any person to damage, tamper with, willfully break, destroy or impair the usefulness of, or open without lawful authority any parking meter installed pursuant to this Ordinance. It is a violation of this Ordinance for any person to insert any object into a parking meter that is not a lawful coin of the United States ~~or cash key.~~

Sec. 3-7. Controlled-Access Zones

The Chancellor, through his/her delegated administrative officers, shall cause a gate to be erected at the entrance and exit of each controlled access lot and each controlled access deck that can be opened and closed either by assigned methods of gate-control (gate card, access code, remote control) or by a gate attendant. It shall be unlawful to transfer or to use assigned access cards or devices for Vehicles not registered for that controlled-access zone and for that card or device. If any person uses or allows to be used his or her access card or device to knowingly enable another Vehicle to enter or exit a controlled-access zone without paying the applicable parking fee or permit fee, such person, in addition to being responsible for the applicable parking fine, may have their card-access rights to University controlled-access zones deactivated for a period of one calendar year.

It is unlawful for Vehicles to enter or park in an hourly/daily pay parking area or other controlled access area during the posted operation hours without paying the appropriate fee or displaying a valid permit for that controlled-access area. Whether or not a gate is open during the hours of pay parking operation is not an indication that an unauthorized Vehicle may legally drive through and park in the gated zone.

It is unlawful for any person to deface, damage, tamper with, willfully break, destroy, impair the usefulness of, evade without tendering due payment or open without lawful authority an entry or exit gate or equipment. A \$10.00 fee will be charged for replacing damaged access mechanisms, in addition to the applicable parking fine.

It shall be unlawful for a Vehicle to enter or exit a controlled-access zone by trailing immediately behind another Vehicle before the gate has an opportunity to drop (a.k.a. “tailgating”) for the purpose of evading payment of the applicable parking fee or permit fee. It shall be unlawful to allow a Vehicle to enter or exit a controlled-access zone by tailgating behind one’s own Vehicle for the purpose of knowingly enabling the second Vehicle to evade payment of the applicable parking fee or permit fee. Violators of either of the two preceding sentences, in addition to being responsible for the applicable parking fine, shall have their card-access rights to University controlled-access zones deactivated for a period of one calendar year.

The applicable parking fees for the University’s various hourly/daily pay parking lots and decks are listed in Section 3-4. The hours of operation for each hourly/daily pay parking lot or deck shall be posted at the entrance to such lot or deck. During holidays when the parking attendants are not on duty, the parking gates will be open, and there will be no charge for parking in the University’s hourly/daily pay parking areas.

Vehicles are prohibited from parking in any hourly/daily pay parking lot or deck, without prior authorization from the Department of ~~Public Safety~~[Transportation and Parking](#), for more than 15 concurrent days without moving from the space. If any Vehicle continues to remain parked without moving from such parking space 5 days after having been ticketed for this parking violation, such Vehicle shall be deemed abandoned and subject to impoundment procedures in accordance with Section 7.3. If the Vehicle is impounded, the owner shall be responsible for both the towing fees and the parking fee for such hourly/day pay parking lot or deck for the applicable number of days.

1. Dogwood Parking Deck. The Dogwood Parking Deck is primarily reserved for UNC Hospitals patient services. In order to legally park in this deck, University-affiliated faculty members, staff employees and students must be a bona-fide patient or visitor of UNC Hospitals and display an approved permit. Employees and students displaying valid S11 or PDV permits may park in the Dogwood Parking Deck solely on the 4th and 5th levels and between the hours of 2:30 p.m and 9:30 a.m., Monday through Friday and on weekends, unless otherwise posted. The UNC Park and Ride permit, HAPDV, and all other South Campus commuter permits are valid on the 4th and 5th levels and between the hours of 5:00 p.m and 9:30 a.m., Monday through Friday and on weekends, unless otherwise posted. The maximum daily parking fee for the Dogwood Parking Deck listed in Section 3-4 may be changed from time to time by mutual agreement of the Department of ~~Public Safety~~[Transportation and Parking](#) and UNC Healthcare Systems.

2. Ambulatory Care Lot. Parking is available in the Ambulatory Care Lot solely for patients and visitors. Employees and students are not eligible to park in this lot during operational hours unless attending a medical appointment.

3. Hospital Discharge Lot. Short term parking is available for certain individuals in accordance with the Short-Term Discharge Policy posted at the entrance to this lot.

4. Swain Lot. No Vehicle shall remain parked for more than a 24-hour period in the visitor spaces without exiting and paying the required fees.

5. Morehead Lot. Visitors must park in the designated visitor spaces. Faculty, students, and staff are not eligible to park in visitor parking spaces Monday – Friday from 7:30 a.m. until 5:00 p.m, unless otherwise posted. Payment notices will be placed on Vehicles left in the lot at the time the lot closes. No Vehicle shall remain parked for more than a 24-hour period in the visitor spaces without exiting and paying the required fees.

6. Raleigh Road Visitor Lot. Staff, Faculty, and Students are not eligible to park in visitor parking spaces during operational hours unless otherwise posted. Vehicles can not be left overnight in this lot between the hours of 1:00 a.m. and 7:30 a.m, unless otherwise posted. No Vehicle shall remain parked for more than a 24-hour period in the visitor spaces without exiting and paying the required fees.

7. Rams Head Deck. Student commuter permits for the deck are valid in the deck Monday through Friday, 7:00 a.m. until 6:00 p.m, unless otherwise posted. Students without a commuter permit, as well as any employee or visitor, may park in the Rams Head and pay the applicable fee described in Section 3-4. No Vehicle shall remain parked for more than a 24-hour period in the deck without exiting and paying the required fees.

8. Parking Validation Coupons and Validation Stamps. Departments wishing to pay parking fees for visitors or patients may purchase validation coupons from the Department of ~~Public Safety~~[Transportation and Parking](#), which are valid in all pay and hourly visitor parking areas on campus. The One-day validation coupon is valid for 8 hours of parking. Fees not covered by the validation coupons are the responsibility of the visitor or patient. Parking validation coupons can be obtained by submitting an approved application and payment (Account Number for Direct Transfer (DT), a check, Visa or MasterCard, or cash) to the Department of ~~Public Safety~~[Transportation and Parking](#). The fees for the various types of parking validation coupons are described in Section 3-4. Departments unable to use the coupons for parking in the visitor pay areas may apply for a validation stamp. This stamp is designated for use by the departments to authorize parking for visitors and patients. The parking charges will be billed to the hosting department on a monthly basis. There will be a monthly processing fee of \$10.00 for all validation stamp accounts. Validation stamps and coupons are not to be used by employees or students of the University or UNC Hospitals, and any misuse by the aforementioned persons will result in revocation of stamp and coupon privileges for one calendar year with no refund.

9. Reserving Spaces in Controlled-access Lots. Departments wishing to pay for reserved spaces in the Swain Lot, Morehead Lot, Raleigh Road Visitor Lot, or Rams Head Deck must purchase reservation coupons. The fees for reservation coupons are listed in Section 3-4. A half-day coupon is to be used when a visitor is arriving and leaving before 12:00 p.m. (noon). A full-day coupon is used when a visitor arrives before noon and leaves after noon or when they arrive any time after noon.

Sec. 3-8. [Reserved. Intentionally left blank.]

Sec. 3-9. [Reserved. Intentionally left blank.]

Sec. 3-10. [Reserved. Intentionally left blank.]

Sec. 3-11. [Reserved. Intentionally left blank.]

Sec. 3-12. [Reserved. Intentionally left blank.]

Sec. 3-13. [Reserved. Intentionally left blank.]

Sec. 3-14. Reserved Parking

A sufficient number of parking spaces shall be reserved to accommodate Service Vehicles, State-owned Vehicles, motorcycles, Electric Vehicles, visitors, and to meet special needs as they arise. The Chancellor, through his/her delegated administrative officers, shall determine the precise location and status of reserved spaces. Reserved spaces for individuals or departments must receive approval from the Chancellor, through his/her delegated administrative officers. The annual fee for reserved spaces shall be defined in Section 3-4 (Permit Fees, RS spaces).

Parking at the Carolina Inn, Horace Williams Airport, School of Government, Friday Center, Kenan Center, and certain other designated University lots, as posted, is reserved parking. Spaces are charged at the reserved rate unless otherwise provided herein.

It is unlawful for any unauthorized person to park a Vehicle in a reserved space. Notice of the reserved status of a parking space shall be prominently posted at the space. Once posted, such spaces are reserved at all times unless otherwise indicated.

1. Visitor Disability Parking. It is unlawful for non-mobility impaired affiliated individuals to display a State disability plate, State disability permit, or disabled veteran license plate. Misuse of such plates or permits shall result in the issuance of a parking citation, immobilization, and/or impoundment. A sufficient number of parking spaces shall be reserved to meet the needs of the mobility impaired. It is unlawful to park a Vehicle in a space posted for disability parking or in a manner denying access to a disability parking space or disability access to a building or sidewalk. Public disability spaces are reserved at all times unless otherwise indicated. University and UNC Hospitals' employees (including contract employees), and

students are required to apply for and purchase the appropriate permit to park in spaces reserved for disability.

2. Service Zone Parking. Sufficient areas shall be set aside for two-hour service zones for the use of persons making deliveries to and pick-ups from University buildings. The Chancellor, through his/her delegated administrative officers, shall decide the size and location of each two-hour service zone. It is unlawful for any person to cause a Vehicle to occupy a two-hour service zone for any purpose other than that for which the area is designated or without the appropriate permit.

3. Disability Parking for UNC Employees, Students and Affiliates. A sufficient number of parking spaces shall be reserved to meet the needs of University and UNC Hospitals affiliated mobility impaired persons. It is unlawful for any unauthorized person to cause a Vehicle to occupy these designated spaces.

4. Electric Vehicle Parking. Electric Vehicle charging stations have been installed in a limited number of parking facilities on Campus. Adjacent to each Electric Vehicle charging station, one or more parking spaces shall be reserved for Electric Vehicle parking. It is unlawful to park a non-Electric Vehicle in a space reserved for Electric Vehicles.

Sec. 3-15. Visitor and Conference Parking

Departments may request parking spaces in one of the short term visitor pay parking lots (as described in Section 3-7). Applicable fees are set forth in Section 3-4. Parking may be available in fringe lots or visitor parking during the summer and academic breaks at a rate of \$6.00 per permit.

Sec. 3-16. Bus Stops

Sufficient areas shall be set aside for bus stops for the use of municipal and regional public transportation systems serving the University community or any bus / shuttle system operated by the University. The Chancellor, through his/her delegated administrative officers, shall decide the location of each bus stop. It is unlawful for any person to cause a Vehicle to occupy a bus stop for any purpose other than for which the areas are designated.

Sec. 3-17. State-owned Vehicle Parking

State Vehicles may park on campus as follows:

1. State-owned Vehicles may park in any spaces specifically reserved for state Vehicles for the amount of time indicated on the sign designating the space as a state Vehicle space.

2. State-owned Vehicles may park in any regular parking space for no more than forty-eight hours. All State Vehicles owned or assigned to the are required to display parking permits:

3. Departments with State-owned Vehicles including utility or golf carts are required to complete a parking permit application indicating each Vehicle that it owns or leases. Departments will be issued a permit and charged an annual fee for all Vehicles utilizing parking spaces.

4. State-owned Service Vehicles are subject to parking actions as follows:

(a) State-owned Service Vehicles are prohibited from parking in a regular parking space for more than forty-eight hours and are subject to the issuance of a civil penalty, and Vehicle immobilization / booting and/or towing fees.

(b) Certain regular parking spaces on campus may be restricted from use by State-owned Vehicles from time to time, in accordance with Section 3-20.

Sec. 3-18. Motorized Two-Wheeled Vehicle Parking

Owners of Motorized Two-Wheeled Vehicles are required to purchase and display a Permit and must park in designated parking areas for Motorized Two-Wheeled Vehicles. No person shall park a Motorized Two-Wheeled Vehicle in any area of campus not designated as Motorized Two-Wheeled Vehicles parking, unless permit requirements are not in effect. Motorized Two-Wheeled Vehicles may park at metered spaces upon activation of the meter. In parking lots, Motorized Two-Wheeled Vehicles are required to park in designated Motorized Two-Wheeled Vehicle parking areas with the appropriate permit.

In the case of a person wishing to register a combination of an automobile and a Motorized Two-Wheeled Vehicle, full payment will be required for the automobile permit, but there will be a reduced charge for the additional Motorized Two-Wheeled Vehicle permit. A Motorized Two-Wheeled Vehicle permit is at the full price when purchased in conjunction with a PR permit or other park and ride areas. No more than one Vehicle permit and one Motorized Two-Wheeled Vehicle permit shall be issued to any registrant.

Sec. 3-19. Bicycle Parking

Employees and students of the University and UNC Hospitals are required to display a bicycle permit when bringing bicycles to campus. This permit is issued free of charge upon the completion of a bicycle registration form. Bicycle parking is available throughout the campus and is designated by the presence of bicycle racks or specifically designated areas.

Warning tags issued by the Department of ~~Public Safety~~ [Transportation and Parking](#) may be attached to a bicycle in violation of this Ordinance. Bicycles owners finding such warning tags attached must remove the bicycle within eight hours or it will be impounded. However, impoundment for violation of this Ordinance may be executed with or without such tags attached.

1. Improper Bicycle Parking. Any bicycle parked in violation of this Ordinance is subject to impoundment without prior warning. Bicycles shall not be parked or stored in any location other than areas designated for bicycle parking, including:

- (a) inside a University building, where an unsafe or hazardous condition is created for building occupants;
- (b) against or attached to any tree, bush, plant, or foliage;
- (c) against or attached to any electrical fixture, sign post, railing, public seating fixture, or emergency safety device; or
- (d) in any other area where parking is prohibited specifically by this Ordinance.

2. Bicycle Registration. Any bicycle parked on campus will be required to register for and display a bicycle permit. At the beginning of each semester a four week warning period will be in place to allow for the registration and display of the permits to occur. Repeated violations of this section may result in bicycle impoundment.

Sec. 3-20. Temporary Parking Restrictions

The Chancellor, through his/her delegated administrative officers, is authorized to temporarily prohibit parking, stopping, or standing on driveways, streets, alleys, and parking lots on campus and on public streets in this Ordinance, and to reserve parking spaces for special use when such action is necessary due to special events, emergencies, or construction. Temporary signs or barriers shall be posted, and a representative of the Department of Public Safety, [a representative of the Department of Transportation and Parking](#), or other University official shall give notice of regulations issued under this section. It is unlawful for any person to violate such regulations.

1. Overnight Parking Restrictions. Certain parking lots, parking areas, or parking spaces shall be restricted from overnight parking to ensure availability of the facilities during alternate hours. Signs and/or barriers shall be posted at these locations. It shall be unlawful for any person to violate such regulations.

2. Athletic and Special Event Parking Restrictions. Certain parking lots, parking areas, or parking spaces shall be restricted from overnight parking to ensure availability of the facilities during athletic events and other special events. Signs and/or barriers shall be posted at these locations. It shall be unlawful for any person to violate such regulations.

Sec. 3-21. Night Parking

The Chancellor, through his/her delegated administrative officers, may cause certain lots to be reserved on weekdays after 5:00 p.m. and on weekends to accommodate night parking. ~~The pricing for night parking permits is set forth in Section 3-4.~~ It is a violation of this Ordinance to park in lots that have been marked for reserved night parking without a valid permit.

Sec. 3-22. Acquisition of Non-University Parking Support

The Chancellor or his/her designee is authorized to acquire by contract parking, parking management and other related services from representatives owning or controlling non-University facilities.

Sec. 3-23. Idling at Air Intake Vents

It is a violation of this Ordinance for any person to cause a Vehicle to be parked with the engine running near a building's air intake louver. Signs indicating the locations of these air intake louvers shall be posted prominently. Vehicles in violation of this section are subject to the issuance of a citation.

Sec. 3-24. Signs

The Chancellor, through his/her delegated administrative officers, shall decide on the size and appearance of parking signage located on campus. It is a violation of this Ordinance for any person to deface, damage, tamper with, break, destroy, impair the usefulness of, remove, relocate, steal, or possess any traffic or parking sign erected by the ~~University~~ Department of ~~Public Safety~~ Transportation and Parking. Possession of any such sign shall be prima facie evidence of the violation of this section. Conviction for violation of this section may result in criminal prosecution, a fine, suspension, or expulsion from the University.

ARTICLE IV. PARKING PERMITS

Sec. 4-1. Parking Permits

The Chancellor, through his/her delegated administrative officers, may issue permits to park in lots and areas described in Section 3-3 to employees or students of the University and to employees of the UNC Hospitals and affiliated organizations operating on the campus upon payment of the appropriate fee listed in Section 3-4. All permits issued under this section are subject to limitations that may be imposed by the Chancellor, through his/her delegated administrative officers, under Section 3-20 (Temporary Parking Restrictions). Permits shall be allocated among the faculty, students, and staff of the University, and of the UNC Hospitals in a manner that will best serve the needs of the University community as a whole. The University Departmental Parking Permit Allocation Policy is available online at <http://www.dps.unc.edu/Parking/employee/deptpolicies/deptpolicies.cfm>.

1. Transferring Employee Permits: if an employee transfers from one department to another department, the permit stays with the allocating department. If the employee's new department does not have an allocation, then the individual will be referred to the Department of ~~Public Safety~~ Transportation and Parking's Registration Division for resolution.

2. Student Permit Restrictions. Student Government representatives may assign permits to students in accordance with the Department of ~~Public Safety~~ Transportation and Parking

guidelines and regulations for those students whose needs necessitate exceptions to the restrictions. The restrictions are:

- (a) No first-year undergraduate student is eligible for a permit during the academic year unless authorized by the Office of the Dean of Students.
- (b) No student residing off campus within the two-mile radius of the Bell Tower is eligible for a permit.
- (c) No parking permit shall be issued to any student for any Vehicle that is required to be registered pursuant to Chapter 20 of the North Carolina General Statutes, or the corresponding statute of a state other than North Carolina, until the student requesting the permit provides the name of the insurer, the policy number under which the student has financial responsibility, and the student certifies that the Vehicle is insured at the levels set in G.S. 20-279.1(11) or higher.

3. Retired Faculty/Staff Permits. An allocation of a maximum of 350 permits designated as PM/ALG will be available to retired faculty and staff applying for parking on campus. The PM/ALG permits are valid in permit zoned lots excluding the Cardinal Deck after 12:00 p.m. Retired faculty and staff interested in applying for a PM/ALG permit must submit their request through their department coordinator. PM/ALG permits will be distributed to departments requesting them based on the same formula that is utilized to distribute the primary parking allocations. The PM/ALG permit fee will be based on the PM permit at the lowest tiered rate.

4. Postdoctoral Fellows' Permits. Postdoctoral Fellows shall be allocated an appropriate number of permits by the Department of ~~Public Safety~~ Transportation and Parking. A Postdoctoral Fellow may submit a request to be issued a permit from the Postdoctoral Fellows' allocation if he/she so desires. If there are more requests for permits than there are permits, priority will be given based on years of service with the University. Any Postdoctoral Fellow not receiving a permit will be placed on a waiting list. The department in which the Postdoctoral Fellow works may assign a permit from its departmental allocation if it so desires.

5. Temporary Permits. Temporary permits may be issued in areas where space is determined to be available. A fee will be charged for such permits.

6. Other Agencies. Parking permit allocations may be assigned to agencies closely related but not affiliated with the University as appropriate based on determination by the Department of ~~Public Safety~~ Transportation and Parking. Full payment of the value of the allocation will be required prior to receipt of the permits for distribution.

Sec. 4-2. Special Parking Permits

The Chancellor, through his/her delegated administrative officers, may issue special permits under the conditions and at the fees indicated in Section 3-4. All permits issued under this section are subject to limitations that may be imposed by the Chancellor, through his/her delegated administrative officers, under Section 3-20 (Temporary Parking Restrictions). Misuse of said permits shall result in confiscation of the permit and no further permits shall be

issued for the remainder of the year. No refunds shall be issued on those permits requiring a paid fee. Persons found to be displaying said permits in violation of this section may be subject to a fine and impoundment of their Vehicle.

1. Service Permits.

(a) Two-hour service permits are designed for use by employees who perform maintenance on equipment, deliver or install equipment, or have duties that cannot be met by transit or state Vehicles. Use of the two-hour service permit is limited to a two-hour time limit in any one location, unless otherwise specified. Departments may apply for two-hour service permits through the Department of ~~Public Safety~~[Transportation and Parking](#) using an application form which must be signed by the Department Director / Department Chair. Requests for additional permits must include justification of the need and address the reasons for inability of transit to meet the departmental needs. Vehicles displaying a two-hour service permit may park in any unreserved parking space or any designated service permit space.

(b) Fifteen-minute service permits are designed for use by representatives of non-affiliated service companies using unmarked Vehicles that have a need to make deliveries taking fifteen minutes or less. Companies may apply for the permit through the Department of ~~Public Safety~~[Transportation and Parking](#). Use of the permit is restricted to fifteen minutes in any one location. The fifteen-minute service permit may not be used by University or UNC Hospitals employees or students. Vehicles displaying a fifteen-minute service permit may park in any unreserved space, or any designated service permit space.

2. Vendor Service Permits. Representatives of non affiliated service companies that have a contractual relationship with the University to deliver goods or services may apply for a vendor service permit through the Department of ~~Public Safety~~[Transportation and Parking](#). An application must be completed by the vendor and approved by the Director of Public Safety. Vendors with Vehicles prominently displaying the vendor's name or logo, performing routine deliveries and pick-ups from University buildings, and requiring less than fifteen minutes are exempt from any permit requirement. Faculty, staff and students are not eligible to display or purchase Vendor Service Permits.

Vendors may purchase temporary (one-day) permits from the Department of ~~Public Safety~~[Transportation and Parking](#). Vehicles displaying a Vendor Permit may park in areas designated by the Department of ~~Public Safety~~[Transportation and Parking](#).

Government Vehicles displaying Federal license plates are exempt from the permit requirement. Construction Vehicles are not exempt and contractors must contact the Department of ~~Public Safety~~[Transportation and Parking](#) to arrange for appropriate parking. Construction contractors are not eligible for Vendor Permits.

3. "ALG" permits. These permits are issued to employees having broad, significant, campus-wide responsibilities. ALG permits may be used in all gated and non-gated parking

spaces, which are not otherwise reserved, with the exception of the Dogwood, Cardinal, and Rams Head Decks and all surface visitor parking lots. "ALG" permits shall be allocated from the zone adjacent to the primary work location. "ALG" permits are approved by the Chancellor or his/her designee.

4. Morning shift (AM permit). The Chancellor, through his/her delegated administrative officers, may issue special permits to employees of the University and UNC Hospitals whose regular work hours are within the time period 7:30 a.m. to 12:30 p.m., Monday through Friday. The "AM" permit will entitle the holder to park in the assigned zone from 7:30 a.m. to 12:30 p.m., Monday through Friday.

5. Afternoon shift (PM permit). The Chancellor, through his/her delegated administrative officers, may issue special permits to employees of the University and UNC Hospitals whose schedule of work begins after noon 12:00 p.m. These permits entitle the holder to park in the assigned zone space after noon 12:00 p.m., Monday through Friday.

6. Rotating shift (SR/NR permits). The Chancellor, through his/her delegated administrative officers, may issue special permits to employees of the University and UNC Hospitals who have regular working hours rotate equally among shifts. An NR permit will be allocated from one of the north campus primary zones, which shall appear on the permit. SR permits will be allocated from one of the south campus primary zones, which shall appear on the permit. The permit shall only be valid in the designated zone, unless the lot is specifically reserved as outlined in Section 3-5.

7. Disability Permits. Mobility impaired students and employees of the University and employees of UNC Hospitals desiring parking on campus must obtain a UNC Disability permit by the established application process, through the Department of ~~Public Safety~~[Transportation and Parking](#). An allocation of spaces will be made available to mobility impaired users, based upon a physician's certification of need. UNC Disability permits will be assigned from zones throughout campus, and their cost will be based on the sliding scale fee structure. ~~The~~[The](#) Department of ~~Public Safety~~[Transportation and Parking](#) will determine the zone based on access needs and availability. By displaying the UNC Disability permit, an individual may park in his assigned space or any unreserved space within his designated zone. Reasonable accommodations for mobility impaired students and employees will be made.

8. Vanpool permits. The Chancellor, through his/her delegated administrative officers, shall determine vanpool allocations by the predominant driver based on space availability. Vanpool users must submit a list of participants to the Department of ~~Public Safety~~[Transportation and Parking](#) with name, department name, and work telephone number for each individual. The parking permit fee will be waived for vanpools.

9. Carpool permits. Those persons wishing to carpool may apply through their department jointly for a single transferable permit at no additional charge. Once issued, this permit will be transferable only among the Vehicles in the carpool, as registered with the Department of ~~Public Safety~~[Transportation and Parking](#). This permit shall be displayed as

provided in Section 4-3. Only one of the registered Vehicles may be parked in the zone designated during parking control hours.

The Chancellor or his/her designee shall determine carpool allocations based on space availability. The Commuter Alternatives Program (CAP) outlines available carpool options. If a carpool is disbanded during the permit year, the carpool permit must be cancelled and returned to the Department of ~~Public Safety~~[Transportation and Parking](#).

10. Emergency Staff Permits. Emergency staff permits are issued by UNC Hospitals for those persons responding to emergency medical calls. The permits are only valid in the spaces designated for emergency staff parking.

11. Official Visitor Permits. Departments may apply for annual official visitor permits through the Department of ~~Public Safety~~[Transportation and Parking](#). Justification of need must accompany each request. The permit is not authorized for use by employees or students of the University or UNC Hospitals. If there is a visitor lot within two blocks, that lot must be used in lieu of obtaining official visitor permits. Official visitor permits are not valid in any pay operations lot. Vehicles displaying this permit may park in spaces that are not metered, gates controlled for zone permits, pay visitor parking, or other areas specifically reserved.

12. Board Members Permits. Special permits are issued to serving members of the:

- (a) Board of Trustees of the University;
- (b) Board of Governors of The University of North Carolina;
- (c) Board of Directors of the UNC Healthcare System; and
- (d) Other University-affiliated boards, as specified by the Chancellor, through his/her delegated administrative officers.

Vehicles displaying these permits may park in any unreserved zoned space and in any service space. Normally, these permits shall not be valid for controlled-access zones.

13. Construction Trailer Permits. Contractors who need parking for storage of materials or supplies may purchase a permit for \$70.00 per month. The construction trailers will be stored at a designated location off main campus.

14. Reserved Space Permits (RS). The Chancellor, through his/her delegated administrative officers, may issue a reserved space permit to a person, department, or school. Job duties and other functions associated with employment shall be considered in determining whether a reserved space permit is appropriate (e.g., area directors required to live in residence halls). The cost of the permit and space shall be as defined in Section 3-4. Reserved spaces assigned to departments are for use by visitors / patients to the department only. Use of these permits by departmental employees is prohibited. Should reserved space abuse occur, the Department of ~~Public Safety~~[Transportation and Parking](#) reserves the right to revoke the department's reserved space permits.

15. Bicycle Permits. Students and employees of the University and UNC Hospitals are required to display a bicycle parking permit. A bicycle registrant will be issued a free, five-year bicycle permit to be affixed as a sticker to the bicycle frame as described in Section 4-3. Bicycle permits are not transferable.

16. Park and Ride-~~(CAP)~~ Permits. Park and Ride lots are designated for University employees and students commuting to campus by parking their Vehicles away from the main campus and using transit services to reach main campus. Persons parking in Park and Ride lots shall register in the ~~Commuter Alternative Program (CAP)~~Park and Ride program and display a Park and Ride (~~CAPPR~~) permit in their Vehicle. The pricing for Park and Ride (~~CAPPR~~) permits is set forth in Section 3-4. Window sticker permits are to be affixed to the lower right-hand side of the front windshield.

Employees with a primary worksite located adjacent to a Park and Ride lot will not be eligible to utilize a Park and Ride lot as proximate worksite parking. Park and Ride lots are for use by those taking advantage of transit for their daily commute to main campus and not meant as primary parking for those working adjacent to the lot.

17. Night Parking (NP) Permits. The Chancellor, through his/her delegated administrative officers, may issue night parking permits. The "NP" permit will entitle the holder to park in designated NP parking zones from 5:00 p.m. to 7:30 a.m., Monday through Friday. ~~The pricing for night parking permits is set forth in Section 3-4.~~ For parking zones marked as both an NP zone and as a daytime zone or ~~CAPPR~~ zone, the daytime and ~~CAPPR~~ parking permits will still be honored and remain valid after 5:00 p.m. (subject to Section 3-5).

Sec. 4-3. Display of Permits

The parking permit must be properly displayed at all times. Parking permits must be clearly visible and cannot be obscured in any manner. A violation of this section will result in the appropriate fine.

Permit display options are:

1. Hanging from the Vehicle's rearview mirror facing the front of the Vehicle, clearly visible through the front windshield. When using a special permit assigned to a department (such as two-hour service, etc.), the parking zone permit must be displayed in front of the special permit, so that both permits are clearly visible through the front windshield.

2. If the tint, slant, or other design factors of the Vehicle obscures in any way the permit's visibility, the permit should be displayed on the passenger side of the windshield in the lower corner.

3. Bicycle permits must be affixed to the rear upright frame bar supporting the seat of the bicycle.

4. Permits for motorcycles must be displayed on the rear fender so it can be seen when viewing the license plate from behind the motorcycle or on the front fork, or on the State inspection plate. Permits for motorcycle covers must be permanently affixed on the top rear area of the motorcycle cover. ~~The~~the Department of ~~Public Safety~~Transportation and Parking must record the license plate number of the authorized motorcycle on the motorcycle cover permit.

5. Permits for Vehicles using car covers must be affixed permanently on the top center windshield portion of the cover. The license plate number of the authorized Vehicle must be recorded on the permit by the Department of ~~Public Safety~~Transportation and Parking. An additional permit must be displayed from the rearview mirror of the authorized Vehicle. ~~The~~the Department of ~~Public Safety~~Transportation and Parking will record the license plate number of the Vehicle on the car cover.

6. Adhesive windshield permits should be displayed in the lower right-hand corner of the front windshield.

Sec. 4-4. Counterfeiting/Altering Parking Permits

It is unlawful for any person to produce (or cause to be produced), to alter, or to display, without authority of the Chancellor, through his/her delegated administrative officers, any parking permit, sticker, decal, gate card, or other device indicating eligibility to park on the campus of the University. Such permits shall be confiscated, no refunds shall be issued, the violators will be issued a citation, the Vehicles shall be towed or booted, and the violators shall be ineligible for a parking permit for one calendar year. Violators will first meet with the Chancellor's designated Hearing Officer, and then violations may be forwarded to the appropriate agency for disciplinary action(s) (i.e., the Student Attorney General for students, the Office of Human Resources and the department chair for SPA employees, the department chair for University faculty and EPA non-faculty employees, and UNC Hospitals Personnel Department for hospital employees). Prior to the release of the Vehicle, the improper permit must be surrendered to the Department of ~~Public Safety~~Transportation and Parking.

Sec. 4-5. Obtaining Parking Permits Through Unlawful Means

It is unlawful for any person to obtain a parking permit by any means other than procedures established by the Chancellor pursuant to this Ordinance, including but not limited to, obtaining such permits by theft, fraud, trickery, willful misrepresentation of fact, purchase from another, or gift from another. Such permits shall be confiscated, no refunds shall be issued, the violators will be issued a citation, the Vehicles shall be towed or booted, and the violators shall be ineligible for a parking permit for one calendar year. Violators will first meet with the Chancellor's designated Hearing Officer, and then violations may be forwarded to the appropriate agency for disciplinary action(s), (i.e., the Student Attorney General for students, the Office of Human Resources and the department chair for SPA employees, the department chair for University faculty and EPA non-faculty employees, and UNC Hospitals Personnel Department for hospital employees). Prior to the release of the Vehicle, the improper permit must be surrendered to the Department of ~~Public Safety~~Transportation and Parking.

Sec. 4-6. Unauthorized Display of Parking Permits

The Chancellor, through his/her delegated administrative officers, may issue regulations for the transfer of permits from one Vehicle to another owned or used by the holder of the permit, and it is unlawful for a person in possession of such a permit to use it in any manner inconsistent with such regulations.

It is unlawful for any person in possession of a parking permit, whether that possession is lawful or unlawful, to give, sell, or otherwise transfer or to attempt to transfer it to another. It is unlawful for any person to display on a Vehicle a parking permit not issued to that person for use with that specific Vehicle or to display a lost, stolen, counterfeit, or an altered permit. Such permits shall be confiscated, no refunds shall be issued, the violators will be issued a citation, the Vehicles shall be impounded or booted, and the violators shall be ineligible for a parking permit for one calendar year. Violators will first meet with the Chancellor's designated Hearing Officer, and then violations may be forwarded to the appropriate agency for disciplinary action(s), (i.e., the Student Attorney General for students, the Office of Human Resources and the department chair for SPA employees, the department chair for University faculty and EPA non-faculty employees, and UNC Hospitals for hospital employees). Prior to the release of the Vehicle, the improper permit must be surrendered to the Department of ~~Public Safety~~[Transportation and Parking](#).

Sec. 4-7. Reinstatement of Eligibility

Any person who is permitted to retain their eligibility for a parking permit after being charged with a violation of Section 4-4, 4-5, or 4-6 will not be issued a refund for previously purchased permits (payroll deduction will continue). The person will be required to purchase a permit at the current prorated issuance rate for the zone being purchased.

ARTICLE V. TRAFFIC

Sec. 5-1. Interference with Traffic; Temporary Traffic Restrictions

It is unlawful for any person to park or bring to a halt on the campus any Vehicle in such manner as to interfere with normal vehicular or pedestrian traffic.

The Chancellor, through his/her delegated administrative officers, may cause traffic to be restricted or rerouted as necessary by construction, emergency situations, and special events. A notice of such restrictions shall be given by placing temporary signs or barriers by a representative of the Department of Public Safety, [a representative of the Department of Transportation and Parking](#), or other University official. It shall be unlawful to violate such regulations.

Sec. 5-2. Fire Lanes/Fire Hydrants

No person (whether mobility impaired or not) shall park a Vehicle, or allow it to idle in or block access to any area designated as a fire lane or fifteen feet in either direction of a fire hydrant. Any emergency authorization for use of fire lanes must be obtained through the Department of Public Safety [or the Department of Transportation and Parking](#). Pavement markings and/or signs will prominently indicate fire lanes.

Sec. 5-3. Sidewalks and Landscape

No person shall operate or park a Vehicle on grass or shrubbery unless such areas are signed and marked for such activity.

No person shall operate or park a Vehicle on a campus sidewalk unless authorized by the Chancellor or his/her delegates. Bicycles and Electric Two-Wheeled Vehicles may be operated on campus sidewalks; provided that no person shall operate a bicycle or an Electric Two-Wheeled Vehicle in a manner that jeopardizes pedestrian safety, or State or private property.

No person shall use in-line skates or skateboards (a) on the campus in a manner that jeopardizes the safety of other pedestrians, or (b) on any walls, monuments, gutters, ditches, railings, bicycle racks, benches, other structures, fixtures, or property on the University campus, or (c) on any ramps or steps on the University campus except for the purpose of entering or leaving a building or making normal pedestrian progress along a campus sidewalk.

Sec. 5-4. Speed Limits

1. It is unlawful to operate a Vehicle on the campus in excess of a speed of ten miles per hour, except as otherwise posted.

2. It is unlawful to operate a Vehicle on Cameron Avenue, Raleigh Street, or Bowles Drive in excess of a speed of twenty-five miles per hour.

3. It is unlawful to operate a bicycle or an Electric Two-Wheeled Vehicle on sidewalks on campus at a speed or in a manner that would prove to be hazardous for the safety of pedestrians.

Sec. 5-5. [Reserved. Intentionally left blank.]

Sec. 5-6. [Reserved. Intentionally left blank.]

Sec. 5-7. Vehicular Traffic at Marked Crosswalks

The Chancellor, through his/her delegated administrative officers, may establish pedestrian crosswalks across streets, alleys, and driveways on the campus and on the public streets listed in Section 1-10 where the location of University buildings and sidewalks requires large numbers of persons to cross streets and driveways at points other than street intersections as governed by G.S. 20-155(c). A crosswalk shall be indicated by traffic signals, signs, or white stripes (hatched or unhatched) and will be a minimum of six feet in width. When a crosswalk

has been marked off, it is unlawful for the driver of any Vehicle traveling on the street or driveway to fail to stop and to yield the right-of-way when there is a pedestrian in that portion of the crosswalk. The pedestrian must be on that side of the street or driveway in which the Vehicle is traveling.

Sec. 5-8. Pedestrian Obstructing Traffic

It is unlawful for a pedestrian to stand on the traveled portion of any street, alley, or driveway on the campus in such a manner to obstruct or prevent the free flow of traffic thereon, and in crossing streets, alleys, or driveways pedestrians shall keep in motion when in the traveled portion thereof.

Sec. 5-9. Passenger Pick Up and Discharge

It is unlawful for any person to stop a Vehicle on any street, alley, or driveway on the campus for the purpose of picking up or discharging a pedestrian without first drawing up to the right hand curb.

ARTICLE VI. PARKING CONTROL

Sec. 6-1. Penalties

Any person violating any provision of this Ordinance or a regulation issued hereunder is subject to a civil penalty as indicated in the following schedule:

Violation Code	Title of Ordinance Section Violated	Amount of Civil Penalty
Sec. 3-1	Method of Parking	\$30
Sec. 3-3	Parking Zones	\$30
Sec. 3-6(1)	Expired Meter	\$15 for meter expiration of 1 hour or less
Sec. 3-6(2)	Cumulative Violations of Expired Meter	\$5 for each additional hour of meter expiration
Sec. 3-6(3)	Extended Parking at Meters	\$25
Sec. 3-6(4)	Abuse of Meters	\$50
Sec. 3-7	Controlled Access Zones	\$50
Sec. 3-14	Reserved Parking	\$50
Sec. 3-14.1	Visitor Disability Parking	\$250
Sec. 3-14.2	Service Zone Parking	\$50
Sec. 3-14.3	Disability Parking for UNC Employees, Students and Affiliates	\$50
Sec. 3-14.4	Electric Vehicle Parking	\$50
Sec. 3-16	Bus Stops	\$20
Sec. 3-17	State-owned Vehicle Parking	\$30

Sec. 3-18	Motorized Two-Wheeled Vehicle Parking	\$30
Sec. 3-19(1)	Improper Bicycle Parking	\$10
Sec. 3-19(2)	Bicycle Registration	\$5 for second violation; \$10 for third and subsequent violations
Sec. 3-20	Temporary Parking Restrictions	\$50
Sec. 3-21(1)	Overnight Parking Restrictions	\$50
Sec. 3-21(2)	Athletic and Other Special Event Parking Restrictions	\$20
Sec. 3-22	Night Parking	\$30
Sec. 3-23	Idling at Air Intake Vents	\$50
Sec. 3-24	Signs	\$50
Sec. 4-1(2)	Freshman Parking	\$25
Sec. 4-3	Display of Permits	\$5
Sec. 4-4	Counterfeiting/Altering Parking Permits	\$200
Sec. 4-5	Obtaining Parking Permits Through Unlawful Means	\$200
Sec. 4-6	Unauthorized Display Of Parking Permits	\$50
Sec. 5-1	Interference with Traffic	\$50
Sec. 5-2	Fire Lanes/Fire Hydrants	\$250
Sec. 5-3	Sidewalks and Landscape	\$30, plus cost of repair
Sec. 5-3 (1)	Damage to sidewalks	\$30, plus cost of repair
Sec. 5-4	Speed Limits	\$20
Sec. 5-5	Vehicular Traffic at Marked Crosswalks	\$200
Sec. 5-6	Pedestrian Obstructing Traffic	\$50
Sec. 5-7	Passenger Pick Up and Discharge	\$20
Sec. 6-2	Emergencies; Law Enforcement Operational Necessities	\$50

Sec. 6-2. Emergencies; Law Enforcement Operational Necessities

Vehicle operation and parking may be prohibited under emergency and/or other law enforcement operational necessities. It shall be unlawful for any person to violate police instructions related to this section.

Sec. 6-3. Repeated Offenses

If any person is cited for violation of this Ordinance with respect to parking more than five times in a period of twelve months or more than twice in a period of thirty days, or is determined to owe more than \$250.00 in unpaid fines, the Chancellor, through his/her delegated administrative officers, may cancel any parking permit issued to such person without refund of any portion of the fee paid thereof and shall cause the violator's license plate numbers to be

entered on a list of repeated offenders. Once a person's license plate numbers are placed on a repeat offender list, the Vehicle is subject to impoundment or immobilization upon being parked in violation of this Ordinance. A citation found to be invalid will not be counted for purpose of this section. Any repeat offenses of this nature may be forwarded to the appropriate agency for disciplinary action(s), (i.e., the Student Attorney General for students, the Office of Human Resources and the department chair for SPA employees, the department chair for University faculty and EPA non-faculty employees, and UNC Hospitals Personnel Department for hospital employees).

ARTICLE VII. FEES

Sec. 7-1. Vehicle Impoundment Fee

In addition to the assessment of the applicable civil penalty pursuant to Article VI, any Vehicle parked in violation of this Ordinance may be removed to a storage area. The Chancellor or his/her designee may refuse to authorize release of the Vehicle to the owner or custodian until the towing fee, storage fees, and all other outstanding balances owed to the Department of ~~Public~~ Safety Transportation and Parking are paid in full or a payment plan established during normal business hours.

The owner or custodian of a Vehicle impounded under any regulation of this Ordinance may appeal the impoundment in person or in writing within ten calendar days to the Chancellor's designated Hearing Officer pursuant to Section 8-1. Submitting an appeal to the Chancellor's designated Hearing Officer does not substitute for payment of the towing or storage fees for removal of the impounded Vehicle.

The Chancellor, through his/her delegated administrative officers, is authorized to have towed from campus any Vehicle violating the provisions of this Ordinance. A towing fee shall be charged, in addition to any applicable penalty for violation of the Ordinance, to reimburse the University for its costs in removing the Vehicle.

Towing fees are as follows:

<i>Standard Tow</i>	<i>Dolly Wheels Used</i>
\$90.00	\$100.00

If the operator of the Vehicle to be towed arrives at the Vehicle prior to the tow truck moving the Vehicle from where it was parked, such operator shall still be responsible for the cost of the tow fee, which is charged to the University upon the dispatch of the tow truck. If the tow truck has initiated towing actions and the Vehicle's owner has arrived, the Vehicle will not be released until the appropriate fees have been paid to the Department of ~~Public~~ Safety Transportation and Parking.

A storage fee of \$10.00 per day may be charged to the owner or custodian of Vehicles left at the University compound for more than twenty-four hours after towing. A storage fee of

\$2.00 per day may be charged for bicycles, skateboards, or in-line skates, as well as a \$10.00 impoundment fee.

A valid driver's license must be provided by the owner/operator of the Vehicle prior to its release.

Sec. 7-2. Vehicle Immobilization Fee

Any Vehicle parked in violation of this Ordinance or any parking regulation issued hereunder may be immobilized by use of a wheel boot. Notice of the application of a wheel boot shall be posted prominently in one of three locations: (1) on the driver's side of the front window of the Vehicle, (2) on the rear windshield, or (3) on the driver's side window. Placement of the notices will depend on the type of Vehicle. A Vehicle immobilization fee shall be charged, in addition to any applicable penalty for violation of the Ordinance, to reimburse the University for its costs in immobilizing the Vehicle.

The Chancellor or his/her designee may refuse to authorize release of the Vehicle to the owner or custodian until the immobilization fee, storage fees, and all outstanding balances owed to the Department of ~~Public Safety~~ Transportation and Parking are paid in full or a payment plan established during normal business hours. Wheel boots may only be removed by the Department of Transportation and Parking staff or the Department of Public Safety staff, upon payment of the \$55.00 Vehicle immobilization fee. If the operator of the booted Vehicle arrives at the Vehicle prior to the parking control officer leaving the scene, such operator shall still be responsible for the cost of the Vehicle immobilization fee. The owner or custodian of the Vehicle impounded under any regulation of this Ordinance may appeal the immobilization in person or in writing within ten calendar days to the Chancellor's designated Hearing Officer, pursuant to Section 8-1. Submitting an appeal to the Hearing Officer is not a substitute for payment of the immobilization fee.

Vehicles immobilized for longer than twenty-four hours shall be removed to a storage area. The owner/custodian of the Vehicle shall be responsible for both the immobilization and tow fees and applicable storage fees.

Sec. 7-3. Impoundment of Abandoned and Derelict Vehicles

Any Vehicle that is partially dismantled or wrecked and/or deemed abandoned under Section 3-7 and/or does not display a current license plate and such Vehicle is left in such condition for more than 10 days shall have a warning tag placed on it by a parking control officer. Such tag shall provide notice that if the Vehicle is not removed within 5 days from the date reflected on the tag, it will be considered abandoned and derelict. Such Vehicles shall be removed at the end of the 5-day period to the University storage area at owner's expense and disposed of in accordance with Section 7-4 of this Ordinance.

Sec. 7-4. Disposal of Abandoned and Derelict Vehicles

1. An "abandoned Vehicle" is one that has been removed to the University's storage area pursuant to authority granted in this Ordinance and has remained in said storage for longer than five days. A "derelict Vehicle" is a Vehicle:

(a) that has an expired registration and the registered and legal owner no longer resides at the address listed on the last certificate of registration on record with the North Carolina Department of Transportation;

(b) that has major parts removed so as to render the Vehicle inoperable and incapable of passing inspections as required under existing standards;

(c) that has the manufacturer's serial plates, Vehicle identification numbers, license plate numbers, and any other means of identification removed so as to nullify efforts to locate or identify the registered and legal owner;

(d) for which the registered and legal owner of record disclaims ownership or releases his/her rights thereto; or

(e) for which the Vehicle is more than twelve years old and does not bear a current license as required by the Department of Motor Vehicles.

2. When any derelict or abandoned Vehicle is in the University's possession, the University shall dispose of it in accordance with North Carolina statutes.

3. Any proceeds from the sale of a derelict or abandoned Vehicle, after costs have been deducted for removal, storage, investigation, sale, and satisfying any liens of record on the Vehicle, shall be held by the University for thirty days and paid to the registered owner upon demand. If the owner does not appear to claim the proceeds within thirty days after disposal of the Vehicle, the funds shall be deposited in the University Department of Public Safety Trust Fund, and the owner's rights therein shall be forfeited forever.

4. No person shall be held to answer in any civil or criminal action to any owner or other person legally entitled to the possession of any abandoned, lost, or stolen Vehicle for disposing of the Vehicles as provided in this section.

Sec. 7-5. Bicycle and Skateboard Impoundment Fee

It shall be lawful for the Chancellor, through his/her delegated administrative officers, to impound at the owner/rider's expense, any bicycle that is considered abandoned, junked, lost/stolen, parked/stored or operated in violation of this Ordinance, or state or local fire safety regulations. It shall be lawful for the Chancellor, through his/her delegated administrative officers, to remove security devices attached to Vehicles for impoundment purposes. The University shall not be held liable for damages made to bicycles or locks while impounding or during storage of the bicycle.

It shall be lawful for the Chancellor, through his/her delegated administrative officers, to impound at the owner's/rider's expense any skateboard or in-line skates that are considered abandoned, junked, lost/stolen, or operated in violation of this Ordinance. The University shall not be held liable for damages done to skateboards or in-line skates while impounded. Owners/riders of impounded skateboards or in-line skates may claim them in person at the [Department of Transportation and Parking in the](#) University Department of Public Safety [building](#), subject to the payment of the penalty fee, if applicable, under Article VI for violation of Section 5-3. Owners/riders who are under age 18 must bring a parent or guardian with them to claim impounded skateboards or in-line skates. The Department of Public Safety staff [or the Department of Transportation and Parking staff](#), upon payment of the \$10.00 bicycle/skateboard impoundment fee, may release impounded bicycles and skateboards.

Bicycles that remain stored on racks for more than thirty days at the end of any academic term, including summer sessions, will be deemed University property.

Sec. 7-6. Disposal of Junked Bicycles and Impounded Skateboards

Letters shall be sent notifying bicycle owners with registered permits when Vehicles have been impounded; when owner is unknown, notice shall be posted at the Department of [Transportation and Parking in the Department of](#) Public Safety [building](#). Bicycles unclaimed thirty calendar days after the original date of impoundment shall be deemed University property.

When the owner/rider of a skateboard or in-line skates is known, he or she shall be given or sent a letter notifying him or her that the skateboard or in-line skates have been impounded and informing the owner/rider how to claim the impounded skateboard or in-line skates. Where the owner/rider of an impounded skateboard or in-line skates is under age 18, a copy of the letter shall be sent to his or her parent or guardian, if known. When the owner/rider is unknown, notice shall be posted at the Department of [Transportation and Parking in the Department of](#) Public Safety [building](#). Skateboards or in-line skates unclaimed within sixty days after the original date of impoundment shall be deemed University property.

ARTICLE VIII. APPEALS

Sec. 8-1. Appeals

Any person cited for violation of any portion of this Ordinance for which a civil penalty is imposed or a Vehicle is impounded or immobilized for violations may appeal in person, or in writing, or by email within ten calendar days of issuance to the Chancellor's designated Hearing Officer.

Failure to meet the ten day appeal period requirement shall result in a forfeiture of all appeal privileges. The Hearing Officer shall review all written appeals and establish limited hours to review those in-person appeals that meet the ten-day requirement.

Written appeals must be submitted on a standard appeal form, available from the Department of ~~Public Safety~~[Transportation and Parking](#).

If the Hearing Officer decides the appeal against the appellant, he or she may appeal to the Chancellor, in writing, within ten calendar days of the date of the Hearing Officer's decision.

The Chancellor may delegate to a committee or other body as he/she may establish authority to hear appeals on his/her behalf. Disposition of an appeal by a vote of the full committee to affirm without a panel hearing or by a vote of the majority of a panel in the case of an appeal having been referred to a panel for hearing shall be deemed to exhaust the available appellate procedures. Final disposition by the committee shall be understood to mean a ruling in which the committee or its panel affirms, modifies, or reverses a decision of the Hearing Officer. Any person cited to the District Court Division of the General Court of Justice for violation of this Ordinance constituting a misdemeanor must pursue his plea and appeal, if any, as provided by law for criminal actions generally.

Submitting an appeal to the Chancellor's designated Hearing Officer does not substitute for payment of the towing and storage fees for removal of the impounded Vehicle. Such fees must be paid in accordance with Section 7-1. If the hearing officer decides the appeal in favor of the appellant, the Department of ~~Public Safety~~[Transportation and Parking](#) will refund the costs of towing and storage.

In the event that the owner or operator elects to leave the Vehicle impounded while filing an appeal, the storage fees will be waived from the day the appeal is submitted to the Hearing Officer until the day the decision is rendered.

ARTICLE IX. REPEALS

Sec. 9-1. Former Regulations Repealed

All resolutions heretofore adopted regulating traffic and parking on the campus are repealed. The repeal herein of these regulations shall not abate or otherwise affect any civil, criminal, or administrative action or proceeding concluded or pending on the effective date of this Ordinance. Except as otherwise provided, this Ordinance may be amended in whole or in part by action of the Board of Trustees. The effective date of this Ordinance shall be August 15, ~~2013~~[2015](#).

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Deletion	
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Split/Merged cell	
Padding cell	

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ATTACHMENT C

EHRINGHAUS, HINTON JAMES, CARMICHAEL RESIDENCE HALLS ELEVATOR REPAIRS

This project will repair the elevators in Ehringhaus, Hinton James and Carmichael Residence Halls with new control systems. Other repairs will be made to address the elevator code deficiencies.

The project budget is \$1,667,900 and will be funded by University funds.

This project was advertised on January 8, 2015. Three (3) proposals were received. These three firms were interviewed on February 4, 2015. 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. John B. Hawkins, AIA | Chapel Hill, NC |
| 2. The Wooten Company | Raleigh, NC |
| 3. RND Architects | Raleigh, NC |

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

RECOMMENDED ACTION

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

- | | |
|-------------------------|-----------------|
| 1. John B. Hawkins, AIA | Chapel Hill, NC |
| 2. The Wooten Company | Raleigh, NC |
| 3. RND Architects | Raleigh, NC |



January 26, 2015

Tom Loter, AIA, LEED AP
Department of Facilities Planning & Design
103 Airport Drive
Campus Box # 1090
University of North Carolina at Chapel Hill
Chapel Hill, NC 27599-1090

RE: **Elevator Modernization**
Ehringhaus, Hinton James and Carmichael Residence Halls
The University of North Carolina at Chapel Hill

Dear Mr. Loter,

Thank you for the information on the proposed elevator modernization at Ehringhaus, Hinton James, and Carmichael Residence Hall on the campus of the University of North Carolina at Chapel Hill. With Dewberry Engineers, Inc., a multi-disciplined consulting engineering firm in Raleigh, NC, I believe that we have in place a team with current and recent elevator design experience that is eminently qualified to meet this project's requirements. We would like very much to be considered to provide the architectural and engineering services for it.

Since this firm was formed in 1994, I have made elevator modernizations a major focus of our design work. Our experience in this specialized project type has been gained in association with a variety of different user-clients, including several campus' in the UNC System and numerous State agencies. Last spring, work was begun on a second bid package of elevator modernization which we designed at **Central Prison** in Raleigh, NC for the NC Department of Public Safety. This project, which began with a comprehensive Condition Assessment and Modernization Plan prepared in 2009, will include the complete equipment replacement of 8 of the 16 elevators in that facility. The modernization of the first 8 elevators was completed in the first bid package in 2012.

We have also designed several key elevator modernizations at **UNC – Chapel Hill**. In 2008, we completed work on the replacement of critical elevators at two buildings at the School of Medicine: the Morgue Elevator at the Brinkhous-Bullitt building – which serves the office of the NC State Medical Examiner, and the primary passenger elevator serving MacNider Hall. Other elevator projects we have completed at UNC:

- Frank Porter Graham Child Development Institute (2010)
- Beard Hall (2009)
- Mary Ellen Jones Building (2006)
- Hamilton Hall (2005)
- South Building (New elevator - 2002)
- Brinkhous Bullitt Building (1997)

This year, construction will begin on elevator modernizations at another elevator in MacNider Hall, and the two-car group at Brauer Hall at the UNC School of Dentistry. We are also pleased to have had the opportunity in recent months to work with Facilities Planning and the UNC Housing group on the plans for the elevator Modernization at Craige Residence Hall, which is almost identical to the proposed elevator scope at Ehringhaus dorm.

We have also begun or completed elevator projects at other university campus' including **East Carolina University** (5 Hi-Rise Residence Halls , Graham Building, Jenkins Cancer Center, Brody Building), **UNC-Greensboro** (Jackson Library; Eberhart Building, Mossman Building), **Duke University** (Allen Building, Bryan Center) and **Virginia Polytechnic Institute and State University** (Norris Hall).

Construction will be completed in March of this year on the modernization of the six elevators (five traction and one hydraulic) at the **Kendall Complex** in Raleigh – the former old Rex Hospital – for the Employment Security Commission of the NC Department of Commerce. As in many of the elevator projects we have designed which involve multiple sites, we have specified that the work at the Kendall Complex be carefully phased to cause minimal disruption to the staff and the 24-7 operations of this critical State agency.

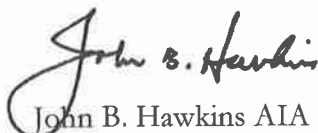
Dewberry Engineers, Inc. is a full-service consulting engineering firm located in Raleigh. With corporate headquarters in northern Virginia, the Raleigh office was opened in 1984 to serve the central North Carolina region. Since that time, they have performed the civil, structural, mechanical, electrical, plumbing, and telecommunications engineering design of a broad range of institutional / educational projects throughout central North Carolina. They have served as our engineering consultants on many of the elevator projects described above as they have on most of our major University projects in the last thirteen years.

Each of our companies has designed a number of state-owned projects which has resulted in regular contact with the NC State Construction office and, for elevator-related projects, the Department of Labor. We feel that this experience has given us the ability to respond to these agencies' requirements efficiently and to respect the job they do in protecting the interests of the citizens of North Carolina.

In all of our work, we strive to employ sustainable design and building practices. We have made responsiveness, compliance with project budgets and schedules, and sound design the main priorities of our professional service. Our office is conveniently located here in Chapel Hill at 312 West Franklin Street, a short walk from the UNC campus.

We include with this letter copies of our Standard Form 330 and some background information on our firms. Please do not hesitate to contact me if I can answer any questions you have or if you would like additional information. Thank you for your attention.

Sincerely,
JOHN B. HAWKINS • AIA • ARCHITECT

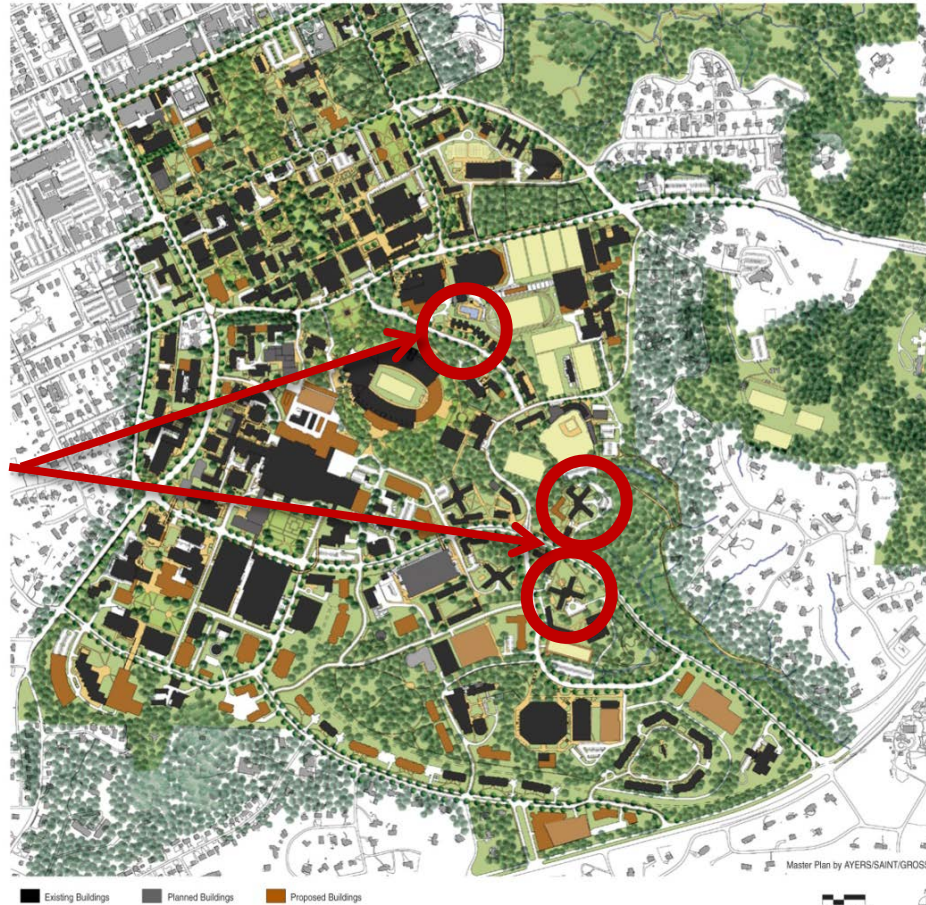


John B. Hawkins AIA

EHRINGHAUS, HINTON JAMES AND CARMICHAEL RESIDENCE HALLS ELEVATOR REPAIRS

The University of North Carolina at Chapel Hill Campus Master Plan Update 2006
Approved March 22, 2006

PROJECT SITES



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

CAMPUS LOCATION MAP

BOARD OF TRUSTEES

MARCH 2015

ATTACHMENT D

DESIGNER SELECTION – EHRLINGHAUS, HINTON JAMES, CARMICHAEL RESIDENCE HALLS ROOF REPLACEMENT

This project will replace the existing roof and install fall protection system at Ehringhaus, Hinton James and Carmichael Residence Halls.

The project budget is \$1,043,800 and will be funded by University funds.

This project was advertised on January 27, 2015. Six (6) proposals were received. Three (3) firms were interviewed on March 16, 2015. 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. Atlas Engineering, Inc. | Raleigh, NC |
| 2. Rooftop Systems Engineers, P.C. | Raleigh, NC |
| 3. Terracon Consultants, Inc. | Raleigh, NC |

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

RECOMMENDED ACTION

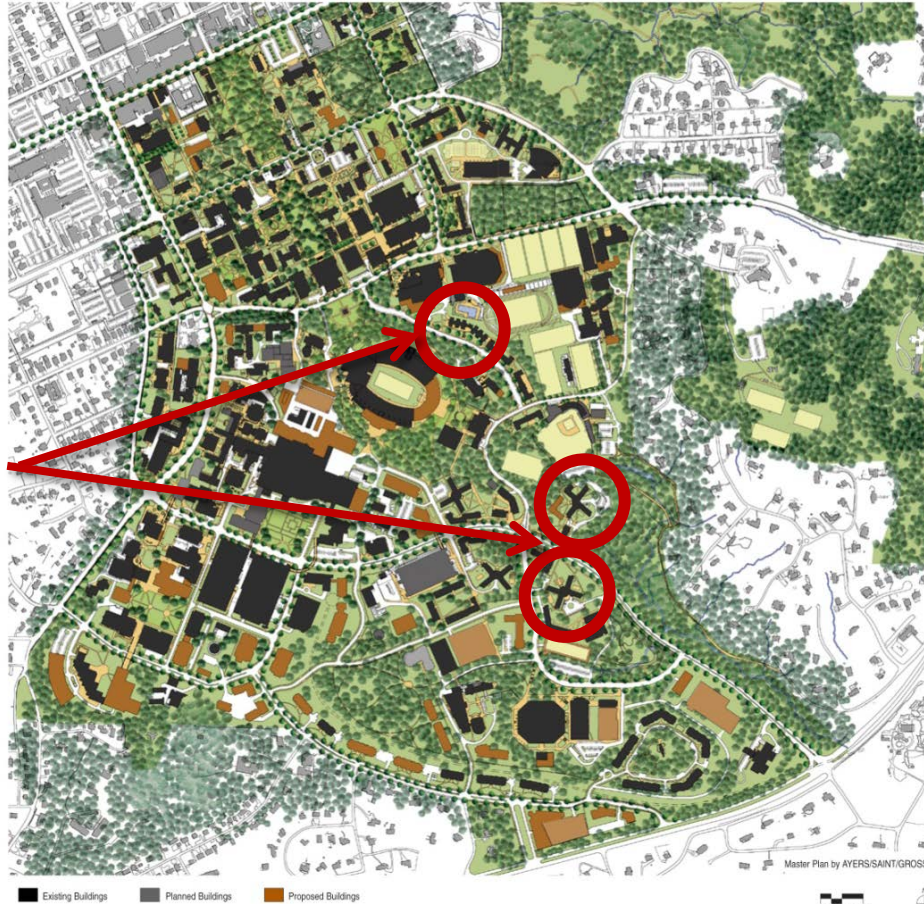
A motion to approve the three firms in the following priority order:

- | | |
|------------------------------------|-------------|
| 1. Atlas Engineering, Inc. | Raleigh, NC |
| 2. Rooftop Systems Engineers, P.C. | Raleigh, NC |
| 3. Terracon Consultants, Inc. | Raleigh, NC |

EHRINGHAUS, HINTON JAMES AND CARMICHAEL RESIDENCE HALLS ROOF REPLACEMENT

The University of North Carolina at Chapel Hill Campus Master Plan Update 2006
Approved March 22, 2006

PROJECT SITES



CAMPUS LOCATION MAP

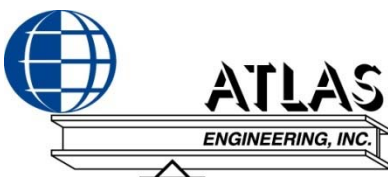
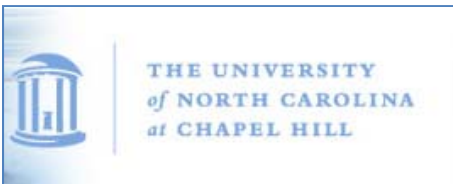


THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

BOARD OF TRUSTEES

MARCH 2015

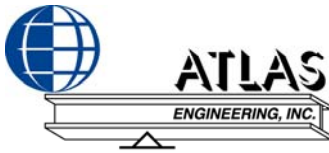
Qualifications Package – Designer Services Roof Replacements & Fall Protection at Ehringhaus, Hinton James and Carmichael Residence Halls



Submitted by:

Atlas Engineering, Inc.

February 17, 2015



February 17, 2015

The University of North Carolina at Chapel Hill
Department of Facilities Planning
103 Airport Drive, Campus Box #1090, Suite 202
Chapel Hill, North Carolina 27599-1090

Attention: Mr. Thomas Loter, AIA

**Subject: Qualification Package – Roof Consulting Services
Roof Replacements and Fall Protection at Ehringhaus, Hinton James
and Carmichael Residence Halls**

Dear Mr. Loter:

Atlas Engineering is very interested in providing roof consulting services to The University of North Carolina at Chapel Hill for Roof Replacement and Fall Protection consulting services for Ehringhaus, Hinton James and Carmichael Residence Halls.

Atlas Engineering is a licensed engineering firm specializing in the evaluation and design of building exterior, roofing, waterproofing, and structural systems. We have been performing these services for federal, state, and local agencies across the State of North Carolina since 1996. Our office is located in Raleigh, North Carolina and we regularly service clients throughout the state.

Why Select Atlas?

Experienced, Professional Personnel: Our staff of ten includes professional engineers, Registered Roof Consultants, and Registered Roof Observers with more than 80 years of combined experience evaluating and designing roofing, waterproofing, and building exterior repair and replacement projects.

Familiarity with UNC-CH: Atlas Engineering regularly provides professional engineering services to UNC-CH for a wide variety of informal and formal projects, many of which have involved roof consulting and fall protection services. We are familiar with and accept the technical and administrative requirements of performing work for UNC-CH.

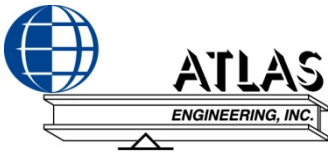
Successful Track Record: Atlas has completed many successful roof replacement projects for UNC-CH and other Universities in the UNC System without legal or technical problems. We would be honored to continue our successful working relationship with UNC-CH and encourage you to contact our references!

Our Qualification Package is enclosed. Additional information describing our firm and the capabilities of our personnel are provided within the attached SF330. Please do not hesitate to contact us if additional information is required.

Kindest Regards,
Atlas Engineering, Inc.

Kelli E. Wilcox

Kelli Wilcox, PE, RRC
Principal Engineer



Qualification Package – Roof Consulting Services Roof Replacements & Fall Protection at Ehringhaus, Hinton James and Carmichael Residence Halls

Atlas Engineering is very interested in providing roof consulting services to The University of North Carolina at Chapel Hill as required for the Roof Replacement & Fall Protection at Ehringhaus, Hinton James and Carmichael Residence Halls project.

Atlas Engineering is a licensed engineering firm specializing in the evaluation and design of building exterior, roofing, waterproofing, and structural systems. We have been performing these services for federal, state, and local agencies across the State of North Carolina since 1996. Our office is located in Raleigh, North Carolina and we regularly service clients throughout the state. Atlas Engineering is registered with the State of North Carolina as a Small Business Enterprise (SBE).

Our Qualifications Package provides additional information describing our firm and the capabilities of our personnel. We have also attached a list of references and the requested SF-330 form.

Specialized Expertise in Roofing Evaluation and Design

Atlas Engineering's facilities team has extensive experience in the evaluation, replacement and repair design, and construction administration for existing low and steep-sloped roofing systems including ***built-up, modified bitumen, single-ply thermoset and thermoplastic membranes, slate, shingles, clay tile, architectural and standing seam metal***. Our full-time staff has well over 80 years of combined experience in the facilities and construction industry with a specialization in the building structure and exterior envelope. Our experienced personnel regularly work for public clients throughout North Carolina and understand the myriad of needs and challenges that facilities and maintenance personnel must face when roof repairs and replacements are needed at public facilities. From advance planning through construction administration, Atlas Engineering focuses on recommending and designing replacement systems or repairs that meet the Owner's technical, functional, aesthetic, and budgetary needs while maintaining the full-time operation of their facility.

The Atlas Engineering staff includes four registered professional engineers (PE), two registered roof consultants (RRC), and a registered roof observer (RRO) who each specialize in aspects of the building exterior systems including roofing, waterproofing, building exteriors, and structure; allowing our project team to efficiently evaluate and design repairs for a range of issues that may be present.

Past Performance on Similar Projects and Campus Design Project Experience

At Atlas Engineering we base our success on careful and thorough engineering work, keeping our client informed, and finishing our work on schedule. We fully understand the unique challenges involved with repair/replacement projects at educational campuses and work closely with our clients during the project process to make sure their needs are met. The successful completion of past projects for the UNC System overall and UNC-CH specifically, has demonstrated our dedication to client satisfaction, with projects completed within available budgets and with minimal disruption to the building use. Our staff has completed complex roof repairs and replacements at residence halls, lecture halls, campus

libraries, student unions, administrative facilities, computer centers, hospitals, gymnasiums, television studios, laboratories, and research facilities.

The following project profiles are representative of type work we do at public facilities. They provide a snapshot of projects performed for the University system and other public clients, and reflect the experience of our project team members.

UNC-TV Bryan Center (UNC-TV), RTP, NC

Ms. Carol Woodyard, PE - Director of Facilities, (919) 549-7076

Since its construction in the early 1990s, the UNC-TV Bryan Center had experienced leaks in the roofing system and through the exterior wall assembly. With live television production studios and the large quantity of expensive production equipment; water entry was a constant source of concern for facilities and maintenance staff. Atlas Engineering evaluated the existing roof system and exterior walls and provided an initial prioritized scope and budget for the work needed to stop water entry (advance planning). At the time of the design funding was not available to complete the entire desired scope of services so Atlas recommended the inclusion of the remaining work as bid alternates to provide maximum budget flexibility to the Owner. Atlas designed low sloped thermoplastic PVC and steep sloped standing seam metal roof replacement systems, through-wall flashing repairs, sealant replacement, and isolated masonry repairs. A favorable bidding climate and the

Scope: Roof Replacement and Exterior Wall Repairs (Masonry and Sealant)
Construction Cost: \$860,000

Project Team:

Engineer of Record and
Project Manager: Kelli Wilcox, PE, RRC
Lead Technician: Jim Copeland, RRO
Structural Engineer: Chris Coutu, PE

securement of additional funding allowed the client to contract the completion of the entire scope. Construction was performed during standard working hours with careful coordination to allow the production studios to remain in full use. The successful execution of the work was greatly enhanced by the effective construction administration by qualified personnel, and maintaining an excellent relationship with the client and contractor.



UNC-CH Walter Davis Library, Chapel Hill, NC

Mr. Bob Beke –Construction Manager-FP & D, (919) 962-9010

Atlas Engineering performed a detailed review and evaluation of the existing roof systems and building exteriors at the Walter Davis Library to create a prioritized technical work scope for the Owner. This detailed approach was necessary prior to starting the design phase for the project due to the combination of sensitive interior conditions, a high-profile location on the main campus, and a very restrictive project budget. Design recommendations took into consideration specific technical requirements, current use of interior spaces, and cost comparisons to determine the best use of the University's available capital funds. The initial evaluation resulted in the performance of roof replacement work for the areas with the most severe conditions including two low-sloped roof areas and the steep-sloped roof of the Reading Room. The project consisted of installation of new low-sloped two-ply modified bitumen and standing seam metal retrofit roof systems, replacement of sealant joints, and installation of new fall protection systems. Design documents were specially tailored to maintain full function of the building and the surrounding vehicular and pedestrian areas. Experienced and professional personnel ensured project success through comprehensive design documentation and a focus on construction administration.

Scope: Roof Replacement, Sealant Replacement and Fall Protection

Construction Cost: \$571,000

Project Team:

Engineer of Record and

Project Manager: Kelli Wilcox, PE, RRC

Lead Technician: Jim Copeland, RRO

Structural Engineer: Chris Coutu, PE



Cumberland Co. Libraries and Board of Elections, Fayetteville, NC
Mr. Sam Lucas - Cumberland County Engineering Dept., (910) 678-7634

Atlas Engineering provided an initial evaluation (advance planning), design documents for bidding, and contract administration during construction for the Roof Replacements at the Central and Cliffdale Libraries and the Board of Elections Building in Cumberland County. Atlas designed replacement of the existing roof systems with new low-sloped, two-ply modified bitumen roof systems at the Central Library and Board of Elections Building and a new low-sloped, single-ply thermoplastic PVC roof system at the Cliffdale Library. Through the use of bid alternates and unit rate work, Atlas was able to maximize the amount of work for which the Owner could obtain bids allowing them to have added flexibility in the use of their available budget. During initial fieldwork and evaluation, the condition of building sealant joints was discussed, and sealant replacement was able to be included within the project scope. Each of the county's buildings included in this project were able to remain open to the public during construction. Atlas Engineering has enjoyed a rewarding long-term relationship with Cumberland County and continues to provide Roofing Design Services for them to date. Atlas has just recently



completed two-ply modified bitumen roof replacement projects for their Sheriff's Annex and Landscaping Buildings.



Scope: Roof Replacement and Exterior Joint Sealant Repair

Construction Cost: \$512,000

Project Team:

Project Manager: Rob Tatum, RRC

Lead Technician: Jim Copeland, RRO

Engineer of Record: Kelli Wilcox, PE, RRC

Currituck County Judicial Building, Currituck, NC

Ms. Brenda McQueen - Currituck Co. Public Works Dept., (252) 232-2504

The Currituck Judicial Building is located less than a mile from the Currituck Sound in Currituck, North Carolina and forms part of the county government complex.

The building had experienced leaks from the roof that had caused significant disruption to occupants and cost to the County ever since it was constructed. Atlas performed a detailed evaluation and identified system concerns to be addressed including, deficient materials, poor detailing, damages to the structure during construction and due to water entry, and structural system components that did not meet required building code for wind uplift. Through detailed design documents and careful pre-qualification of bidders, we were able to replace the entire roof system, make required upgrades and repairs to the structural system and perform cosmetic work to the exterior EIFS on the building all within the original budget for roof replacement alone.

Replacement systems included a new thermoplastic PVC roof system on the low-sloped portions of the roof and a new asphalt shingled roof system on the steep-sloped portions of the roof. Systems were designed with enhanced detailing and careful material and manufacturer selection to meet coastal wind uplift requirements.



Scope: Roof Replacement, EIFS Restoration, and Structural Repairs
Construction Cost: \$426,000

Project Team:

Project Manager: Rob Tatum, RRC
Lead Technician: Jim Copeland, RRO
Engineer of Record: Kelli Wilcox, PE, RRC
Structural Eng.: Chris Coutu, PE



UNC-CH Battle, Vance, and Pettigrew Halls, Chapel Hill, NC
Ms. Wendy Hillis – Project Manager, FP&D, (919) 843-3238

Atlas Engineering performed an evaluation of the exterior masonry walls, roof, and windows at these historic buildings due to concerns with structural stability of the parapet walls, water entry at the roof and walls, and the desire for an exterior historical restoration at the building. Battle, Vance, and Pettigrew Halls were constructed in 1910 and are on the National Register of Historic Places for the Chapel Hill Historic District.

The buildings had experienced damage to the perimeter masonry parapet walls from long-term weathering, which had created a potential falling hazard. The roofs were well past their service life and were leaking. Atlas designed structural repairs to the masonry parapet walls, exterior re-pointing, fall protection, and roof replacement design. Through detailed design documents and careful pre-qualification of bidders, we were able to provide flexibility to the Owner for bidding in order to maximize the amount of work to be performed within budget. Due to a favorable bidding climate, additional renovation work was requested by the Owner including the restoration of the existing wood windows and replacement of copper flashings over bay windows.

Scope: Roof Replacement, Sealant and Masonry Repairs, Parapet Structural Repairs, Window Historic Restoration

Construction Cost: \$1,700,000

Project Team:

Engineer of Record: Chris Coutu, PE
Roof Consultant: Kelli Wilcox, PE, RRC
Lead Technician: Jim Copeland, RRO



Multiple Buildings at Western Carolina University, Cullowhee, NC
Mr. Andy DeGrove – Project Manager-FP & D, (828) 227-3124

Atlas Engineering has provided roof consulting services at multiple buildings at Western Carolina University over the last 10 years. We have designed replacement roof systems and performed construction administration for Hunter Library and the adjacent Hunter-Stillwell below-grade connector tunnel, the Student Bookstore, Moore Building, Reynolds Residence Hall, Killian Annex, WCU Water Storage Tanks, Albright-Benton Residence Hall, and the Killian Building.

The majority of these projects incorporated the evaluation and replacement of the existing roof systems with new single-ply thermoplastic PVC membrane systems. Some building scopes also included sealant replacement, building exterior repair/restoration, structural repairs, or waterproofing replacement. We closely coordinated our professional services with the Owner to help select technically sound and cost effective replacement systems, but also to handle the challenges of performing these demolition-intensive projects at a thriving campus with congested site access and lots of pedestrian and vehicular traffic.

The roof replacement projects were generally performed during summer semesters to ease congestion and limit disruption; but the designs are structured to allow for the buildings to be occupied and in session when needed by the University. Our goal is to provide flexibility to the University to allow them to schedule projects off-summer to take advantage of beneficial bid climates. Due to the geographic location of the campus and the difficulty in developing and maintaining a qualified local contractor base; construction administration has been critical to obtain final installations that will perform as required.

<p><u>Scope:</u> Roof Replacements, Exterior Restoration, Sealant Replacement, etc. <u>Construction Cost:</u> \$1,050,000 - \$180,000 <u>Project Team:</u> Engineer of Record and Project Manager: Kelli Wilcox, PE, RRC Lead Technician: Jim Copeland, RRO</p>



Proposed Staff - Experienced Team Members

The Atlas Engineering staff includes four registered professional engineers (PE), two registered roof consultants (RRC), and a registered roof observer (RRO) who each specialize in aspects of existing building exterior systems including roofing, waterproofing, building exterior, and fall protection design allowing our project team to efficiently evaluate and design repairs for a range of issues that may be present.



Ms. Kelli Wilcox is a professional engineer registered in the State of North Carolina (NC#28317), a Registered Roof Consultant (#0553), and a Principal with Atlas Engineering. Ms. Wilcox has been the Engineer of Record, Project Manager, and Project Designer for multiple roof replacement projects at public facilities in North Carolina including projects for Western Carolina University, UNC-CH, UNC-W, North Carolina State University, UNC-TV, the North Carolina National Guard, and the North Carolina State Ports Authority over the past 17 years.



Mr. Rob Tatum, RRC is a Registered Roof Consultant (#0572) with extensive experience designing both low-slope and steep-slope replacement roof systems and was recently the Project Manager for roof replacements at multiple public facilities owned by Cumberland County, the Currituck County Judicial Building, and a number of buildings for private industry clients such as GlaxoSmithKline and IBM. Most recently, Mr. Tatum has been involved in the emergency roof replacement at ECU Greene Hall and the Masonry Repair projects at Greene, White, and Clement Halls.



Mr. Jim Copeland, RRO is a Registered Roof Observer (#0499) and is involved as a Lead Technician for state and university projects during evaluation and design, and as a Lead Technical Specialist during construction administration phases. Mr. Copeland specializes in on-site construction administration assuring the quality of the replacement system installations in the field and obtaining conformance to the design documents. He has performed these services on project for both State and County-owned facilities and our private industry clients including Fortune 500 companies.



Mr. Chris Coutu, PE is a professional engineer registered in the State of North Carolina (NC#23042) and a Principal with the firm. Mr. Coutu has specialized experience in both roof replacement, building exterior, and structural evaluation and repair design projects at UNC-CH and will be involved as needed during evaluation, design, and construction administration to address fall protection, and roof structural issues that may present themselves. Mr. Coutu assists with internal quality review of state and university projects.

Current Workload and State Projects Awarded

Atlas Engineering currently has two roofing projects in design for State-Owned facilities with four in construction administration and expected to be complete by August 2015. Atlas also has two current annual roof consulting contracts with Universities in North Carolina. The workload for the key personnel to be involved on your project would allow them to meet a reasonable project design and construction schedule.

Proposed Design Approach

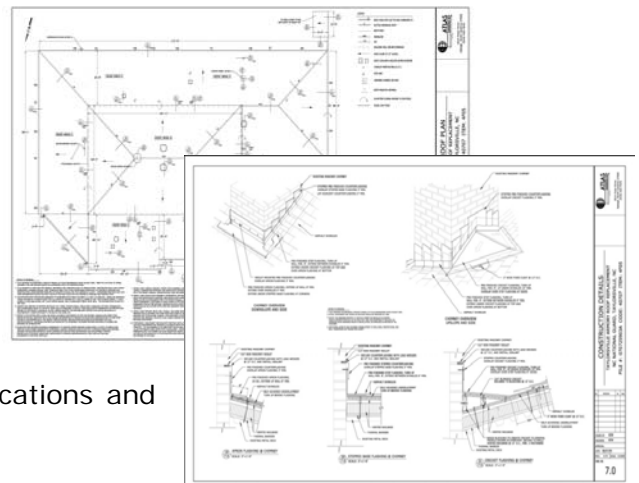
Atlas' evaluation and design approach will be tailored to the specific needs of UNC-CH and the unique aspects of each facility. Due to our past experience with UNC-CH, Atlas will be able to tailor planning and design to the UNC-CH campus, staff, and site requirements. Ms. Kelli Wilcox, PE, RRC will be designated as the point of contact for the Owner and this point of contact will be maintained throughout design, construction administration, and close-out. The point of contact/lead design professional will be actively involved with all aspects of the project.

Based on the project descriptions provided in the RFQ, our team would begin with review of existing architectural drawings and thorough fieldwork to obtain the necessary information regarding the current condition of the roofing components, the structure, rooftop equipment, drainage, and building site. Although an anticipated scope of work has been provided for each building, our fieldwork would be performed to confirm the required scope and to allow for design of lower priority or associated repairs as potential bid alternates. Fieldwork would include sampling and testing for asbestos containing materials when warranted due to the type and age of the existing roof system. Careful observation of the roof structure and drainage conditions will also be performed, especially where evidence of water entry, corrosion or other damage is observed.



After confirming the existing condition of the systems to be replaced, Atlas would confirm the project goals, budget, system preferences, limitations, schedules, and recommended work scope with facilities and maintenance personnel. On-site facility personnel have valuable knowledge of the water entry issues based on their past history with the buildings and their input will be used to confirm the prioritization of work scope and during the consideration of a replacement roof system. The focus at this stage is to confirm the work scope and to prioritize to allow the work to be completed within an available, realistic budget.

The fieldwork performed would be adequate to allow for issue of a combined Schematic Design/Design Development Submittal to the Owner and SCO. The recommended scope of work, opinions of cost, and construction schedules would be clearly communicated and shown to meet building code and Owner requirements. Upon approval of the SD/DD submittal by SCO and through the Dr. Checks program, Atlas will incorporate and respond to all review comments and will develop a full construction document set including project specifications and



design drawings. Project cost estimates and schedules would be updated with this submittal to reflect and modifications and final design components.

With final approval, design documents will be issued as Bidding Documents and Atlas Engineering will provide bidding assistance services required, including, but not limited to: distribution of bid documents, pre-qualification of contractors, public advertisements for bids, scheduling and attendance at Pre-Bid Meetings, response to technical questions, issue of addenda, attendance at the Bid Opening, bid review, and recommendations for award. Our construction administration capabilities are discussed in detail in a later section.

Recent Experience with Project Costs and Schedule

Atlas Engineering utilizes close communication with product and system manufacturers and roofing contractors, along with an internal database of geographic material and labor costs for the systems that we recommend and design. We have been successful at providing realistic project budgets and schedules that have adequately covered actual bid costs and aided the Owner in planning for construction durations. Whenever possible, we incorporate bid alternates and unit rate pricing to increase the Owner's budget flexibility and to take advantage of beneficial bid climates.

Construction Administration Expertise

Our project team understands that any replacement or repair project must incorporate both a quality design and quality construction administration/oversight to be successful. This is especially important for roofing replacement projects in which the overall performance of the completed system relies upon the quality of the installation and on components that are often concealed after installation. Each of the engineers and technical specialists on our proposed team has experience with construction administration and project oversight for roof replacement projects. We have qualified, registered personnel who have roofing-specific design and field inspection experience.

Our construction administration services focus on timely visits to the site to observe the installation of the work with detailed site visit reports including color photographs and key plans issued to the Contractor and Owner. Frequency of visits is increased for key installations and the number of visits is tailored to the project needs based on the pace and installation quality observed. Construction administration services also include distribution of contracts, review of contracts and bonds, review of technical submittals, scheduling and attendance at a Pre-Construction Meeting and progress meetings, provision of meeting minutes, technical correspondence during installation, review and certification of pay applications, and coordination of project closeout documents and a Final Report. We understand the specific construction administration requirements, preferences, and concerns for universities in the state system and will work with you to adapt



Attachments: References
SF 330

ARCHITECT – ENGINEER QUALIFICATIONS

PART I - CONTRACT-SPECIFIC QUALIFICATIONS

A. CONTRACT INFORMATION

1. TITLE AND LOCATION *(City and State)*

Roof Replacements & Fall Protection at Ehringaus, Hinton James and Carmichael Residence Halls, UNC-CH, Chapel Hill, NC

2. PUBLIC NOTICE DATE

February 17, 2015 (Closing Date)

3. SOLICITATION OR PROJECT NUMBER

N/A

B. ARCHITECT-ENGINEER POINT OF CONTACT

4. NAME AND TITLE

Kelli Wilcox, PE, RRC; Principal

5. NAME OF FIRM

Atlas Engineering, Inc.

6. TELEPHONE NUMBER

919-420-7676

7. FAX NUMBER

919-420-7677

8. E-MAIL ADDRESS

Kelli@Atlasnc.com

C. PROPOSED TEAM

(Complete this section for the prime contractor and all key subcontractors.)

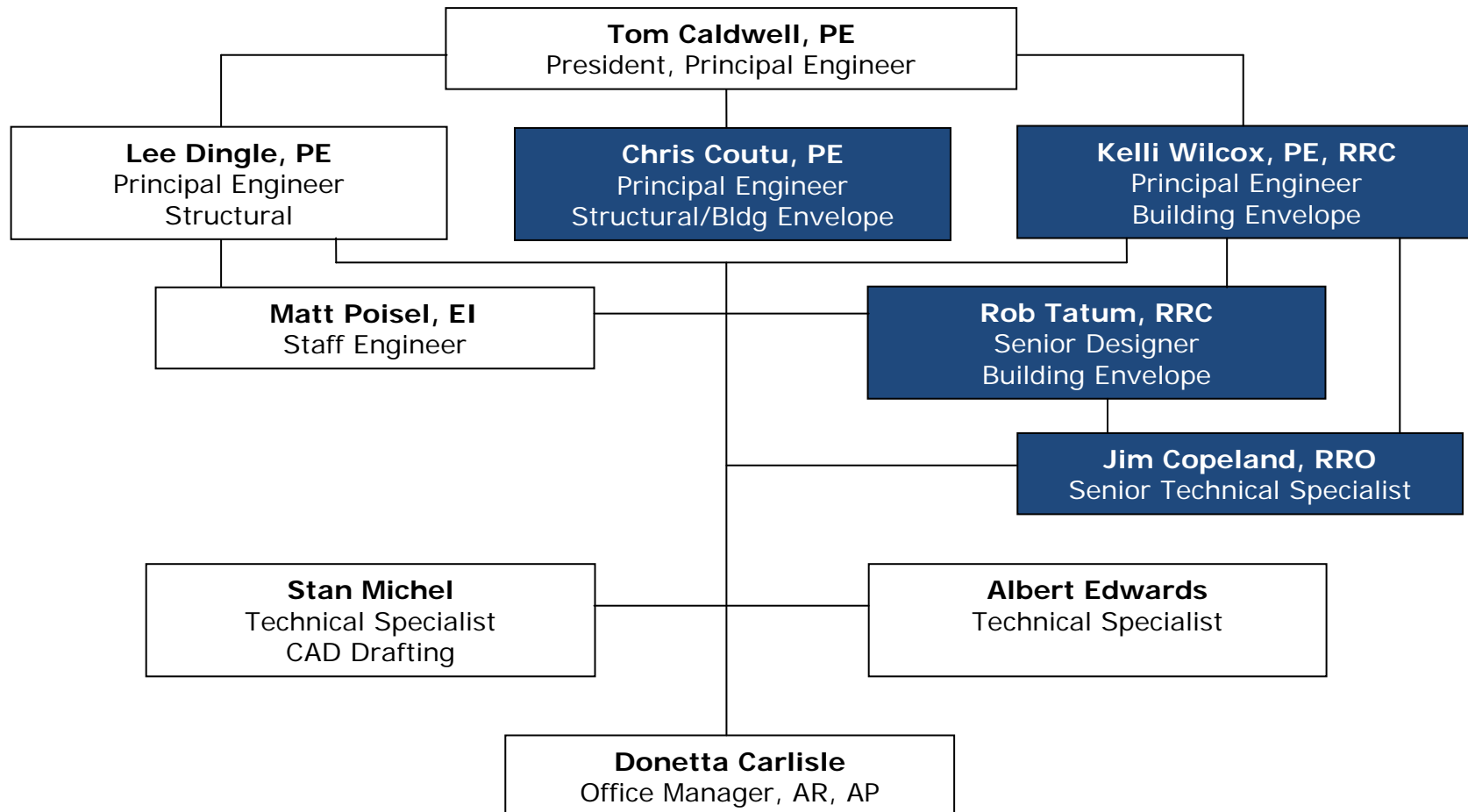
	(Check)			9. FIRM NAME <input type="checkbox"/> CHECK IF BRANCH OFFICE	10. ADDRESS	11. ROLE IN THIS CONTRACT
	PRIME	J-V PARTNER	SUBCONTRACTOR			
a.	<input checked="" type="checkbox"/>			Atlas Engineering, Inc. <input type="checkbox"/> CHECK IF BRANCH OFFICE	551 A Pylon Drive Raleigh, NC 27606	Lead Design Firm Roofing/Fall Protection
b.				<input checked="" type="checkbox"/> CHECK IF BRANCH OFFICE		
c.				<input checked="" type="checkbox"/> CHECK IF BRANCH OFFICE		
d.				<input checked="" type="checkbox"/> CHECK IF BRANCH OFFICE		
e.				<input checked="" type="checkbox"/> CHECK IF BRANCH OFFICE		
f.				<input checked="" type="checkbox"/> CHECK IF BRANCH OFFICE		

D. ORGANIZATIONAL CHART OF PROPOSED TEAM

☒ (Attached)

Atlas Engineering Organization Chart

Staff members shown in blue below make up the proposed project team and are selected based on their areas of expertise. Resumes for key personnel are attached.



E. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT
(Complete one Section E for each key person.)

12. NAME <p align="center">Kelli Wilcox, PE, RRC</p>	13. ROLE IN THIS CONTRACT <p align="center">Engineer of Record/Project Designer</p>	14. YEARS EXPERIENCE <table style="width:100%; border: none;"> <tr> <td style="width:50%; border: none;">a. TOTAL</td> <td style="width:50%; border: none;">b. WITH CURRENT FIRM</td> </tr> <tr> <td align="center" style="border: none;">17</td> <td align="center" style="border: none;">12</td> </tr> </table>	a. TOTAL	b. WITH CURRENT FIRM	17	12
a. TOTAL	b. WITH CURRENT FIRM					
17	12					
15. FIRM NAME AND LOCATION (City and State) <p align="center">Atlas Engineering, Inc. Raleigh, North Carolina</p>						
16. EDUCATION (DEGREE AND SPECIALIZATION) <p align="center">B.A.E. Architectural Engineering '98 The Pennsylvania State University</p>	17. CURRENT PROFESSIONAL REGISTRATION (STATE AND DISCIPLINE) <p align="center">Professional Engineer, North Carolina, Civil Lic. #28317</p>					
18. OTHER PROFESSIONAL QUALIFICATIONS (Publications, Organizations, Training, Awards, etc.) <p align="center">Registered Roof Consultant (Lic. # 0553); Roof Consultants Institute</p>						

19. RELEVANT PROJECTS

	(1) TITLE AND LOCATION (City and State)	(2) YEAR COMPLETED	
	Western Carolina University – Roof Replacements at Multiple Facilities; Cullowhee, NC	PROFESSIONAL SERVICES	CONSTRUCTION (If applicable)
		2005-Present	2006-Present
a.	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm <p>Evaluated and designed roof replacements for multiple facilities including Hunter Library, Stillwell Connector Plaza, Student Bookstore, Reynolds Halls, Moore Building, Killian Annex and Killian Building, Water Storage Tanks, and Albright-Benton Residence Halls as the Project Designer and Engineer of Record. Replacements varied in size from approximately 10,000 to 75,000 square feet with project budgets ranging from \$250,000 - \$1,100,000. Some projects included exterior wall/sealant repair or replacement in conjunction with roofing scope.</p>		
	UNC-CH Battle, Vance, Pettigrew Hall – Exterior Wall Repairs and Roof Replacement; Chapel Hill, NC	PROFESSIONAL SERVICES	CONSTRUCTION (If applicable)
		2010	2011
b.	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm <p>Evaluated and designed the roof replacement for this historical registry building in conjunction with structural repairs to the exterior parapet walls that had been damaged due to years of roof leaks. Difficult access, limited budget, and strict aesthetic requirements for the roof system were incorporated into the design. In addition, the work was completed while the building was occupied and the use of the adjacent pedestrian thoroughfare was in use. The total project budget was just over \$1M with the roofing replaced on just over \$10,000 square feet of steep-sloped roof area.</p>		
	UNC-CH Fetzer Hall and Student Recreation Center Roof Replacement; Chapel Hill, NC	PROFESSIONAL SERVICES	CONSTRUCTION (If applicable)
		2008-2013	2013 Start
c.	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm <p>Evaluated the existing buildings to provide advance planning scope for a roof replacement project and proceeded to design roof replacement, masonry repairs, and fall protection scope for the project. Scope was revisited due to budget restrictions, adjacent construction, and coordination with student projects with close communication with the Owner's representatives to make necessary modifications. The project includes roof replacement over approximately 73,000 square feet with an anticipated project cost of \$2.5 million and is scheduled to begin construction at the end of 2013.</p>		

(1) TITLE AND LOCATION <i>(City and State)</i> UNC-TV Bryan Center Roof Replacement and Exterior Wall Repair; RTP, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2008	CONSTRUCTION (If applicable) 2009
d. (3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE Evaluated the existing building roof and exterior walls to determine the sources of water entry and to prioritize required repairs to meet available budget. Roof replacement, masonry repairs, and sealant replacement were designed and full construction administration provided. The project design incorporated a number of bid alternates to allow for budget flexibility and the Owner was able to perform all recommended repairs. The overall project cost was \$790,000.	<input checked="" type="checkbox"/> Check if project performed with current firm	
(1) TITLE AND LOCATION <i>(City and State)</i> UNC-CH Walter Davis Library	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2007	CONSTRUCTION (If applicable) 2008
e. (3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE Evaluated the entire library roof and building exterior to provide a prioritized repair plan based on available budget and phased replacement plan. Roof replacement including fall protection and sealant replacement was designed for the Reading Room, as well as, three other isolated roof areas with the most severe deterioration and water entry issues. Full construction administration was performed to meet the requirements of the university and SCO for state-owned buildings. The overall project cost was \$571,000.	<input checked="" type="checkbox"/> Check if project performed with current firm	

E. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT

(Complete one Section E for each key person.)

12. NAME Rob Tatum, RRC	13. ROLE IN THIS CONTRACT Project Designer	14. YEARS EXPERIENCE	
		a. TOTAL 20	b. WITH CURRENT FIRM 9
15. FIRM NAME AND LOCATION (City and State) Atlas Engineering, Inc. Raleigh, North Carolina			
16. EDUCATION (DEGREE AND SPECIALIZATION) B.S. Mechanical Engineering '95 The University of North Carolina at Charlotte B.S. Physics '92 Appalachian State University		17. CURRENT PROFESSIONAL REGISTRATION (STATE AND DISCIPLINE)	
18. OTHER PROFESSIONAL QUALIFICATIONS (Publications, Organizations, Training, Awards, etc.) Registered Roof Consultant (Lic. # 0572); Roof Consultants Institute			

19. RELEVANT PROJECTS

	(1) TITLE AND LOCATION (City and State)	(2) YEAR COMPLETED	
		PROFESSIONAL SERVICES	CONSTRUCTION (If applicable)
a	East Carolina University, Exterior Masonry Repairs at Greene, White, and Clement Halls; Greenville, NC	2011-2013	2012-2013
	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluated and designed exterior masonry wall repairs for three multi-story residence halls as a part of two projects to address chronic water entry issues. Projects had accelerated design schedules and construction that was required to be completed during the summer when buildings were unoccupied. Buildings were located at busy pedestrian thoroughfares adjacent to a dining hall, and near student orientation programs, apartment complexes and adjacent downtown businesses. Total project costs were approximately \$780,000.		
b	East Carolina University, Emergency Roof Replacement at Greene Hall; Greenville, NC	2011	2012
	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Worked closely with ECU and their roofing contractor to perform an emergency roof replacement to the roof of Greene Hall that was damaged during a hurricane. Scope of work included review of the proposed replacement design, review of technical submittals, and site visits during construction to confirm conformance with manufacturer and industry standards. Cost of emergency roof replacement was on the order of \$133,000.		
c	Currituck County Judicial Center Roof Replacement and Structural Repairs; Currituck, NC	2010	2010
	(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluated the building and designed a roof replacement, EIFS restoration and structural repairs to eliminate long-term leaks from the roof that had caused significant disruption to occupants and cost to the County ever since the building was constructed. Systems were designed with enhanced detailing and careful material and manufacturer selection to meet coastal wind uplift requirements. Work was performed while the building remained in full use, including the continuation of all public court activities. The total project cost was on the order of \$426,000.		

(1) TITLE AND LOCATION <i>(City and State)</i> Cumberland County Engineering Department – Roof Replacements at Multiple Buildings; Fayetteville, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2007-2013	CONSTRUCTION (If applicable) 2007-2013
(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm <p>Evaluated and designed roof replacements for multiple facilities including, but not limited to Board of Elections, Sheriff's Annex, Landscaping and Grounds Building; Crisis Stabilization Building and two Cumberland County Libraries as the Project Designer. Replacements varied in size from approximately 5,000 to 50,000 square feet with project budgets ranging from \$150,000 - \$600,000. Some projects included exterior wall/sealant repair or replacement in conjunction with roofing scope.</p>		
(1) TITLE AND LOCATION <i>(City and State)</i> Pharmaceutical Research Company, RTP, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2007-Present	CONSTRUCTION (If applicable) 2008-Present
(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm <p>Performed design of roof replacement projects including fall protection systems and coordination with mechanical equipment support modifications and upgrades, and lightning protection modifications at more than 8 large buildings on the RTP, NC campus of a large pharmaceutical research company. Construction administration during installation was provided to confirm conformance. Typical project costs range from \$500,000 to \$2.5M and incorporate mainly low-slope roof replacement with isolated steep-slope and plaza roof systems. Careful coordination with building facilities personnel is required to prevent disruptions to interior areas by noise, odors, vibration, and required equipment shut downs and to maintain the safety of building occupants and pedestrians.</p>		

E. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT
(Complete one Section E for each key person.)

12. NAME James (Jim) Copeland RRO	13. ROLE IN THIS CONTRACT Senior Technical Specialist	14. YEARS EXPERIENCE <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">a. TOTAL 20+</td> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">b. WITH CURRENT FIRM 10</td> </tr> </table>		a. TOTAL 20+	b. WITH CURRENT FIRM 10
a. TOTAL 20+	b. WITH CURRENT FIRM 10				
15. FIRM NAME AND LOCATION (City and State) Atlas Engineering, Inc. Raleigh, North Carolina					
16. EDUCATION (DEGREE AND SPECIALIZATION) Associates Degree, AC/H/R '84 Pitt Community College		17. CURRENT PROFESSIONAL REGISTRATION (STATE AND DISCIPLINE)			
18. OTHER PROFESSIONAL QUALIFICATIONS (Publications, Organizations, Training, Awards, etc.) Registered Roof Observer (Lic. # 0499); Roof Consultants Institute					

19. RELEVANT PROJECTS

(1) TITLE AND LOCATION (City and State) Western Carolina University – Roof Replacements at Multiple Facilities; Cullowhee, NC	(2) YEAR COMPLETED <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">PROFESSIONAL SERVICES 2005-Present</td> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">CONSTRUCTION (If applicable) 2006-Present</td> </tr> </table>		PROFESSIONAL SERVICES 2005-Present	CONSTRUCTION (If applicable) 2006-Present
PROFESSIONAL SERVICES 2005-Present	CONSTRUCTION (If applicable) 2006-Present			
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm a. Performed construction administration to ensure conformance with design documents for multiple facilities including Hunter Library, Stillwell Connector Plaza, Student Bookstore, Reynolds Halls, Moore Building, and Killian Annex as the Lead Technical Specialist. Replacements varied in size from approximately 10,000 to 75,000 square feet with project budgets ranging from \$250,000 - \$1,100,000. Some projects included exterior wall/sealant repair or replacement in conjunction with roofing scope.				
(1) TITLE AND LOCATION (City and State) East Carolina University, Exterior Masonry Repairs at Greene, White, and Clement Halls; Greenville, NC	(2) YEAR COMPLETED <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">PROFESSIONAL SERVICES 2011-2013</td> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">CONSTRUCTION (If applicable) 2012-2013</td> </tr> </table>		PROFESSIONAL SERVICES 2011-2013	CONSTRUCTION (If applicable) 2012-2013
PROFESSIONAL SERVICES 2011-2013	CONSTRUCTION (If applicable) 2012-2013			
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm b. Performed construction administration to ensure conformance with design documents for exterior masonry wall repairs for three multi-story residence halls as a part of two projects to address chronic water entry issues. Projects had accelerated design schedules and construction that was required to be completed during the summer when buildings were unoccupied. Buildings were located at busy pedestrian thoroughfares adjacent to a dining hall, and near student orientation programs, apartment complexes and adjacent downtown businesses. Total project costs were approximately \$780,000.				
(1) TITLE AND LOCATION (City and State) UNC-CH Walter Davis Library Partial Roof Replacement; Chapel Hill, NC	(2) YEAR COMPLETED <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">PROFESSIONAL SERVICES 2007</td> <td style="width:50%; border-bottom: 1px solid black; text-align: center;">CONSTRUCTION (If applicable) 2008</td> </tr> </table>		PROFESSIONAL SERVICES 2007	CONSTRUCTION (If applicable) 2008
PROFESSIONAL SERVICES 2007	CONSTRUCTION (If applicable) 2008			
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm c. Performed construction administration to ensure conformance with design documents for roof replacement, including fall protection and sealant replacement, for the Reading Room, as well as, three other isolated roof areas with the most severe deterioration and water entry issues. Design, bidding, and construction administration services were all performed to meet the requirements of the university and SCO for state-owned buildings. The overall project cost was \$571,000.				

(1) TITLE AND LOCATION <i>(City and State)</i> UNC-TV Bryan Center Roof Replacement and Exterior Wall Repair; RTP, NC	(2) YEAR COMPLETED PROFESSIONAL SERVICES 2008 CONSTRUCTION (If applicable) 2009	
(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm d. Performed construction administration to ensure conformance with design documents for roof replacement, masonry repairs, and sealant replacement were designed and full construction administration provided. The project design incorporated a number of bid alternates to allow for budget flexibility and the Owner was able to perform all recommended repairs. The overall project cost was \$790,000.		
(1) TITLE AND LOCATION <i>(City and State)</i> RDU Airport – Terminal 1 Renovation (Roof Replacement); RTP, NC	(2) YEAR COMPLETED PROFESSIONAL SERVICES 2013 CONSTRUCTION (If applicable) 2013	
(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Performing full-time, on-site roof monitoring services for the Owner during the roofing replacement being performed during renovation of Terminal 1 over a 10 month period. Scope involves review and understanding of the project documents, technical submittals, manufacturer's warranty requirements, and designer expectations in order to ensure conformance with the project requirements by the roofing subcontractor. Close communication with multiple parties and careful documentation of observations through daily reports and maintenance of action items lists was provided.		

E. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT

(Complete one Section E for each key person.)

12. NAME Chris Coutu, PE	13. ROLE IN THIS CONTRACT Project Designer/Principal	14. YEARS EXPERIENCE a. TOTAL 25 b. WITH CURRENT FIRM 18	
15. FIRM NAME AND LOCATION (City and State) Atlas Engineering, Inc. Raleigh, North Carolina			
16. EDUCATION (DEGREE AND SPECIALIZATION) B.S. Civil Engineering '91 North Carolina State University	17. CURRENT PROFESSIONAL REGISTRATION (STATE AND DISCIPLINE) Professional Engineer, North Carolina and South Carolina - Civil		
18. OTHER PROFESSIONAL QUALIFICATIONS (Publications, Organizations, Training, Awards, etc.) Structural Specialist Urban Search and Rescue NC TF8			

19. RELEVANT PROJECTS

a. (1) TITLE AND LOCATION (City and State) UNC-CH Battle, Vance, Pettigrew Hall – Exterior Wall Repairs and Roof Replacement; Chapel Hill, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2010	CONSTRUCTION (If applicable) 2011
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluated and designed the structural repairs to the exterior parapet walls and fall protection anchor system for this historical registry building in conjunction with the roof replacement. Difficult access, limited budget, and strict aesthetic requirements for the roof system were incorporated into the design. In addition, the work was completed while the building was occupied and the use of the adjacent pedestrian thoroughfare was in use. The total project budget was just over \$1M with the roofing replaced on just over \$10,000 square feet of steep-sloped roof area.		
b. (1) TITLE AND LOCATION (City and State) UNC-CH Walter Davis Library Partial Roof Replacement; Chapel Hill, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2007	CONSTRUCTION (If applicable) 2008
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Performed the initial building exterior wall study to provide a prioritized repair plan for sealants, masonry, and slate cladding based on available budget and phased replacement plan. Designed sealant and cladding repair and fall protection to be performed in conjunction with roof replacement for the Reading Room, as well as, three other isolated roof areas with the most severe deterioration and water entry issues. Full construction administration was performed to meet the requirements of the university and SCO for state-owned buildings. The overall project cost was \$571,000.		
c. (1) TITLE AND LOCATION (City and State) UNC-TV Bryan Center Roof Replacement and Exterior Wall Repair; RTP, NC	(2) YEAR COMPLETED	
	PROFESSIONAL SERVICES 2008	CONSTRUCTION (If applicable) 2009
(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluated the existing exterior walls in conjunction with the roof to determine the sources of water entry and to prioritize required repairs to meet available budget. Designed repair of through-wall flashing, isolated masonry repairs, and sealant replacement to be performed in conjunction with the roof replacement project. Construction administration was provided. The project design incorporated a number of bid alternates to allow for budget flexibility and the Owner was able to perform all recommended repairs. The overall project cost was \$790,000.		

d.	(1) TITLE AND LOCATION <i>(City and State)</i> UNC-Wilmington, Graham and Hewlett Hall Exterior Wall Repairs; Wilmington, NC	(2) YEAR COMPLETED	
		PROFESSIONAL SERVICES 2013	CONSTRUCTION (If applicable) 2013
	(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluated the existing exterior walls due to reported damages and concern regarding brick veneer failure at isolated locations. Designed isolated masonry repairs, sealant replacement, and cleaning to be performed in conjunction with a separate repair project at the building. Construction administration was provided. The project cost was approximately \$100,000.		
e.	(1) TITLE AND LOCATION <i>(City and State)</i> NCSU, Reynolds Coliseum Exterior Wall and Roof Repairs; Raleigh, NC	(2) YEAR COMPLETED	
		PROFESSIONAL SERVICES 2008	CONSTRUCTION (If applicable) 2010
	(3) BRIEF DESCRIPTION <i>(Brief scope, size, cost, etc.)</i> AND SPECIFIC ROLE <input checked="" type="checkbox"/> Check if project performed with current firm Evaluation of cracking and other isolated damage at the corners of the Reynolds Coliseum building. Repairs to the exterior masonry and limestone veneer were designed along with repairs to the roof system in order to stop water entry into the walls, expose and repair embedded steel columns, and replace damaged brick, mortar, and sealants. Construction administration to ensure conformance with design documents and provide additional direction to the contractor during repairs was performed. The building remained occupied throughout the project for its normal daily use and for special events. The project cost was approximately \$280,000.		

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)		20. EXAMPLE PROJECT KEY NUMBER <div style="font-size: 24pt; font-weight: bold;">1</div>		
21. TITLE AND LOCATION <i>(City and State)</i> Walter Davis Library – Partial Roof Replacement UNC-CH; Chapel Hill, NC		22. YEAR COMPLETED <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center; padding: 5px;">PROFESSIONAL SERVICES 2007</td> <td style="text-align: center; padding: 5px;">CONSTRUCTION <i>(If applicable)</i> 2008</td> </tr> </table>	PROFESSIONAL SERVICES 2007	CONSTRUCTION <i>(If applicable)</i> 2008
PROFESSIONAL SERVICES 2007	CONSTRUCTION <i>(If applicable)</i> 2008			
23. PROJECT OWNER'S INFORMATION				
a. PROJECT OWNER University of North Carolina at Chapel Hill	b. POINT OF CONTACT NAME Bob Beke – UNC-CH PM	c. POINT OF CONTACT TELEPHONE NUMBER (919) 962-9010		
24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>				
<p>Walter Davis Library on UNC-CH's main campus had been experiencing a number of water entry issues but did not have enough available funding to allow for a full roof replacement. Atlas Engineering performed a detailed review and visual and moisture evaluation of each of existing roof systems and the entire building exterior at the facility to create a prioritized technical work scope for the Owner. This detailed evaluation took into consideration the severity of water entry, the sensitivity of interior conditions, the logistics of pedestrian traffic around and inside the building, and a very restrictive project budget as well as the condition of the systems. Our recommendations for repair and replacement took into consideration the current use of interior spaces, and available funding to determine the best use of the University's available capital funds to stop damaging water entry. Roof replacement work and repairs were designed for the areas with the most severe conditions including two low-sloped roof areas and the steep-sloped roof of the Reading Room. The project consisted of installation of new low-sloped two-ply modified bitumen and standing seam metal retrofit roof systems, replacement of sealant joints, and installation of new fall protection systems. Design documents were specially tailored to maintain full function of the building and the surrounding vehicular and pedestrian areas. Experienced and professional personnel ensured project success through comprehensive design documentation and a focus on construction administration.</p> <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 60%;">  </div> <div style="width: 35%; border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Scope:</u> Roof Replacement, Sealant Replacement and Fall Protection</p> <p><u>Construction Cost:</u> \$571,000</p> <p><u>Project Team:</u></p> <p>Project Manager: Kelli Wilcox, PE, RRC</p> <p>Lead Technician: Jim Copeland, RRO</p> <p>Structural Engineer: Chris Coutu, PE</p> </div> </div>				
25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT				
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural		

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)		20. EXAMPLE PROJECT KEY NUMBER 2
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21. TITLE AND LOCATION <i>(City and State)</i> Giles Horney Annex Building –Roof Replacement and Fall Protection System; UNC-CH; Chapel Hill, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES 2012-2013	CONSTRUCTION <i>(If applicable)</i> 2013

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER University of North Carolina at Chapel Hill	b. POINT OF CONTACT NAME Errol Simon – UNC-CH PM	c. POINT OF CONTACT TELEPHONE NUMBER (919) 962-7476

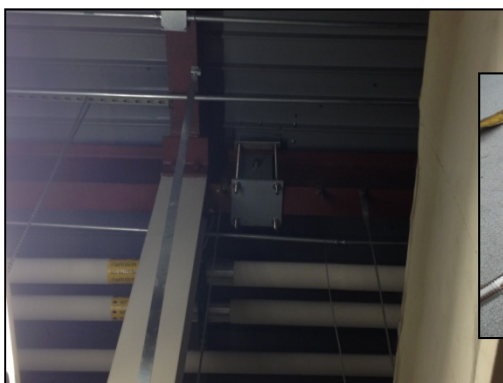
24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

Atlas Engineering provided design and construction administration services to UNC-CH for the replacement of the existing roof system and installation of a new fall protection system at the Giles Horney Annex Building. The design schedule was fast-tracked to meet internal time constraints for receipt of bids and award of contract on this work.

Atlas designed removal of the existing roof system which had been heavily repaired over the years. Input from UNC-CH EH&S Department was incorporated into the design specifications to allow materials containing asbestos to be tested, removed, and disposed of in accordance with federal, state, and local regulations. In addition, the existing structural system was evaluated to allow for design and installation of a new fall protection system.

Atlas provided assistance during bidding and construction administration services to confirm conformance with the project contract and design requirements. We communicated closely with UNC-CH personnel to keep the project within budget and communicate any changes to the project schedule. The successful completion of the work was greatly influenced by these construction administration efforts and maintaining a good working relationship with both the client and contractor. This project is currently in the closeout phase with a Final Report submittal anticipated prior to the end of December 2013.

Scope: Roof Replacement and Fall Protection System
Construction Cost: <\$200,000
Project Team:
 Project Manager: Kelli Wilcox, PE, RRC
 Structural Engineer: Chris Coutu, PE



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)	20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 1.2em;">3</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Emergency Roof Replacement Greene Hall ECU- Greenville, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES <div style="text-align: center;">2011</div>	CONSTRUCTION <i>(If applicable)</i> <div style="text-align: center;">2012</div>

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER East Carolina University	b. POINT OF CONTACT NAME Eugene Tashiro – ECU PM	c. POINT OF CONTACT TELEPHONE NUMBER (252) 328-6858

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

In August of 2011, Hurricane Irene blew the northeast side of the existing roof membrane off of the Greene Residence Hall. ECU replaced the roof as an emergency project and coordinated with the State Construction Office to negotiate a roof replacement contract directly with a roofing contractor. Atlas Engineering was contracted separately by ECU to provide roof consulting services including review and comment on the proposed replacement design, technical submittals and shop drawings. The new roof system consisted of a new two-ply modified bitumen roof system installed over a new lightweight insulating concrete system. Atlas performed periodic inspection of the new roof system installation to confirm conformance with the requirements of the manufacturer, the university, and industry standards. Atlas also provided documentation of as-built conditions.



Scope: Emergency Roof Replacement
 Construction Cost: \$133,000
 Project Team:
 Project Manager: Rob Tatum, RRC
 Lead Technician: Jim Copeland, RRO



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)	20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 24pt;">4</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Battle, Vance, and Pettigrew Halls – Exterior Wall Repair and Roof Replacement UNC-CH; Chapel Hill, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES <div style="text-align: center;">2010</div>	CONSTRUCTION <i>(If applicable)</i> <div style="text-align: center;">2011</div>

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER University of North Carolina at Chapel Hill	b. POINT OF CONTACT NAME Wendy Hillis – UNC-CH PM	c. POINT OF CONTACT TELEPHONE NUMBER (919) 843-3238

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

Atlas Engineering performed an evaluation of the exterior masonry walls, roof, and windows at these historic buildings due to concerns with structural stability of the parapet walls, water entry at the roof and walls, and the desire for an exterior historical restoration at the building. Battle, Vance, and Pettigrew Halls were constructed in 1910 and are on the National Register of Historic Places for the Chapel Hill Historic District.

The buildings had experienced damage to the perimeter masonry parapet walls from long-term weathering, which had created a potential falling hazard. The roofs were well past their service life and were leaking. Atlas designed structural repairs to the masonry parapet walls, exterior re-pointing, fall protection, and roof replacement design. Through detailed design documents and careful pre-qualification of bidders, we were able to provide flexibility to the Owner for bidding in order to maximize the amount of work to be performed within budget. Due to a favorable bidding climate, additional renovation work was requested by the Owner including the restoration of the existing wood windows and copper flashings over bay windows.



Scope: Roof Replacement, Sealant and Masonry Repairs, Parapet Structural Repairs, Window Historic Restoration
Construction Cost: \$1,700,000
Project Team:
 Engineer of Record: Chris Coutu, PE
 Roof Consultant: Kelli Wilcox, PE, RRC
 Lead Technician: Jim Copeland, RRO

25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)		20. EXAMPLE PROJECT KEY NUMBER <div>5</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Currituck Judicial Building Roof Replacement and Structural Repairs; Currituck, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES 2010	CONSTRUCTION <i>(If applicable)</i> 2010

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER Currituck County	b. POINT OF CONTACT NAME Brenda McQueen– Director of Facilities	c. POINT OF CONTACT TELEPHONE NUMBER (252) 232-2504

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

The Currituck Judicial Building is located less than a mile from the Currituck Sound in Currituck, North Carolina and forms part of the county government complex.

The building had experienced leaks from the roof that had caused significant disruption to occupants and cost to the County ever since it was constructed. Atlas performed a detailed evaluation and identified system concerns to be addressed including, deficient materials, poor detailing, damages to the structure during construction and due to water entry, and structural system components that did not meet required building code for wind uplift. The budget was limited, but through detailed design documents and careful pre-qualification of bidders, we were able to replace the entire roof system, make required upgrades and repairs to the structural system, and perform some additional cosmetic work to the exterior EIFS on the building, all within the original budget for roof replacement alone.

Replacement systems included a new thermoplastic PVC roof system on the low-sloped portions of the roof and a new asphalt shingled roof system on the steep-sloped portions of the roof. Systems were designed with enhanced detailing and careful material and manufacturer selection to meet coastal wind uplift requirements. Work was performed while the building remained in full use, including the continuation of all public court activities.

Scope: Roof Replacement, EIFS Restoration, and Structural Repairs
Construction Cost: \$426,000
Project Team:
 Project Manager: Rob Tatum, RRC
 Lead Technician: Jim Copeland, RRO
 Engineer of Record: Kelli Wilcox, PE, RRC
 Structural Eng.: Chris Coutu, PE



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)		20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 24pt;">6</div>
21. TITLE AND LOCATION <i>(City and State)</i> UNC-TV Bryan Center Roof Replacement and Exterior Wall Repair UNC-TV; RTP, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES <div style="text-align: center;">2008</div>	CONSTRUCTION <i>(If applicable)</i> <div style="text-align: center;">2009</div>
23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER UNC-TV	b. POINT OF CONTACT NAME Carol Woodyard, PE – Director of Facilities	c. POINT OF CONTACT TELEPHONE NUMBER (919) 549-7076
24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>		

Since its construction in the early 1990s, the UNC-TV Bryan Center had experienced leaks in the roofing system and through the exterior wall assembly. With live television production studios and the large quantity of expensive production equipment, water entry was a constant source of concern for facilities and maintenance staff but there was not enough budget to make all of the repairs needed. Atlas Engineering carefully evaluated the existing roof system and exterior walls and provided a prioritized scope of work to fit the budget and stop water entry. Bid alternates were designed into the repair and replacement scope to give maximum budget flexibility to the Owner. Atlas designed replacement roof systems, through-wall flashing repairs, sealant joint replacement, and other exterior wall repairs. Work was performed during working hours with careful coordination to allow the production studios to remain in full use. The project was successful because of our detailed design, effective construction administration, and great working relationship with the client and contractor.

Scope: Roof Replacement and Exterior Wall Repairs (Masonry and Sealant)
Construction Cost: \$860,000
Project Team:
 Engineer of Record and
 Project Manager: Kelli Wilcox, PE, RRC
 Lead Technician: Jim Copeland, RRO
 Structural Engineer: Chris Coutu, PE



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)	20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 24pt;">7</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Roof Replacement at Multiple Facilities (Sheriff's Annex, Board of Elections, Crisis Stabilization, etc.); Fayetteville, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES 2006-2012	CONSTRUCTION <i>(If applicable)</i> 2007-2012

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER Cumberland County	b. POINT OF CONTACT NAME Sam Lucas– Project Manager-Engineering Dept.	c. POINT OF CONTACT TELEPHONE NUMBER (910) 678-7634

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

Atlas Engineering has performed roof replacement and exterior wall repair projects at multiple buildings for Cumberland County. Most recently work was performed at two libraries, the Sheriff's Annex, Board of Elections Building, and the Crisis Stabilization Building. Atlas has provided visual and moisture surveys for the roofs of multiple county buildings to aid in the development of repair and replacement maintenance and budget planning. Atlas has then provided design documents for repairs and replacements, as well as associated bidding, and contract administration services. Repair work has incorporated replacement and repairs to low-slope roof systems and building exterior masonry and sealant repairs. Through the use of bid alternates and unit rate work in our designs, we have been able to maximize the amount of work for which the County could obtain bids allowing them to have added flexibility in the use of their available budget. Each of the county's buildings have been able to remain open to the public during our projects. Atlas Engineering has enjoyed a rewarding long-term relationship with Cumberland County and continues to provide Roofing Design Services for them to date.



Scope: Roof Replacement and Exterior Wall Repair

Construction Cost: \$512,000

Project Team:
 Project Manager: Rob Tatum, RRC
 Lead Technician: Jim Copeland, RRO
 Engineer of Record: Kelli Wilcox, PE, RRC



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)	20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 1.2em;">8</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Roof Replacement at Hunter Library, Cullowhee, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES <div style="text-align: center;">2005</div>	CONSTRUCTION <i>(If applicable)</i> <div style="text-align: center;">2006</div>

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER Western Carolina University	b. POINT OF CONTACT NAME Andy DeGrove– Project Manager-	c. POINT OF CONTACT TELEPHONE NUMBER (828) 227-3124

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

Hunter Library is the main student library for the Western Carolina University campus and is in the center of the main campus in Cullowhee, North Carolina. Hunter Library is joined to the adjacent Stillwell Building by a connector tunnel that is partially below grade. This tunnel forms a plaza walkway that must be crossed to access the main pedestrian entrance to the library.

The project scope incorporated the evaluation and replacement of the Hunter Library roof systems with new single-ply thermoplastic PVC and replacement of the waterproofing at the plaza level of the Stillwell connector tunnel. Our professional services were closely coordinated with the Owner to aid in the selection of technically sound and cost effective replacement systems for this critical building. Due to the geography of the site and the large amount of pedestrian and vehicular traffic in this portion of the campus, detailed construction access and a work schedule for the tunnel waterproofing replacement was required to maintain full pedestrian access/egress at the main entrance of the library during the entire construction process. The sequence of roofing and waterproofing work was coordinated to allow for staging/storage, access for materials, and installation of replacement materials at the sensitive and congested site.

The entire project was performed while the library remained occupied and classes were in session. The success of the project has lead to a long term working relationship with WCU including additional roof replacement projects at the Student Bookstore, Moore Building, Reynolds Hall, Killian and Killian Annex, and Albright-Benton Halls.

Scope: Roof Replacement and Plaza Waterproofing
Construction Cost: \$1,050,000
Project Team:
 Engineer of Record and
 Project Manager: Kelli Wilcox, PE, RRC
 Lead Technician: Jim Copeland, RRO



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting/Structural

F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT (Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)	20. EXAMPLE PROJECT KEY NUMBER <div style="text-align: center; font-size: 24pt;">9</div>
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21. TITLE AND LOCATION <i>(City and State)</i> Greene, White, and Clement Halls Exterior Wall Repairs- ECU- Greenville, NC	22. YEAR COMPLETED	
	PROFESSIONAL SERVICES 2011-2013	CONSTRUCTION <i>(If applicable)</i> 2012-2013

23. PROJECT OWNER'S INFORMATION		
a. PROJECT OWNER East Carolina University	b. POINT OF CONTACT NAME Eugene Tashiro – ECU PM	c. POINT OF CONTACT TELEPHONE NUMBER (252) 328-6858

24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT <i>(Include scope, size, and cost.)</i>

East Carolina University's Department of Housing reported a history of water entry through the wall systems at the Greene and White Residence Hall buildings. Water entry was most prevalent during heavy and/or long sustaining rain events. Atlas Engineering evaluated the existing exterior wall conditions and provided a detailed scope of repair work based on observed conditions, repair priorities, available budget, and time constraints on construction during the summer semester.

Atlas designed brick veneer repairs, re-pointing of mortar joints, shelf-angle repairs, sealant replacement, pre-cast repairs, and installation of a water repellent sealer. The construction schedule for the work was limited to a portion of the summer session when the buildings would be unoccupied. However, Greene and White Halls are in the heart of the main campus and near the Student Recreation Center and West End Dining Hall making them highly visible to students, staff, and parents during summer classes, campus orientations, and summer camps in nearby buildings. In addition, other construction activities within the building and to the upgrades to adjacent landscaping increased the importance of coordination with the ECU facilities team and the contractor during the work.

Atlas provided bidding assistance and construction administration services to confirm conformance with the project contract and design requirements. We communicated closely with ECU personnel and kept the project on schedule. The successful completion of the work was greatly influenced by these construction administration efforts by qualified personnel, and maintaining a good working relationship with both the client and contractor and lead to performance of similar design and exterior wall repair on Clement Hall the following summer

Scope: Exterior Wall Repair

Construction Cost: \$780,000 (total)

Project Team:

Project Manager: Rob Tatum, RRC

Lead Technician: Jim Copeland, RRO

Structural Engineer: Tom Caldwell, PE



25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT		
a. (1) FIRM NAME Atlas Engineering, Inc.	(2) FIRM LOCATION <i>(City and State)</i> Raleigh, North Carolina	(3) ROLE Engineer of Record Roof Consulting

G. KEY PERSONNEL PARTICIPATION IN EXAMPLE PROJECTS

[illegible]

29. EXAMPLE PROJECT KEY

No.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)	No.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)
1.	UNC-CH Walter Davis Library	6.	UNC-TV Bryan Center
2.	UNC-CH Giles Horney Annex Roof Repl.	7.	Cumberland County – Multiple Buildings
3.	ECU Greene Hall – Emergency Roof Repl.	8.	WCU Hunter Library and Stillwell Connector
4.	UNC-CH Battle, Vance, Pettigrew	9.	ECU Greene, White, and Clement Hall
5.	Currituck County Judicial Building	10.	

H. ADDITIONAL INFORMATION

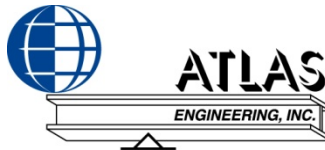
30. PROVIDE ANY ADDITIONAL INFORMATION REQUESTED BY THE AGENCY. ATTACH ADDITIONAL SHEETS AS NEEDED.

Atlas Engineering is a licensed engineering firm specializing in the evaluation and design of building exterior, roofing, waterproofing, and structural systems. We have been performing these services for federal, state, and local agencies across the State of North Carolina since 1996. Our office is located in Raleigh, North Carolina and we regularly service clients throughout the eastern portion of the state. Atlas Engineering is registered with the State of North Carolina as a Small Business Enterprise (SBE).

Atlas Engineering's facilities team has extensive experience in the evaluation, replacement and repair design, and construction administration for existing low and steep-sloped roofing systems including ***slate, shingles, clay tile, architectural and standing seam metal, built-up, modified bitumen, single-ply thermoset (EPDM) and thermoplastic membranes***. Our in-house structural engineers routinely design fall protection systems for incorporation into roof replacement designs or for standalone projects. Our full-time staff has well over 80 years of combined experience in the facilities and construction industry. Our experienced personnel regularly complete projects on public facilities in North Carolina that house critical client functions. From advance planning through construction administration, we focus on recommending and designing replacement systems or repairs that meet the Owner's technical, functional, aesthetic, and budgetary needs while maintaining the full-time operation of their facility.

The Atlas Engineering staff includes four registered professional engineers (PE), two registered roof consultants (RRC), and a registered roof observer (RRO) who each specialize in aspects of the building exterior systems including roofing, waterproofing, and building exterior, allowing our project team to efficiently evaluate and design repairs for a range of issues that may be present.

We fully understand the unique challenges involved with repair/replacement projects at educational campuses and work closely with our clients during the project process to make sure their needs are met. We look forward to the opportunity to work with UNC-CH for roof consulting and fall protection design services and are confident we will exceed your requirements and be an asset to your design and construction team.



I. AUTHORIZED REPRESENTATIVE
The foregoing is a statement of facts.

31. SIGNATURE

Kelli E. Wilcox

32. DATE

February 16, 2015

33. NAME AND TITLE

Kelli Wilcox, PE, RRC/Principal

1. SOLICITATION NUMBER (If any)
N/A

(If a firm has branch offices, complete for each specific branch office seeking work.)

[illegible]

11. ANNUAL AVERAGE PROFESSIONAL SERVICES REVENUES OF FIRM FOR LAST 3 YEARS (Insert revenue index number shown at right)		PROFESSIONAL SERVICES REVENUE INDEX NUMBER	
a. Federal Work	1	1. Less than \$100,000	6. \$2 million to less than \$5 million
b. Non-Federal Work	5	2. \$100,000 to less than \$250,000	7. \$5 million to less than \$10 million
c. Total Work	5	3. \$250,000 to less than \$500,000	8. \$10 million to less than \$25 million
		4. \$500,000 to less than \$1 million	9. \$25 million to less than \$50 million
		5. \$1 million to less than \$2 million	10. \$50 million or greater

12. AUTHORIZED REPRESENTATIVE The foregoing is a statement of facts.	
a. SIGNATURE <i>Kelli E. Wilcox</i>	b. DATE February 16, 2015
c. NAME AND TITLE Kelli Wilcox, PE, RRC/Principal	

**DESIGNER SELECTION – KENAN LABORATORIES AND FRIDAY CENTER
ROOF REPLACEMENT**

This project will replace the existing roof and install fall protection system at Kenan Laboratories Building and Friday Center.

The project budget is \$1,505,800 and will be funded by University funds.

This project was advertised on February 16, 2015. Nine (9) proposals were received. Three (3) firms were interviewed on March 17, 2015. 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. Rooftop Systems Engineers, P.C. Raleigh, NC
2. Atlas Engineering, Inc. Raleigh, NC
3. Terracon Consultants, Inc. Raleigh, NC

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

RECOMMENDED ACTION

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

1. Rooftop Systems Engineers, P.C. Raleigh, NC
2. Atlas Engineering, Inc. Raleigh, NC
3. Terracon Consultants, Inc. Raleigh, NC

Rooftop Systems Engineers, P.C.

Suite 201, 316 W. Millbrook Road, Raleigh, North Carolina 27609-4482 919-872-7866; 919-872-4486
fax www.rse-pc.com

EXECUTIVE SUMMARY:

February 24, 2015

Mr. Jerry U. Guerrier, RA, LEED AP
Architect
The University of North Carolina at Chapel Hill
Department of Facilities Planning
Giles F. Horney Building
103 Airport Drive
Campus Box #1090
Chapel Hill, NC 27599-1090

Subject: Kenan Laboratories and UNC William and Ida Friday Center Roof Replacements

Dear Mr. Guerrier:

Thank you for sending us the Advertisement for Designer Services/Project Brief. The information you provided is most helpful in developing responses to the twelve questions/topics listed in the project advertisement.

We address each of the questions/topics in our Letter of Interest which begins following this Executive Summary.

1. Rooftop Systems Engineers, PC, has been providing roof engineering services to building owners since 1996. John Willers, who started Rooftop Systems Engineers, PC, has been providing roof engineering services to eastern North Carolina and beyond since 1982. He has been practicing engineering for the past 50 years and has been providing roofing and building envelope consulting services for the past 33 years.

Our staff consists of Registered Professional Engineers, Registered Roof Consultants, Registered Exterior Wall Consultants, Registered Roof Observers, Structural Engineers, and a LEED Accredited Professional.

2. Our performance of similar projects for the University of North Carolina at Chapel Hill is shown starting on page four of our Letter of Interest. These example projects show the variety of roof systems with fall protection we have designed for the University.

MR. JERRY U. GUERRIER, RA, LEED AP, ARCHITECT
UNC-CH KENAN LABORATORIES AND UNC WILLIAM AND IDA FRIDAY CENTER ROOF REPLACEMENTS
EXECUTIVE SUMMARY
FEBRUARY 24, 2015

PAGE 2

3. Our proposed Design Approach on page 13 addresses the main topics for the project. During design and construction of the reroofing of these buildings, significant attention will need to be focused on:
 - A. Designing adequate provisions for secondary drainage while also providing positive slope for primary drainage.
 - B. Meeting the required "R" value prescribed by the NC Building Code.
 - C. Designing fall protection to be compatible with structural considerations as the desired locations for anchorage/tie-off points may not coincide with the locations of structural members which support the roof.
 - D. Making test cuts at multiple locations to determine whether or not asbestos containing materials are present. Based on the age of the roof it is not likely that asbestos felts were used.

We believe that upon your review of the following information, you will find that our combined understanding of this project's unique needs and our ability to provide efficient solutions makes us the premier choice to assist UNC-Chapel Hill with this exciting project. Therefore, we respectfully request that the University select Rooftop Systems Engineers, PC, to be interviewed for the Kenan Laboratories and UNC William and Ida Friday Center Roof Replacements project, at which time we can answer any questions you may have and provide more information regarding how we would provide the requested designer services.

Very truly yours,

Rooftop Systems Engineers, P.C.

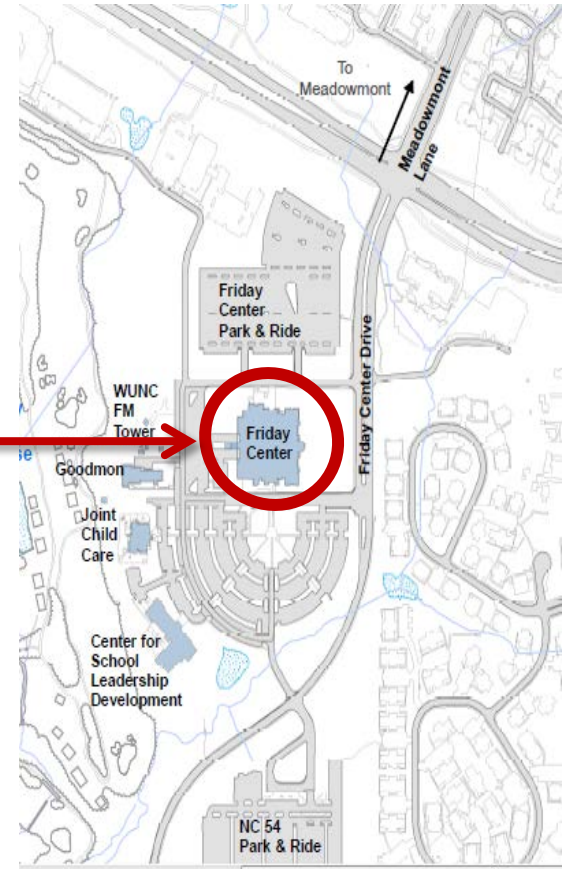


Ron McKaskel, R.R.O.
Director of Business Development

KENAN LABORATORIES AND FRIDAY CENTER ROOF REPLACEMENT

The University of North Carolina at Chapel Hill Campus Map
Approved March 22, 2006

PROJECT SITES



CAMPUS LOCATION MAPS



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

BOARD OF TRUSTEES

MARCH 2015

ATTACHMENT F

DESIGNER SELECTION – SCHOOL OF DENTISTRY VACUUM SYSTEM REPLACEMENT

This project will replace the existing dental vacuum system that currently serves Old Dental Building, Tarrson Hall and Brauer Hall with two separate dental vacuum systems.

The project budget is \$945,375 and will be funded by University funds.

This project was advertised on February 1, 2015. Eight (8) proposals were received. Three (3) firms were interviewed on March 18, 2015. 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. Dewberry Engineers, Inc. | Raleigh, NC |
| 2. McKim & Creed, Inc. | Raleigh, NC |
| 3. Apogee Consulting Group | Cary, NC |

The firms were selected for their strength of the project team, specific project approach and recent vacuum system experience and previous UNC-CH and School of Dentistry project experience.

Recommended action:

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

- | | |
|-----------------------------|-------------|
| 1. Dewberry Engineers, Inc. | Raleigh, NC |
| 2. McKim & Creed, Inc. | Raleigh, NC |
| 3. Apogee Consulting Group | Cary, NC |

SCHOOL OF DENTISTRY VACUUM SYSTEM REPLACEMENT

The University of North Carolina at Chapel Hill Campus Master Plan Update 2006
Approved March 22, 2006

PROJECT SITE



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

CAMPUS LOCATION MAP

BOARD OF TRUSTEES

MARCH 2015

February 24, 2015

Mr. Wm. Keith Snead, LEED AP
Project Manager
Department of Facilities Planning
103 Airport Drive, Ste. 202
Campus Box #1090
The University of North Carolina at Chapel Hill
Chapel Hill, NC 27599-1090

Reference: **Request for Letters of Interest and Current SF-330
School of Dentistry Vacuum System Replacement**

Dear Mr. Snead:

Dewberry Engineers Inc. (Dewberry) is pleased to present this Letter of Interest and SF-330 for the School of Dentistry Vacuum System Replacement project. Dewberry has performed similar services on previous projects for healthcare and higher education clients and is very interested in providing our services to the University for this project.

The following information requested in the RFP summarizes Dewberry's qualifications for this project, with more information to follow in the SF330 form:

1. SPECIALIZED OR APPROPRIATE EXPERTISE IN THE TYPE OF PROJECT

Dewberry's successful approach to projects results in impressive cost and schedule performance, no matter what the project type. This is due to Dewberry's total quality approach, clear definition of the scope, definition of the client's goals and objectives, and assignment of individual team responsibilities.

Similar projects referenced in Section F of the submittal include:

- **WakeMed Brier Creek Healthplex** - Dewberry provided mechanical, electrical, plumbing engineering and construction administration services for the construction of a two-story 50,000-sf office building. This project includes a duplex vacuum pump system, and the medical vacuum is provided by existing 100% redundant duplex vacuum pumps and single receiver. Dewberry designed the medical vacuum piping to be ASTM B-88 or ASTM B-819, Type L copper tube with soldered joints.
- **WakeMed North Hospital Expansion & Renovation** - Dewberry is providing the MEP design for the conversion of an existing Healthplex into a licensed Acute-Care Hospital. This project includes a triplex vacuum pump system and duplex Waste Anesthetic Gas Disposal (WAGD) pump system. The medical vacuum will be provided by existing 100% redundant duplex vacuum pumps and single receiver. Dewberry designed the medical vacuum piping to be ASTM B-88 or ASTM B-819, Type L copper tube with soldered joints.
- **New Hanover Regional Medical Center Free Standing Emergency Department** - Dewberry is providing mechanical, electrical, and plumbing engineering and construction administration services for the construction of a Free Standing Emergency Department. The

building will be an approximately 30,000-sf, 24 hour/day facility comprised of a full-service emergency department, comprehensive diagnostic imaging services, on-site laboratory, pharmacy services, administration and waiting areas, and facility support areas. This project will have a complete medical / surgical vacuum system to comply with NFPA 99. In particular, it will also contain an NFPA 99 compliant duplex medical air system and associated piping will be provided in the mechanical room.

- **WakeMed Garner Healthplex** - Dewberry provided mechanical, electrical, and plumbing engineering and construction administration services for the construction of a 2-story 50,000-sf medical office building. The project included an elevator lobby area, public restrooms and building support spaces. This project includes a duplex vacuum pump system. The medical vacuum will be provided by existing 100% redundant duplex vacuum pumps and single receiver. Dewberry designed the medical vacuum piping to be ASTM B-88 or ASTM B-819, Type L copper tube with soldered joints.
- **WTCC Health Sciences II Building** – Dewberry provided plumbing, fire protection, mechanical, and electrical engineering services for a new 5-story, 102,000-sf Health Sciences Building. The new building is comprised of classroom and laboratory facilities for the nursing, nursing assistant, radiography, dental assisting, medical assisting, surgical technology, therapeutic massage, and medical laboratory technology programs. A dental vacuum system was installed in the building.

2. PAST PERFORMANCE ON SIMILAR PROJECTS

Section F projects show similar scope of work projects completed by members of Dewberry's project team. Reference information is listed on each project sheet.

3. ADEQUATE STAFF AND PROPOSED DESIGN TEAM FOR THE PROJECT

Dewberry has chosen an experienced team of engineers to work on this project. When we are presented with an opportunity to work on a project, the Project Manager carefully reviews the scope and anticipated requirements to determine whether we have the staff members who are equipped to deliver optimal services. The specialized team members are:

- **Greg Mills, PE, CEM, LEED AP BD+C – Contract Manager/QA/QC:** Greg will be responsible for the contract execution and will focus on the quality control/quality assurance for the project.
- **Johnny Wood, PE, LEED AP BD+C, CPD, CxA – Project Manager:** Johnny will be the primary point of contact for the project team. He will work closely with UNC at Chapel Hill Facilities personnel and will be responsible for the overall execution of the project.
- **Jeffrey Roney, PE, LEED AP – Electrical Engineer:** Jeff will be responsible for the development of the electrical contract documents associated with the mechanical systems design. He will coordinate closely with the mechanical engineers as well as the project manager.
- **John Roberts, PE, MSPH, HFDP, LEED AP BD+C:** John will be responsible for the mechanical systems design and equipment selection. He will work closely with the Project Manager, as well as the other team members, to ensure the client's needs and expectations are met.

4. CURRENT WORKLOAD AND STATE PROJECTS AWARDED

Based on our understanding of the scope of work, we can dedicate ample capacity to complete this project within your timeframe. The scope and magnitude of this project is well within the capability of the Dewberry team. We have worked on large scale and small projects for projects in the UNC System, and we routinely work with user representatives from Utilities & Engineering, Building Maintenance & Operations, Environmental Health & Safety, Energy Management, and others. Because of our experience working with the State Construction Office, we also know and have worked under their guidelines.

Dewberry Engineers Inc. has access to the full resources of the Dewberry Enterprise with a total staff of over 2,000 strong. Projects under contract for Dewberry's Raleigh MEP team during the next twelve months include:

Project	Current Phase	Percent Complete	Completion Date
Duke Telecom Utility & Building Systems Study	Predesign	60	Study Complete February 2015
Duke CIEMAS & Perkins Arc Flash Study	Predesign	60	Study Complete February 2015
Duke Chapel MEP Utility Upgrades	Predesign	80	Predesign Complete February 2015
Duke Alumni Center	Predesign	10	Predesign on hold
NCSU Athletics Residential Building Study	Predesign	0	On hold
Huntersville Rec Center	Schematic Design	20	Schematic Design Complete February 2015
Charlotte Co. VA School	Schematic Design	10	Schematic Design Complete February 2015
UVA Materials Science Building HVAC Renovation	Design Development	35	Design Development Complete February 2015
Wake County SE Regional Library Renovation	Design Development	15	Design Development Complete March 2015
WCPSS - Morrisville Elementary School HVAC Renovation	Construction Documents	40	Construction Documents Complete March 2015
WCPSS - Pleasant Union Elementary School HVAC Renovation	Construction Documents	40	Construction Documents Complete March 2015
*UNC at Chapel Hill Controls Upgrades	Construction Documents	60	Construction Documents Complete March 2015
Duke PARCS Power/Communication	Construction Documents	70	Construction Documents Complete March 2015
*UNC Chapel Hill MBRB Energy Conservation	Construction Documents	60	Construction Documents Complete March 2015
WCPSS M-13 Middle School	Construction Documents	50	Construction Documents Complete March 2015
Virginia Tech - Small Renovation Projects	Construction Documents	70	Construction Documents Complete March 2015
Wake Tech CC - Skilled Trades and Regional Plant 3	Bid and Negotiation	60	Bid February 2015
Fed Ex Dallas - Renovation	Bid and Negotiation	60	Bid February 2015
Fed Ex Marietta - Addition and Renovation	Construction Administration	60	Construction Complete June 2015
Wake Forest Fire Station	Construction Administration	60	Construction Complete October 2015
Buncombe Co. School - Enka IS	Construction Administration	70	Construction Complete August 2015
Wake County East Regional Library - Chiller Replacement	Construction Administration	60	Construction Complete May 2015
Richmond - 1801 Commerce Road Renovation	Construction Administration	60	Construction Complete December 2015
Fed Ex Charlotte	Construction Administration	70	Construction Complete July 2015
Fed Ex Nashville	Construction Administration	70	Construction Complete July 2015
*DOP Samarcand Public Safety Training Facility	Construction Administration	60	Construction Complete December 2015
WCPSS Leesville Campus Upgrades	Construction Administration	80	Construction Complete March 2015
Ft. Bragg Conference and Catering Center	Construction Administration	90	Construction Complete March 2015
Fed Ex Greensboro	Construction Administration	80	Construction Complete March 2015
Duke Sands Building Electrical Upgrades	Construction Administration	80	Construction Complete March 2015
*DOC Central Prison Elevators	Construction Administration	80	Construction Complete March 2015
*NC Department of Commerce Kendal Complex Renovations	Construction Administration	80	Construction Complete March 2015
Archer Lodge Fire Station	Construction Administration	80	Construction Complete March 2015
Wake Tech CC - Holding Hall Renovation	Construction Administration	70	Construction Complete November 2015
Wake Tech CC - Building L	Construction Administration	70	Construction Complete November 2015
Washington Duke Inn FA System Upgrades	Construction Administration	70	Construction Complete March 2015
*UNCG Eberhart Elevator Modernization	Construction Administration	70	Construction Complete March 2015
*UNCG Mossman Elevator Modernization	Construction Administration	70	Construction Complete March 2015
*NCNG Readiness Centers	Construction Administration	70	Construction Complete March 2015
* State Construction Office Projects			

5. **PROPOSED DESIGN APPROACH FOR THE PROJECT INCLUDING DESIGN TEAM AND CONSULTANTS**

A successful project approach is to ensure all strengths of our Design Team are utilized in the process. All members of the Design Team will be involved in the process from beginning to end. Dewberry proposes the following simplified project approach:

- A. **Determine Scope of Work:** A key element of the project is determining the exact scope of the project to provide a good foundation for the design and construction. Dewberry will review the published scope of the project, outlined clearly in the solicitation, meet with UNC Chapel Hill Staff, discuss the published scope, then walk the project site with Staff or independently to confirm all aspects of the anticipated scope are feasible and practical. Completing this task provides better insight into the project, most often identifies key challenges to overcome, and leads to our goal of **“no surprises”**.
- B. **Confirm Scope of Work.** Upon receiving a Notice to Proceed, the overall project Scope of Work will be confirmed with UNC Chapel Hill Staff. In addition, the existing drawings will be reviewed to give us familiarity with the existing systems. The purpose is to ensure all parties are clear of the required processes, challenges, and goals. Our goal is **“no surprises”**.
- C. **Perform Site Investigation.** Dewberry will visit the site to document existing conditions of all building and site components. Site investigation is a key element in producing an effective design. Providing design services using only existing drawings as a resource can lead to unexpected situations and prevent reaching our goal of **“no surprises”**. Both Senior Engineering and younger staff will visit the site so years of experience and lessons learned are incorporated into the design.
- D. **Report on Site Investigation.** Report to include the following:
 1. Description of installation components and the effects on the building and operations. Asbestos located in the building, pedestrian traffic, vehicular traffic, utility interruptions, building operation factors, building system effects, etc.
 2. Opinion of Probable Costs
 3. Review any peculiar circumstances with the State Construction Office, if needed, to ensure the review and approval process is achieved with **“no surprises”**.
 4. Additional options maybe not listed in the published scope. **“Thinking Outside the Box”**, if required.
- E. **Prepare Design Documents including:**
 1. Drawings
 2. Specifications (all applicable disciplines)
 3. Opinion of Probable Costs (all applicable trades)
 4. Provide intermediate submittals for review with UNC Chapel Hill and the State Construction Office.
 5. Review Design documents with UNC Chapel Hill Staff.
- F. **Perform Construction Administration services.** After review and approval of Construction Documents, Construction Administration services will be performed including:
 1. Permitting Services, if required.
 2. Bidding Services
 3. Project Construction Administration
 4. Site visits to verify adherence to Construction Documents

5. Review of Pay applications.
6. Respond to Requests for Information (RFI's)
7. Closeout Documents

6. RECENT EXPERIENCE IN MEETING PROJECT BUDGETS AND SCHEDULES

Dewberry has completed numerous projects, which demonstrates we are very familiar with the principles, personnel, and procedures expected. Staff members regularly attend national conferences to stay current with national trends. We take schedule compliance and designing within the agreed construction budget seriously. We fully understand that in the facilities management business, delivering a project on schedule and within the budget are the two critical success factors. In the event a project costs exceed the budget, we assist in the value engineering process to allow construction to continue.

The majority of Dewberry's projects require some level of cost estimating. Whether it is a rough funding-level estimate or a detailed independent estimate for bidding, the Dewberry team will provide a wealth of experience in this area. A cost estimate will be generated and updated at each design phase submittal. This allows the cost to be projected and contained during the design process. As designers, we prepare construction documents with a keen eye for project costs.

Projects	Schedule		Construction Budget	
	Design Time Contract	Actual Design Time	Budget	Actual Cost
WCPSS Leesville Road Campus HVAC Upgrades	6 months	6 months	\$2,500,000	\$1,770,000
NC State University Fountain Dining Hall Chilled Water Extension	3 Months	3 Months	\$150,750	\$101,232
WCPSS Zebulon Elementary School HVAC Upgrades	6 Months	6 Months	\$500,000	\$494,398
WCPSS Fuquay Varina Elementary School HVAC Upgrades	4 Months	4 Months	\$500,000	\$491,000
NC State Data Center II – Utility Redundancy	6 Months	6 Months	\$945,000	\$887,000
WCPSS West Cary Middle School HVAC Upgrades	10 Months	10 Months	\$2,521,915	\$2,057,000

7. CONSTRUCTION ADMINISTRATION CAPABILITIES

The Project Manager has primary responsibility and is the point of contact for the client and the contractor. For small to medium sized projects, these are advantages to the approach. With the Project Manager being responsible for construction administration services, he has full knowledge of the project and design, ready access to the design team, and an understanding of the client's processes and procedures for construction activity documentation and management. Dewberry routinely provides complete construction administration services. We anticipate the construction administration services will include:

- Review and approval of construction documents
- Site visits to verify adherence to contract documents
- Monitor construction activities to confirm overall construction schedule is maintained
- Prepare and distribute field reports as outlined in the scoping document
- Review pay applications
- Respond to requests for information (RFI's) and proposal requests



8. PROXIMITY TO AND FAMILIARITY WITH THE AREA WHERE THE PROJECT IS LOCATED

Our Dewberry team is located in Raleigh, NC, only miles away from the project site. We also have a sister office in Chapel Hill on Eastowne Drive, only minutes away from the project location. Both locations can serve the University particularly well as we are in close proximity to state regulatory agencies and maintain good working relationships through frequent personal contact. We feel this is a distinct advantage as we have established a good rapport and reputation with the agencies through frequent personal contacts.

9. RECORD OF SUCCESSFULLY COMPLETED PROJECTS WITHOUT MAJOR LEGAL OR TECHNICAL PROBLEMS

Dewberry has a successful history of completing projects to meet clients' expectations. Quality design, commissioning, and an established QA process reiterate our statement of having a record of successfully completing projects without legal or technical problems. However, there have been occasions where a Dewberry company has been engaged in the dispute resolution process. In these rare occasions, either the claim has been amicably resolved prior to trial, or the company has been dismissed from the case at an early stage. In each instance where a Dewberry company has gone to trial, the company has been exonerated by the court.

Dewberry has completed more than 85 projects subject to NC Office of State Construction review which demonstrates we are very familiar with the principles, personnel, and procedures expected. Members of our staff regularly attend national conferences to stay current with national trends. Dewberry also had significant experience working with the Department of Insurance on Code related issues prior to State Construction Office taking over Code review of state owned projects.

10. HUB PARTICIPATION IN PROPOSED TEAM STRUCTURE; AND WHO AND HOW HUB DESIGNERS WERE UTILIZED ON PREVIOUS PROJECTS

Dewberry supports UNC at Chapel Hill's program to provide equal access to information and opportunities for minority and women owned construction contractors, designers, and businesses. In addition, we embrace the requirements of Senate Bill 914 to require the good faith efforts of all state universities and public entities in the recruitment and selection of minority firms to reach a 10% minimum participation level on public sector projects. We will include minority/woman owned businesses on our project teams when possible and appropriate for the project.

11. INCLUDE CURRENT 330 FORM OF LEAD FIRM AND EACH PROPOSED CONSULTANT

Current Dewberry 330 Form is included with this document.

12. THE TEAMS RECENT EXPERIENCE WITH THE NC STATE CONSTRUCTION OFFICE

Some of our recent State Construction projects, in addition to those listed in Section F, are listed below:

NC State University Data Center II- Utility Redundancy

Dewberry is providing engineering and construction administration services for the project consisting of the installation of a new on-site, 160-ton air cooled, redundant chiller (connected to the central chilled



water loop to run at designated times), replacement of building chilled water pumps, and the replacement of four existing Dx CRAC units in the existing Data Center with new chilled water CRAC units. The design was completed, including installation of a temporary chiller, to allow the building operation to continue uninterrupted. The HVAC system serving the data center will provide approximately 160 tons of cooling.

NC State University, Centennial Campus Student Housing

Dewberry is providing fire protection, plumbing, mechanical, electrical engineering design services, LEED documentation and energy modeling, and construction administration support for approximately 430,000-sf of student housing. The project contains approximately 1,150 beds, a 20,000-sf, 370-seat dining facility, an entrepreneur's garage, and a 600-space surface parking area. The project is LEED Silver Certified and was designed to meet Senate Bill 668 compliance, energy modeling, and life cycle cost calculations to compare different systems of the building (HVAC, lighting, domestic water heating).

NC State University, Scott Hall Chilled Water Extensions

Dewberry provided mechanical and electrical engineering, bidding support, and construction administration services for the removal of an existing 300-ton water cooled chiller/cooling tower, connecting the building to the central chilled water loop, and the replacement of the building chilled water pumps. The design was completed, including a temporary chiller, to allow the building to remain operational.

Governor's Office of ITS, Chiller Replacement and Redundant Piping

Dewberry designed the replacement of a chiller and associated piping, installation of redundant cooling tower, and chilled water piping for the North Carolina ITS Building, which serves a critical function in supporting various North Carolina agencies. Since the chiller plant supported this building and especially the computer systems within this building, it was critical that the chiller plant remain in operation. Dewberry designed innovative modifications to the chiller plant to help ensure continuous chiller plant operation.

Dewberry would sincerely appreciate the opportunity to provide professional engineering services to the University for this project. We are confident that we are well qualified to serve you and the University in a highly professional, efficient, and timely manner.

If you have any questions, please do not hesitate to contact me by phone at 919.424.3730, or via email at gmills@dewberry.com.

Sincerely,
Dewberry Engineers Inc.



Gregory A. Mills, PE, CEM, LEED AP BD+C
Manager Building Services Group

ATTACHMENT G

DESIGNER SELECTION – MOREHEAD CHEMISTRY BUILDING HVAC REPAIRS

This project will repair the existing HVAC system in Morehead Chemistry Building.

The project budget is \$682,500 and will be funded by University funds.

This project was advertised on February 16, 2015. Eleven (11) proposals were received. Four (4) firms were interviewed on March 17, 2015. 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. Affiliated Engineers | Chapel Hill, NC |
| 2. RDK Engineers | Durham, NC |
| 3. Edmondson Engineers | Durham, NC |

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

RECOMMENDED ACTION

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

- | | |
|-------------------------|-----------------|
| 1. Affiliated Engineers | Chapel Hill, NC |
| 2. RDK Engineers | Durham, NC |
| 3. Edmondson Engineers | Durham, NC |

March 10, 2015



Affiliated Engineers, Inc.

1414 Raleigh Rd. Suite 305
Chapel Hill, NC 27517
Tel 919.419.9802 • Fax 919.419.9803
www.aeieng.com

Jerry U. Guerrier, RA, LEED AP
Architect
103 Airport Drive
Campus Box #1090
Chapel Hill, North Carolina, 27599-1090

RE: Morehead Chemistry HVAC Repairs

Dear Jerry,

Fundamental to every building project are systems including heating, ventilation, air conditioning, refrigeration, piping and plumbing. By designing and renovating these comprehensive systems for a variety of facility types across the country over the course of many years, coupled with a focus on innovation and energy efficiency, Affiliated Engineers, Inc. (AEI) has achieved an excellent reputation as a design leader.

In the attached proposal, we hope to convey to you why our experience and management skills should lead you to retain AEI for this engineering lead design project:

- **HVAC Repair/Replacement Design.** AEI has extensive experience with HVAC renovation in existing lab buildings including the UNC Kenan Lab Building Up Fit and the phased renovation of UNC Old Dental.
- **UNC Chapel Hill Experience.** Our 20 years of experience working at UNC Chapel Hill has resulted in a wide range of functional, reliable and innovative designs, provided through a creative, interactive and evolutionary process. We know your design and operations leadership and are familiar with a wide range of campus facilities. We hope you see us as a dependable partner, one that can be trusted to perform at the highest level no matter the size of the project.
- **By having a local office,** we can offer UNC Chapel Hill important advantages and benefits that result in highly successful projects. UNC will benefit from our proximity to campus, familiarity with the campus and staff, and our expert staff located in this office. We are located just five minutes from UNC's main campus.

We look forward to continuing our relationship with UNC Chapel Hill. If you have any questions regarding the enclosed information, please feel free to contact me.

Sincerely,

AFFILIATED ENGINEERS

A handwritten signature in black ink, appearing to read 'Bob Sherman', written over a light blue horizontal line.

Bob Sherman, PE, LEED AP, NCEES
Principal-in-Charge
(919) 419-9802
rhsherman@aeieng.com



MOREHEAD CHEMISTRY BUILDING HVAC REPAIRS

The University of North Carolina at Chapel Hill Campus Master Plan Update 2006
Approved March 22, 2006

PROJECT SITE



CAMPUS LOCATION MAP



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

BOARD OF TRUSTEES

MARCH 2015

ATTACHMENT H

PROPERTY ACQUISITION BY LEASE – OFFICE SPACE – OFFICE OF RESEARCH INFORMATION SYSTEMS (ORIS)

This request is to acquire approximately 6,265 square feet of office space from Europa LLC., located at 100 Europa Drive, Chapel Hill, NC, Suites 361 & 371, for use by the Office of Research Information Systems (ORIS). ORIS is currently located in leased space at CVS Pharmacy Plaza on East Franklin Street. Relocating ORIS to the Europa Center will offer collaboration opportunities with other University research units located at the Europa Center and will make their current space available for other University units. The lease term is for ten years with an initial annual cost of \$150,046.75, inclusive of utilities and janitorial service. Rent will increase 2.5% per annum beginning in year 2 of the lease.

RECOMMENDED ACTION

A motion to recommend approval to acquire office space by lease as described above.

ATTACHMENT I

PROPERTY ACQUISITION BY LEASE – OFFICE SPACE – VARIOUS UNIVERSITY DEPARTMENTS

This request is to acquire approximately 63,471 square feet of office space from The Endowment Fund of The University of North Carolina at Chapel Hill. The space is within three separate buildings, each with an individual lease. The buildings are located at 720 (9,350 square feet), 725 (34,777 square feet) and 730 (19,344 square feet) Martin Luther king Jr. Boulevard in Chapel Hill, and collectively known as the Bolin Creek office buildings. These buildings are currently leased to the University and were initially purchased by the Endowment Fund for that general purpose. Leasing these buildings in their entirety allows the University to allocate space within each building to various departments as needed throughout the lease term. The lease terms are for ten years with an initial aggregate annual cost of \$1,364,626.50, or \$21.50 per square foot, inclusive of utilities and janitorial service. This represents a lease rate that is consistent with market rental rates of similar properties in Chapel Hill. Rent will increase 2.5% per annum beginning in year 2 of the lease.

RECOMMENDED ACTION

A motion to recommend approval to acquire office space by lease as described above.

ATTACHMENT J

DESIGNER SELECTION – UNIVERSITY MASTER PLAN

This project will develop a University wide master plan which will integrate the campus strategic plan for sustainability and guide its physical development.

The project budget is \$1,500,000 and will be funded by University funds.

This project was advertised on December 18, 2014. Eight (8) proposals were received. Three (3) firms were interviewed on March 2, 2015. Members of the Interview Committee consisted of representatives from the Board of Trustees, Chancellor's Office, Provost's Office, Chancellor's Buildings & Grounds Committee, UNC Health Care, Finance & Administration, Real Estate Development, Faculty Council and Facilities Services.

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

- | | |
|---------------------------|---------------|
| 1. Ayers Saint Gross | Baltimore, MD |
| 2. Elkus Manfredi | Boston, MA |
| 3. Skidmore Owens Merrill | Chicago, IL |

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

RECOMMENDED ACTION

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

- | | |
|---------------------------|---------------|
| 1. Ayers Saint Gross | Baltimore, MD |
| 2. Elkus Manfredi | Boston, MA |
| 3. Skidmore Owens Merrill | Chicago, IL |



BALTIMORE, MD
TEMPE, AZ
WASHINGTON, DC

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www.asg-architects.com

January 16, 2015

Jill Coleman, RLA, ASLA, LEED AP
University of North Carolina at Chapel Hill
Facilities Planning & Design Department
103 Airport Drive, Campus Box 1090
Chapel Hill, NC 27599

RE: University Master Plan

Dear Ms. Coleman and Members of the Selection Committee:

Ayers Saint Gross is delighted to submit our qualifications to assist the University of North Carolina at Chapel Hill in creating a comprehensive University Master Plan. This letter serves as an executive summary of our submission. There is no relationship that our firm values more than the one we have with Carolina. It is among the most important in the more than 100-year history of our firm.

As the nation's first public university, your commitment to high quality facilities and design over generations of leadership resonates deeply with us. Our fundamental approach to planning pairs long-term vision with deliberate implementation. We are proud to have been a part of past planning and design projects with you, and it is certainly an exciting time to plan university-wide. As the mission and vision for the future are refreshed, the physical campus must also evolve to support strategic directions and operational realities.

Much has changed since we began our relationship with the University. Ayers Saint Gross is now a 150-person internationally-recognized design firm. Our mission continues to be to engage people and places to create designs that enrich the world, with almost all of our work being for colleges and universities. Founded in 1912, we now have an interdisciplinary staff of design professionals organized around specialized areas of expertise including: campus planning, landscape architecture, signage and way-finding, space needs assessment, sustainability, and building design for a wide-range of academic and student life facilities. We remain committed to building strong and lasting relationships with our clients by providing a comprehensive suite of services. This depth of expertise allows us to engage the campus community in meaningful and appropriate ways throughout the planning process. We believe that we have the people, experience, and philosophy to continue to blend well with the spirit and culture of Carolina.

To complement our planning, design, and analytical strengths, our proposed team includes both local and national experts. Our goal is to put together a dynamic team that offers the continuity and shared knowledge base that we have built with you through past projects paired with new teammates who can challenge us all by seeing the campus through a fresh lens. Our team is as follows:

- Ayers Saint Gross will lead the team and provide planning and space analytics services.
- HR&A Advisors brings unparalleled expertise in the economics and partnerships that are critical to action-based implementation plans.
- BuroHappold Engineering's recognized leadership in high-performance design makes them a critical resource in comprehensive sustainability and resilience planning.

- VHB has a great understanding of the unique set of transportation and mobility issues on many of our country's great campuses – including Carolina.
- Affiliated Engineers are national leaders in infrastructure engineering for leading institutions; they also provide a valuable link to your on-going utility infrastructure planning.
- Biohabitats is a critical and nationally recognized expert in water resources, particularly stormwater.
- Hoerr Schaudt Landscape Architects has the talent and proven ability to envision high impact landscape projects that integrate building and open space in a sustainable manner.
- Schulze + Grasso are international experts in urban design and mobility planning; their progress and practical work on multiple campuses here in the US is pushing our thinking on mobility planning to new and exciting levels.
- Planning Communities brings local experience in facilitated engagement of diverse stakeholders in Chapel Hill and the Triangle region.

In addition to our core team, we know that Carolina is a complex institution with unique planning challenges and there may be additional planning needs. We look forward to discussing these with you and assessing if additional experts are needed – now or in the future.

In all our work, we strive to combine the visionary with the practical, and we believe the success of a master plan can only be measured by how efficaciously it is implemented. We achieve this through a carefully designed process. We engage participants in an inclusive process, reflect the mission and heritage of the institution, act as an extension of the client, prepare the organization for the future, perform clear-eyed analysis, and provide effective communications. Our team is well-versed in managing complex processes with highly integrated teams.

Our firm prides itself on both great design and great service. Our goal is to engage each client in a long-term relationship and become a trusted advisor on issues related to planning and design. Many of the firms and individuals on our team have long established relationships with the Carolina community. You know many of us well. I will continue to lead our team in collaboration with Adam Gross as the Project Executive and Kevin Petersen as Managing Principal. This brings together an intimate and long-standing knowledge of your campus and culture with national expertise in development via partnerships and fresh eyes on the critical challenges facing the university and the region.

We have included some examples of our work. We chose these projects to give you a sense of the breadth and depth of our team's resources and talent. Our team has unparalleled experience in creating plans and designs for mature campuses. We also showcase our experience creating new paradigms for campus development with partners at the edges of campuses and on health sciences precincts.

As you review the enclosed materials, we hope you can sense our long-standing passion for design and communities as well as our excitement about this assignment for Carolina. This would be an extremely important project for our firm, and you can be assured of our total commitment to its success. I am available to answer any questions you may have about our qualifications or approach.

Sincerely,

AYERS SAINT GROSS, Inc.



Luanne Greene, AIA, LEED AP
Principal-in-Charge

ATTACHMENT I

FOR INFORMATION – UNIVERSITY MASTER PLAN

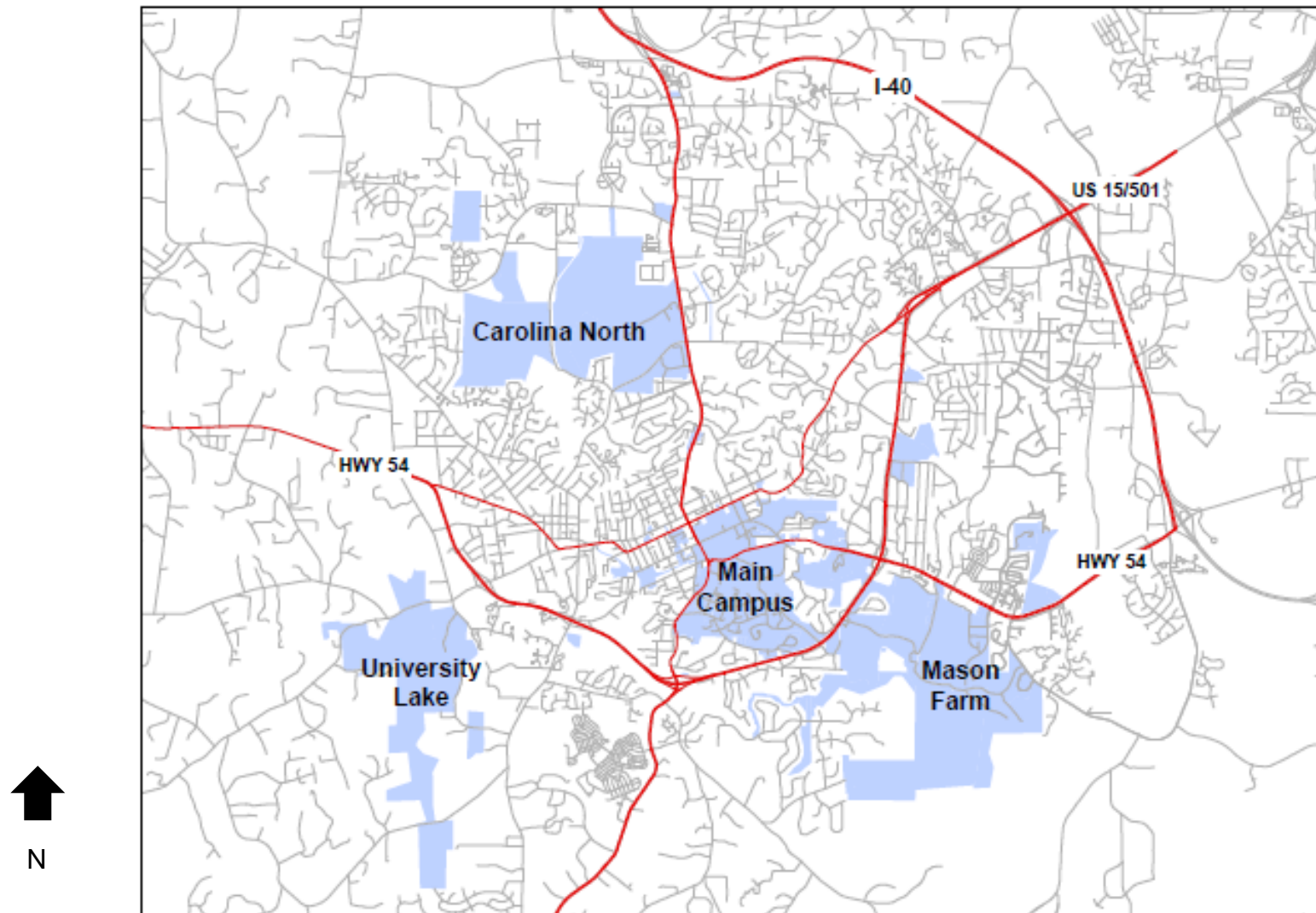
This presentation is an overview of the upcoming master plan process. The presentation outlines the planning components and summarizes the initiatives that will be incorporated in the planning process.

The information is presented to the Board of Trustees for review and comment.

No formal action is requested at this time.

UNIVERSITY MASTER PLAN
FOR INFORMATION

UNIVERSITY MASTER PLAN – LAND HOLDINGS



UNIVERSITY MASTER PLAN – PLANNING COMPONENTS

- Space needs & assessment
 - Current and improved utilization
- Infrastructure
 - Transportation and Parking
 - Utilities
 - Stormwater
- Landscape & environment issues
- Economic development
 - Sustained implementation
 - Partnerships



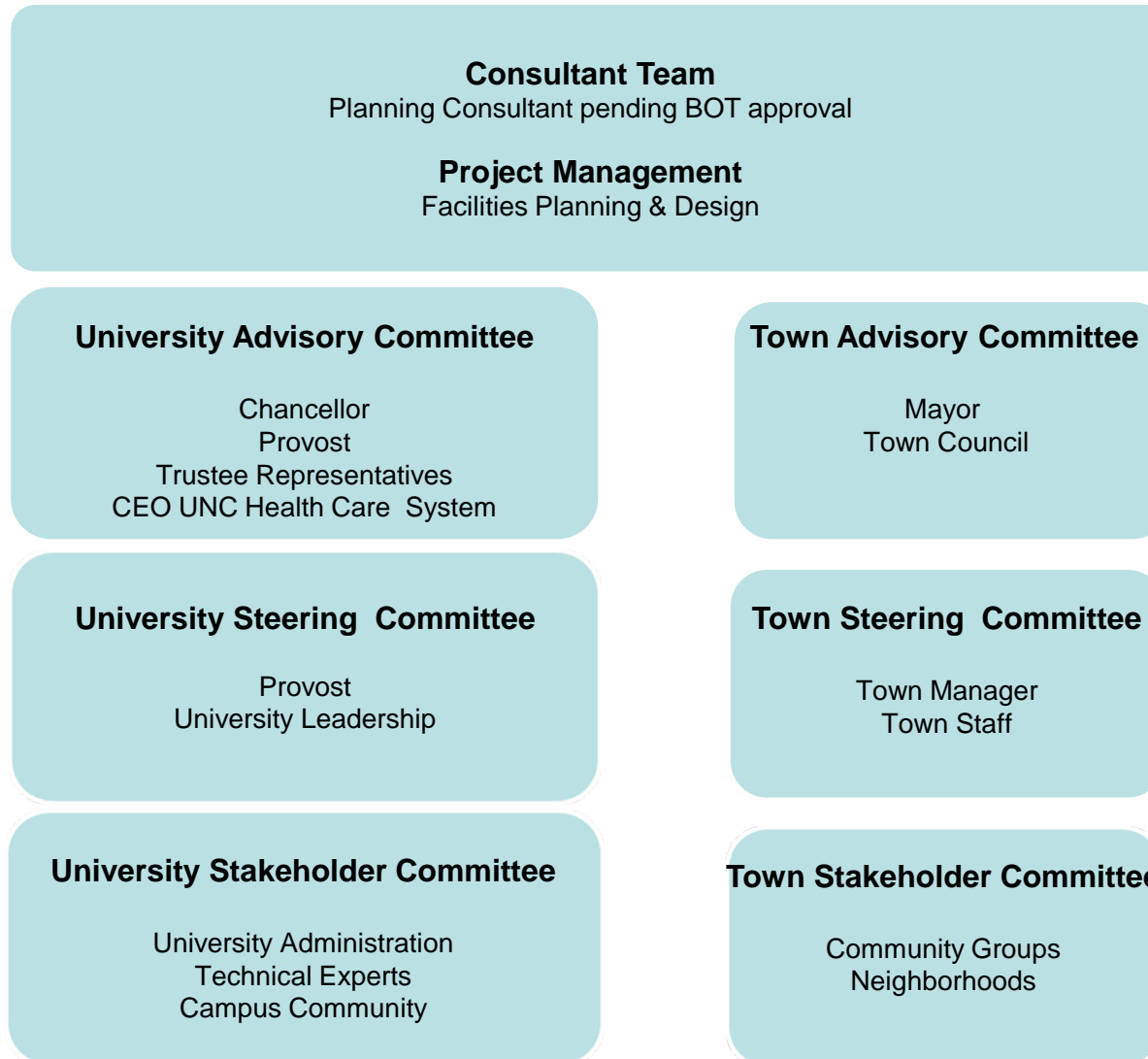
UNIVERSITY MASTER PLAN – PLANNING PROCESS

Today's drivers:

- Mission: Teaching, Research and Public Service
- Sustainability Strategic Plan
- Smart utilization of space and resources
- Innovative research initiatives
 - Partnerships
 - Entrepreneurship
- Mixed Use development
- Economic Development



UNIVERSITY MASTER PLAN – PLANNING STRUCTURE



UNIVERSITY MASTER PLAN – PLANNING SCHEDULE

- Summer 2015
 - Sustainability Strategic Plan
 - Foundation Studies
 - Space Utilization Study
 - Program development
- Fall 2015 – Spring 2016
 - Campus workshops
- Summer 2016
 - Plan refinement and economic development analysis
- Fall 2016
 - Final Plan review and approvals





THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

ATTACHMENT K

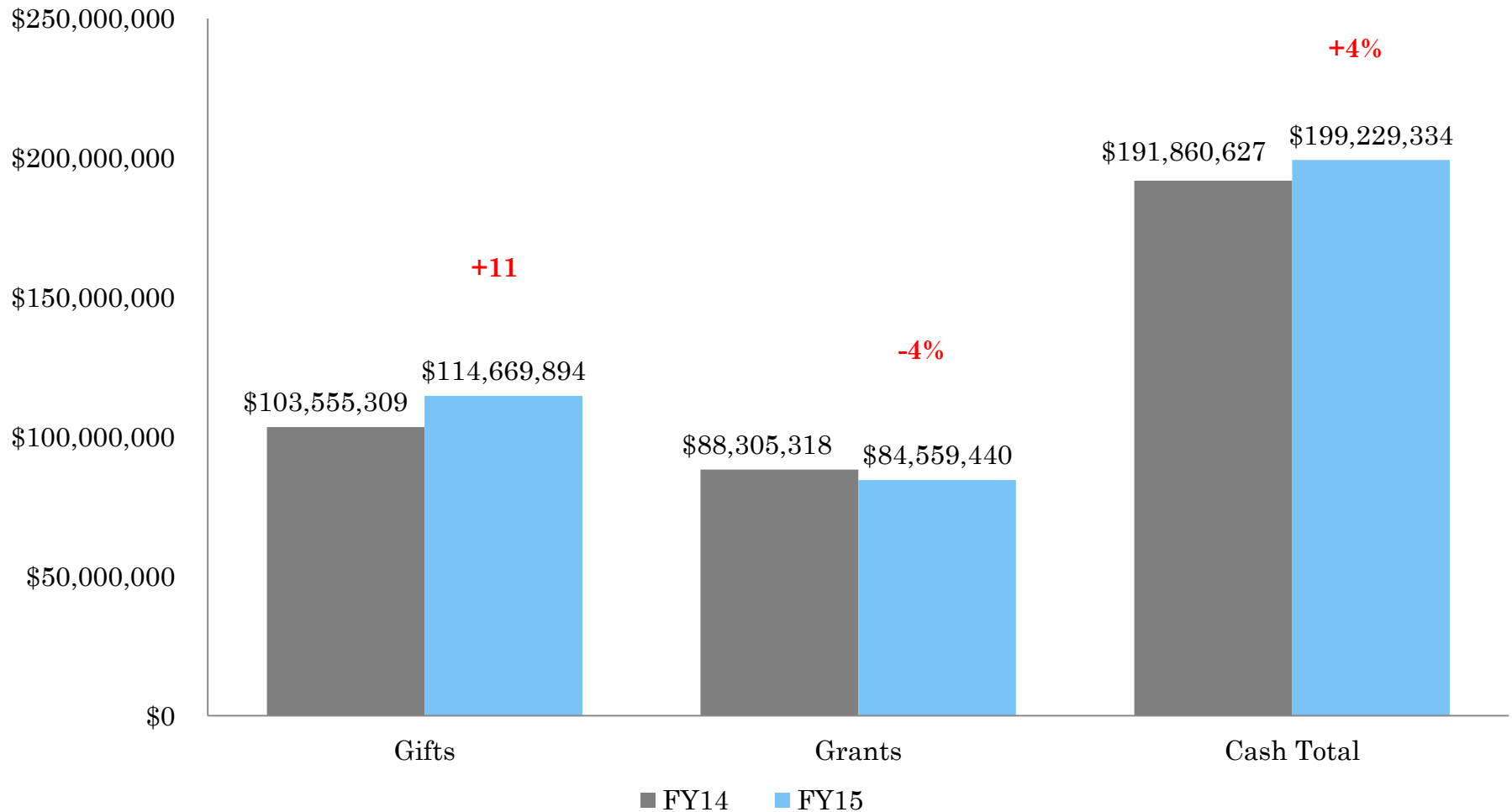
Development Update

March 2015

Meeting of the UNC Board of Trustees

David S. Routh
Vice Chancellor for Development

Cash Totals

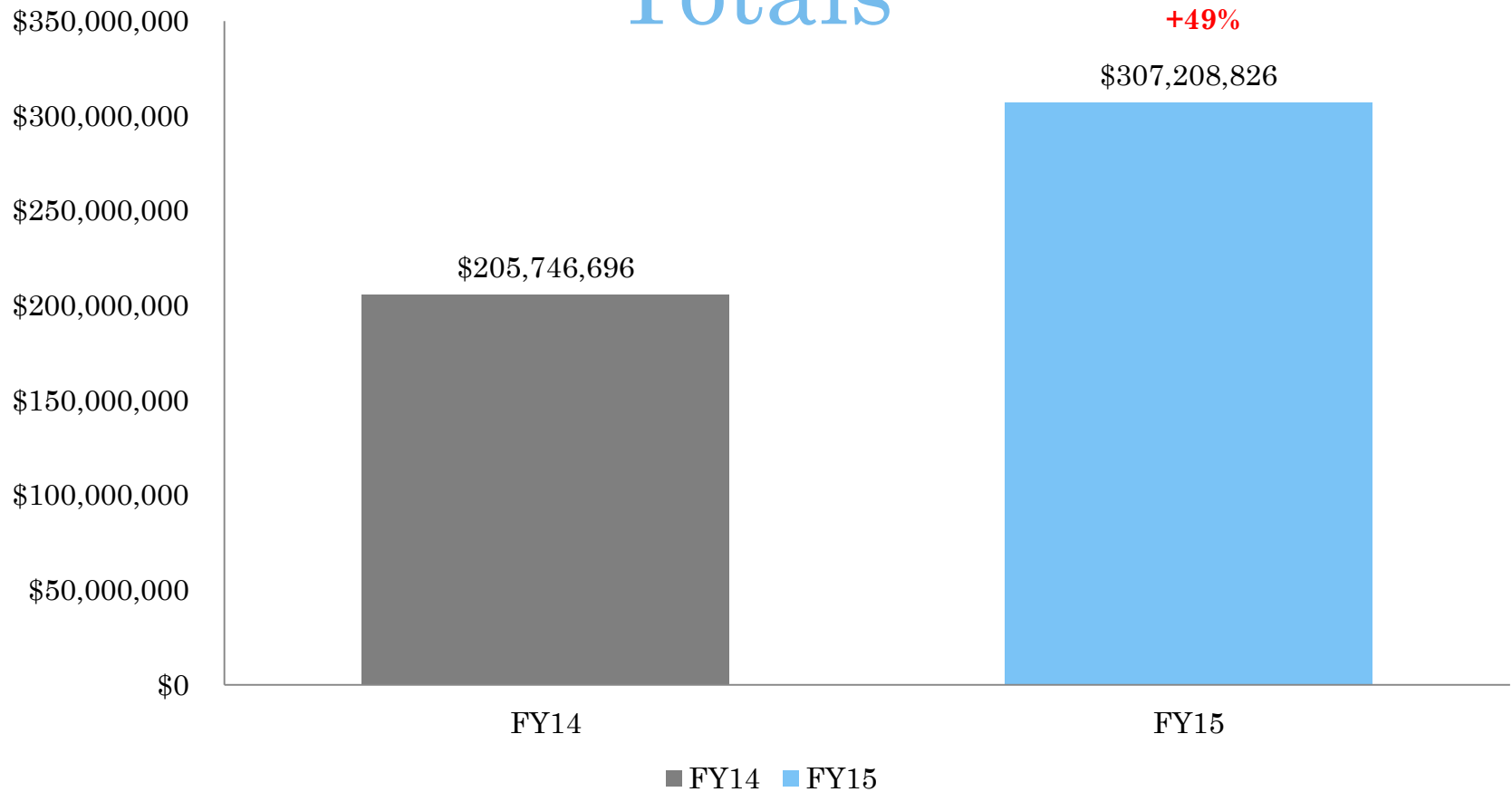


YTD Comparison as of March 16, 2015



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

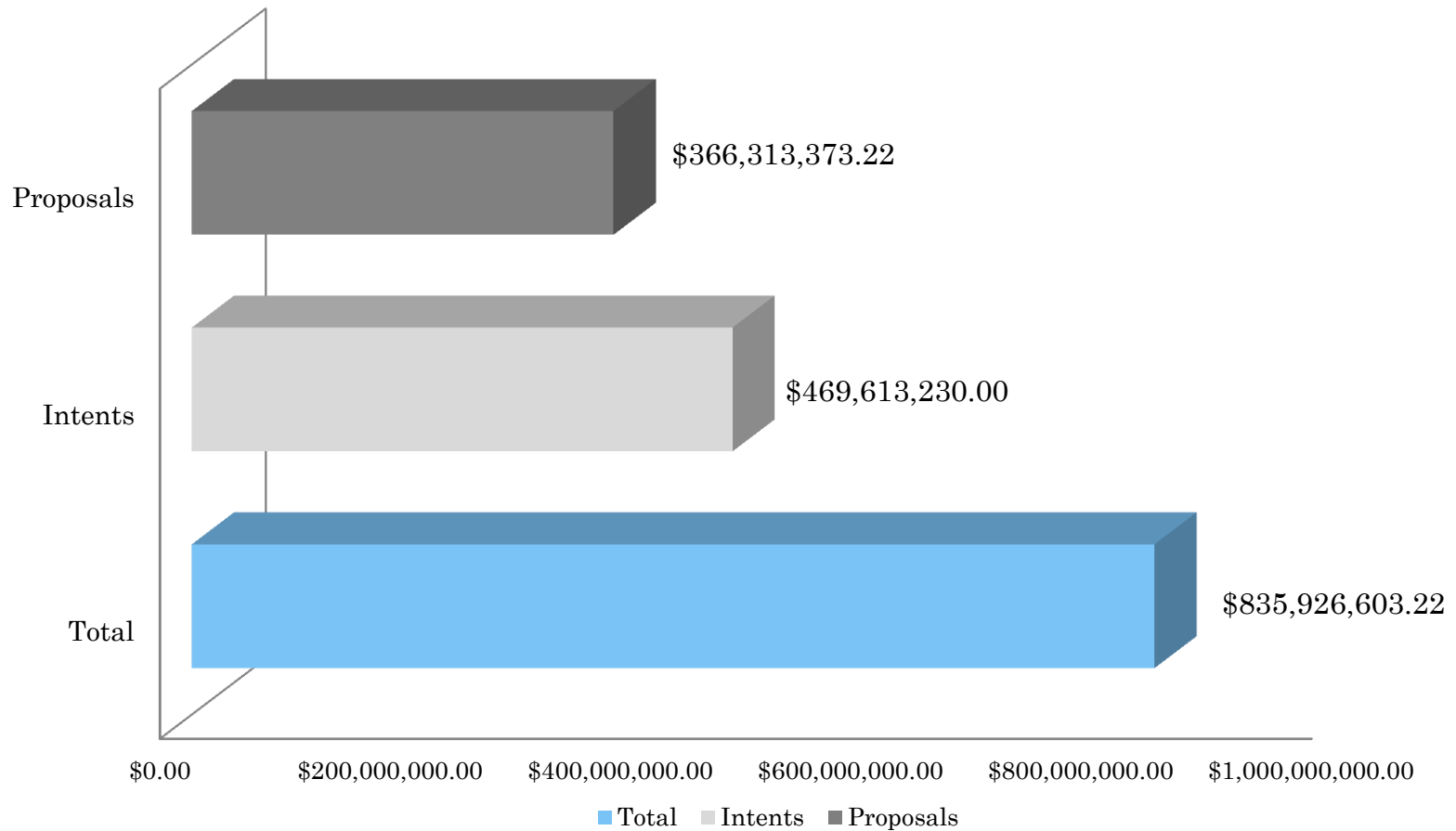
New Cash and Commitments Totals



YTD Comparison as of March 16, 2015



The Pipeline



Carolina Development Wire



Dear Joanne,

I have great news to share. This afternoon, Chancellor Folt announced our university's largest single gift from an individual — \$100 million from Fred Eshelman to support the UNC Eshelman School of Pharmacy. Gov. McCrory and President Ross joined us for the celebration, as did a crowd of more than 300. Chancellor Folt and Dean Blouin did an incredible job explaining the transformative nature of this gift for the school, the University, our state and our society. This new \$100 million commitment will create the Eshelman Institute for Innovation, which will leverage our collaborative culture and interdisciplinary research strengths to further drive innovation across campus and out into society. Follow [this link](#) for complete details.

This gift is a powerful statement of the importance of what we do every day here at Carolina. It's particularly significant for me that our first \$100 million gift from an individual comes from an entrepreneur and investor such as Fred Eshelman. Fred is one of the most savvy investors and accomplished entrepreneurs in North Carolina. He expects and demands excellence in everything he touches. Fred is also passionate about the role that this university plays in the economic vitality of our state and our region, as well as how academic research can drive innovation of all kinds. This is truly a day to celebrate!



Fred Eshelman

It's also a tremendous endorsement of the great work being done by our faculty, staff and students. Every day, Carolina continues to



Dear Joanne,

As you no doubt know, we've had a tough week at Carolina. We lost Coach Dean Smith, and then we lost three extraordinary young people — including a UNC dental student and his wife who planned to follow him to Brauer Hall this August.

One death represented a life lived to the fullest; the others lives full of promise lost.

I cannot claim to have known Deah Barakat, Yusor Abu-Salha and Razan Abu-Salha, but I wish I had. By every account, they embodied the values that Carolina has always stood for — commitment to service and compassion for those in need. Please be assured that the University is honoring their lives and offering support to our campus community as we cope with this tragedy. I know you join me in keeping their family and friends in your thoughts and prayers. Should you want to honor Deah, you can [make a gift to the Barakat Memorial Fund in the UNC School of Dentistry](#).

I also wanted to make sure you knew about a Feb. 22 public memorial service celebrating the life of Coach Smith. The service will be held at 2 p.m. at the Smith Center. [Here are the latest details](#).

You can read about Coach Smith's life and legacy by [visiting this link](#). There are many statistics that attest to his greatness as a coach. But I believe we will most remember him for his greatness as a man.

The son of public school teachers, Coach Smith knew the value — and moral imperative — of giving everyone a shot at the American dream, regardless of skin color or financial circumstance. For me, that will always be his most profound legacy.



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

New Development Hires

Pitt Tomlinson

Director of Prospect Management, Research and Analytics

🔍 Oversees research department and will create a new analytics team



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

New Development Hires

Catherine Pierce

Director of Development Planning and Strategic Projects

- Oversees special projects and planning in the Office of the Vice Chancellor



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Invest in Carolina

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of NORTH CAROLINA
at CHAPEL HILL

ATTACHMENT L

Division of Finance and Administration

UNC-Chapel Hill Financial Update



Matthew M. Fajack
Vice Chancellor for Finance and Administration
March 25, 2015



FY 2014-15 Highlights

- General Fund collections through December 2014 are \$199.2 million (2%) below the six-month revenue target of \$9.8 billion.
- Collections on wage and salary income continue to lag behind forecasted expectations.
- Sales and Corporate Income tax collections have offset some weakness in Personal Income tax collections.
- The steady, moderate economic growth that re-emerged last summer is expected to continue through the fiscal year.
- Most economic forecasts anticipate a continuation of this growth path in 2015 with the economy operating at near average growth.



General Revenue Fund

FY2014-15 Revenue Through December 2014

- The three main General Fund revenue sources, Personal and Corporate income tax and the Sales tax, have had mixed results the first half of the fiscal year.

FISCAL YEAR-TO-DATE (millions)					
Net Tax Revenue	Target 2014-15	Actual 2014-15	Target Difference	Actual 2013-14	Y/Y Pct. Change
Individual Income	\$5,141.8	\$4,895.2	(\$246.6)	\$5,520.0	(11.3)
Sales and Use	3,087.0	3,164.8	77.8	2,773.1	14.1
Corporation Income	479.6	536.8	57.2	584.7	(8.2)
Franchise	144.3	90.1	(54.2)	270.2	(66.7)
Other	540.0	530.9	(9.1)	551.3	(3.7)
Total Tax Revenue	\$9,392.7	\$9,217.8	(\$175.0)	\$9,699.3	(5.0)
Nontax Revenue & Transfers	\$442.6	\$418.4	(\$24.2)	\$411.4	1.7
Total General Fund Revenue	\$9,835.3	\$9,636.2	(\$199.2)	\$10,110.7	(4.7)



Economic Outlook

North Carolina Economic Indicators

- The updated State indicators are consistent with the current revenue picture, especially the downgrade in personal income growth.
- Early projections for the upcoming biennium expect these growth trends to stabilize and wage income to rebound.

Changes in Economic Growth Forecast, April 2014 to December 2014

Economic Indicator	Actual FY2013-14	April 2014 Forecast FY2014-15	December 2014 Forecast FY2014-15
NC Gross State Product	2.7%	3.4%	3.2%
NC Total Non-Farm Employment	1.7%	1.8%	2.4%
NC Unemployment Rate	7.0%	6.6%	6.2%
NC Income: Total Personal	2.9%	4.8%	3.8%
NC Income: Wages & Salaries	3.4%	4.5%	2.6%
NC Retail Sales: Total	3.7%	5.9%	6.1%
NC Population	1.0%	1.2%	1.3%



Revenue Outlook

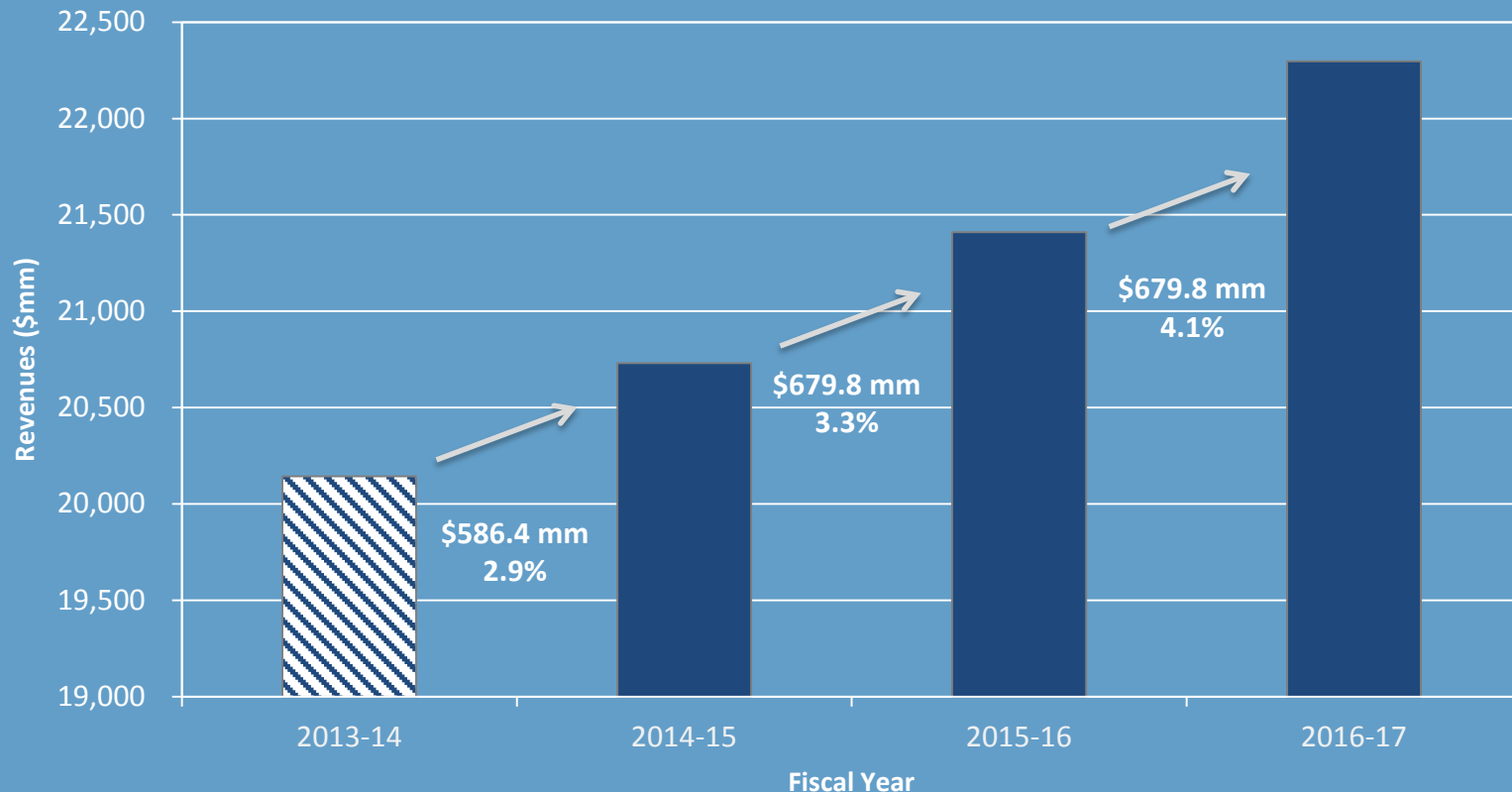
- Revenue projections have been complicated by over \$1.5 billion in annual tax changes.
- Most of these changes began to take effect in 2014 and it is expected that North Carolina will not understand the full impact of these changes for several years.
- Expectations for the upcoming biennium indicate that steady economic growth will produce baseline projections that approach average growth.
- Actual growth will be somewhat muted with income tax rate reductions for both personal and corporate taxpayers in 2015.



Consensus Forecast

General Revenue Fund (as of February 2015)

- Forecast expects FY2014-15 collections to be below the budgeted amount by \$271 million (down 1.3%) and for modest growth to occur during the next biennium.





UNC Operating Performance

Year-Over-Year Comparison

	Current FY	Prior FY	Difference (\$)	Difference (%)
REVENUES				
Tuition and Fees	\$452,588,624	\$421,770,533	\$30,818,091	7.3%
Contracts and Grants	617,204,310	561,257,832	55,946,478	10.0%
State Appropriations	152,516,676	183,765,296	(31,248,620)	-17.0%
Sales of Services	289,243,036	311,767,983	(22,524,947)	-7.2%
Patient Services	167,878,015	143,684,734	24,193,281	16.8%
Contributions and Donations	68,500,875	68,149,119	351,756	0.5%
Investment Income	1,735,239	3,989,281	(2,254,042)	-56.5%
TOTAL REVENUES	1,749,666,775	1,694,384,778	55,281,997	3.3%
EXPENSES				
EPA Salaries	419,424,927	400,872,873	18,552,054	4.6%
SPA & LEO Salaries and Wages	153,697,261	152,783,791	913,470	0.6%
Temporary Salaries	18,306,461	19,238,339	(931,878)	-4.8%
Supplements to Regular Wages	20,366,971	19,377,011	989,960	5.1%
Employee Benefit Costs	147,367,434	144,629,553	2,737,881	1.9%
Other Personal Service Payment	3,370,719	3,689,678	(318,959)	-8.6%
Personal Services	762,533,773	740,591,245	21,942,528	3.0%
Purchased Services	238,478,344	218,725,698	19,752,646	9.0%
Supplies	137,311,412	132,285,712	5,025,700	3.8%
Equipment and Other Capital	60,368,262	51,824,907	8,543,355	16.5%
Financial Aid and Sub-Grants	280,967,431	304,753,961	(23,786,530)	-7.8%
Debt Service, Indirect Costs, Other	177,503,712	136,322,213	41,181,499	30.2%
Transfers, Net	40,315,398	47,887,511	(7,572,113)	-15.8%
TOTAL EXPENSES	1,697,478,332	1,632,391,247	65,087,085	4.0%
NET INCREASE	52,188,443	61,993,531	(9,805,088)	-15.8%



News Release

For immediate use

Analysis finds UNC-Chapel Hill and UNC Health Care Medical Center contribute over \$7 billion to North Carolina economy

Study finds UNC-Chapel Hill and UNC Medical Center are a major driver of the state's growth

(Chapel Hill, N.C. – Feb. 18, 2015)— A new study analyzing the economic impact of UNC System institutions reveals the University of North Carolina at Chapel Hill and UNC Health Care Medical Center together added \$7.1 billion to North Carolina's economy in fiscal year 2013 – an amount representing nearly 100,000 jobs in the state.

The analysis is part of a larger study conducted by Economic Modeling Specialists International (EMSI) on the impact of all institutions of higher education in North Carolina. Its findings, which include the impact of UNC-Chapel Hill and UNC Health Care Medical Center, were released today (Feb. 18).

The two institutions send ripples of spending through North Carolina's economy and stimulate additional economic activity through the purchase of goods and services by salaried employees, the procurement of new equipment and supplies needed for state-of-the-art research and clinical activities, and the influx of money from the students and visitors the University attracts each year.

Additional economic impact comes also from the infusion of income and jobs into the economy from University construction, new inventions and patents, the creation of startup businesses, and the long-term benefit brought by UNC-Chapel Hill's highly skilled alumni, many of whom work in the state.

"This study illustrates how critical UNC-Chapel Hill and the UNC Health Care Medical Center are to the prosperity of our state," said UNC-Chapel Hill Chancellor Carol L. Folt. "All the UNC system universities provide tremendous value in different ways, and we all have wonderful stories to tell. This analysis underscores the large economic benefit that comes to our state from having great universities."



UNC Health Care Medical Center, with 805 inpatient beds and nearly 1.4 million clinical visits, provided state-of-the-art care to more than 37,000 North Carolina residents during the measured year. The salaries and purchases of UNC Health Care Medical Center added \$2 billion to the state's economy, representing 24,000 additional full-time jobs.

"At a time when North Carolina's health care needs are rising and the number of physicians is plummeting, our economic impact cannot be underestimated," said William L. Roper, MD, MPH, Dean, UNC School of Medicine and CEO, UNC Health Care System. "Because of UNC Health Care and the UNC School of Medicine, patients across the state can connect with world-class treatment, education and research. As the state's flagship health care system, we are ensuring a brighter future for all of our communities across all of our state."

The \$7.1 billion added to North Carolina's economy in fiscal year 2013 can be attributed to the economic impact from the University (\$5.1 billion) and the UNC Medical Center (\$2 billion). The University's contributions include: operations (\$1 billion), research (\$992.5 million), construction (\$56.5 million), start-ups that license University technology (\$179 million), students (\$54.9 million), visitors (\$130 million) and alumni (\$2.6 billion).

The EMSI analysis also documented the economic impact of the University's culture of research, innovation and entrepreneurship. More than 150 North Carolina businesses got their start at UNC-Chapel Hill. Today, they employ nearly 8,000 people in the state and 35,000 worldwide. The study found these businesses provide a nearly \$1.6 billion boost to the state's economy annually – an amount representing an additional 15,111 jobs. Spinouts that license technology from UNC-Chapel Hill accounted for \$179 million of the total, while businesses like Quintiles Transnational that emerged without technology licenses from the work of University faculty or students made up the remaining \$1.4 billion.

"These numbers demonstrate the value of creating a culture of entrepreneurship, investing in research, and supporting new technology and startup businesses," said Judith Cone, the chancellor's advisor for innovation and entrepreneurship and UNC-Chapel Hill's interim vice chancellor for commercialization and economic development.

UNC-Chapel Hill faculty secured more than \$790 million in new research contracts and grants in fiscal year 2013, up nearly \$15 million from the previous year, and Chancellor Folt recently announced the creation of a new venture fund to help early stage startups overcome funding gaps and translate research into business opportunities.

UNC General Administration commissioned the analysis on behalf of all UNC system universities and their medical centers. It is part of the first large-scale study of how North Carolina's institutions of higher education add value to the state's economy. EMSI used a conservative



methodology to demonstrate the impact of state universities, computing the value of alternative uses of funds being spent on university operations and subtracting that from total institutional impact. The result is an accounting of the unique and added economic benefits attributable to investments in higher education.

EMSI is an economic modeling firm that turns labor market data into useful information that reveals the connection between major enterprises, the economy, people and employment. The UNC system report can be found at <http://www.northcarolina.edu/economic-impact-2015>.

-Carolina-

Contact: Don Hobart, Associate Vice Chancellor for Research, (919) 843-0052,
hobart@email.unc.edu



Fact Sheet

Economic Impact: UNC-Chapel Hill and UNC Health Care Medical Center in FY 2013

- UNC-Chapel Hill and UNC Health Care Medical Center added **\$7.1 billion to the N.C. economy**, which **represents nearly 100,000 jobs** in the state.
 - UNC-Chapel Hill (\$5.1 billion)
 - Operations (\$1 billion)
 - Research (\$992.5 million)
 - Construction (\$56.5 million)
 - Technology Licensed Start-ups (\$179 million)
 - Students (\$54.9 million)
 - Visitors (\$130 million)
 - Alumni (\$2.6 billion)
 - UNC Health Care Medical Center Impact (\$2 billion)

Economic Impact of UNC Health Care Medical Center in FY 2013

- The UNC Health Care Medical Center provides care to more than 37,000 North Carolinians, accounting for 1.4 million clinical visits.
- The UNC Health Care Medical Center added **\$2 billion to the N.C. economy**, which **represents 24,000 jobs** in the state.

Economic Impact of UNC-Chapel Hill Business Startups in FY 2013

- Over 150 N.C. companies, employing over 8,000 people in the state today and 35,000 worldwide, have emerged as startups from UNC-Chapel Hill.
- UNC-Chapel Hill startups added nearly **\$1.6 billion to the N.C. economy**, which **represents over 15,000 jobs** in the state.
 - UNC-Chapel Hill startups with no technology license (\$1.4 billion)
 - UNC-Chapel Hill start-ups holding a technology license (\$179 million)

FACT SHEET

Demonstrating the Economic Value of the University of North Carolina at Chapel Hill to the state of North Carolina

JANUARY 2015

The University of North Carolina at Chapel Hill (UNC-CH) improves higher education delivery throughout the state and helps students increase their employability and potential. By facilitating new research and entrepreneurship and drawing students and visitors to North Carolina, the university also generates new dollars and opportunities for the state. The purpose of this analysis is to assess the impact of UNC-CH on the state economy. The analysis also looks at the benefits generated for students, North Carolina as a whole, and taxpayers.

*Our analysis shows that in FY 2012-13, the \$2.6 billion in payroll and operations spending of UNC-CH, together with its construction spending and the spending of its students, visitors, alumni, and start-up companies, created **\$5.1 BILLION** in added state income. This is equal to approximately **1.2%** of the total Gross State Product of North Carolina, and is equivalent to creating **75,812** new jobs.*

IMPACT ON THE STATE BUSINESS COMMUNITY

During the analysis year, FY 2012-13, UNC-CH spent **\$1.4 BILLION** on payroll and benefits for **16,988** full-time and part-time employees, and spent another **\$1.2 BILLION** on goods and services to carry out its day-to-day operations and research. This initial round of spending creates more spending across other businesses throughout the state economy, resulting in the commonly referred to multiplier effects. We estimate these multiplier effects in this study and report the *additional* economic activity that is created by the initial spending of UNC-CH.* Impacts are reported in terms of total income, which is analogous to Gross State Product, and the corresponding number of jobs created.

* Note: Our estimated economic impacts are conservative in that we directly take into account the fact that state dollars spent on the university could have been spent elsewhere in North Carolina if not directed toward UNC-CH, and thus would have created some economic impacts regardless. We account for these alternative uses of funds directly in our analysis by (i) assuming that if funds were not directed to UNC-CH, they would have been returned to the taxpayer and generate economic impacts through household spending on goods and services, and (ii) subtracting the estimated economic impacts generated by this alternative use of funds from the estimated economic impacts of UNC-CH. Thus, we report a net impact of UNC-CH that is above and beyond what would have occurred had the funds been returned to the taxpayer.

INTELLECTUAL PROPERTY CREATED BY UNC-CH

	INVENTIONS	PATENTS	LICENSES
2009-10	125	27	51
2010-11	142	33	45
2011-12	160	31	61
2012-13	138	25	56
TOTAL	565	116	213

IMPACT OF SPIN-OFF COMPANIES

Spin-off companies include those that were created and fostered through programs at UNC-CH that support entrepreneurial business development, as well as companies that were created by faculty, students, or alumni from their work at UNC-CH. The collective impact of spin-off companies related to UNC-CH in FY 2012-13 was \$1.4 billion in added state income, equivalent to 13,713 new jobs. These impacts are important because they comprise a significant part of the state's business environment. The connection between UNC-CH and its related spin-off companies is less direct than with start-up companies licensing technology of UNC-CH. For this reason, the impact of business spin-offs related to UNC-CH are presented separately for the university in this analysis.

These economic impacts break down as follows:

Operations spending impact

- Payroll and non-pay expenditures to support day-to-day operations (less research) of UNC-CH amounted to **\$994.7 MILLION** and **\$661.7 MILLION**, respectively. The net impact of the university's operations spending in North Carolina during the analysis year was approximately **\$1 BILLION** in added state income, which is equivalent to creating **12,129** jobs.

Research spending impact

- Research activities of UNC-CH impact the state economy by employing people and making purchases for equipment, supplies, and services. They also facilitate new knowledge creation throughout North Carolina through inventions, patents, and licenses. In FY 2012-13, UNC-CH spent **\$440.7 MILLION** on payroll to support research activities.
- Research spending of UNC-CH generates **\$992.5 MILLION** in added state income for the North Carolina economy, which is equivalent to creating **12,941** new jobs.

Construction spending impact

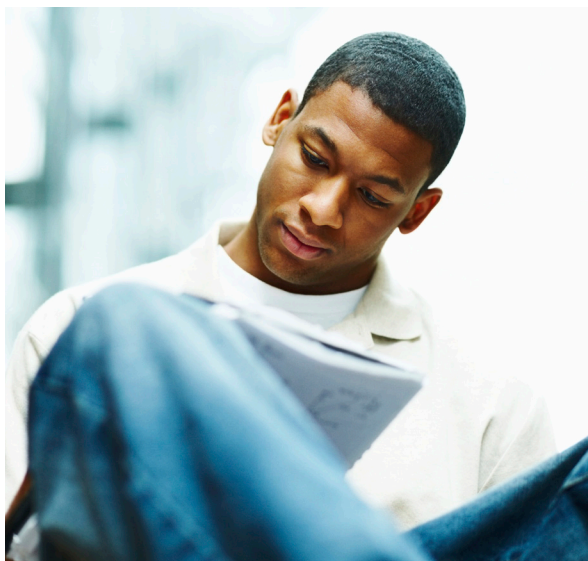
- UNC-CH built or renovated a number of its facilities during the analysis year. This spending generated a short-term infusion of income and jobs in the state economy.
- The net impact of the university's construction spending in FY 2012-13 was **\$56.5 MILLION** in added state income, equivalent to **1,843** new jobs.

Business start-up impact

- UNC-CH creates an exceptional environment that fosters innovation and entrepreneurship, evidenced by the number of start-up companies in the state created to license and commercialize technology developed by UNC-CH. In FY 2012-13, start-up companies related to the university created **\$179 MILLION** in added state income for the North Carolina economy, which is equivalent to creating **1,396** jobs.

IMPACTS CREATED BY UNC-CH IN FY 2012-13

INCOME	JOB
\$1 BILLION	12,129
Operations spending impact	
\$992.5 MILLION	12,941
Research spending impact	
\$56.5 MILLION	1,843
Construction spending impact	
\$179 MILLION	1,396
Business start-up impact	
\$54.9 MILLION	1,004
Student spending impact	
\$130 MILLION	3,321
Visitor spending impact	
\$2.6 BILLION	43,179
Alumni impact	
\$5.1 BILLION	75,812
Total impact	



Student spending impact

- Around **26%** of graduate and undergraduate students attending UNC-CH originated from outside the state. Some of these students relocated to North Carolina and spent money on groceries, transportation, rent, and so on at North Carolina businesses.
- The expenditures of students who relocated to the state during the analysis year added approximately **\$54.9 MILLION** in state income for the North Carolina economy, which is equivalent to creating **1,004** new jobs.

Visitor spending impact

- Out-of-state visitors attracted to North Carolina for activities at UNC-CH brought new dollars to the economy through their spending at hotels, restaurants, gas stations, and other state businesses.
- Visitor spending added approximately **\$130 MILLION** in state income for the North Carolina economy, which is equivalent to creating **3,321** new jobs.

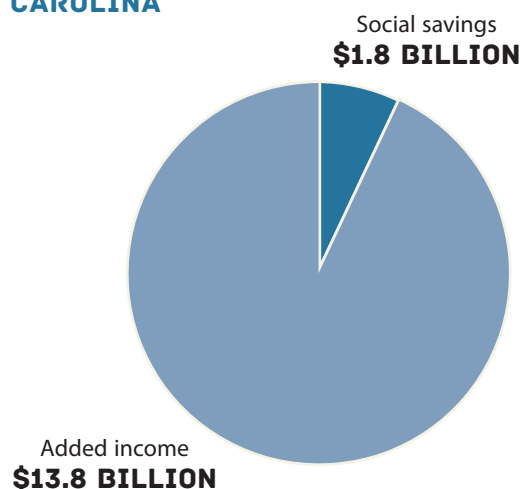
Alumni impact

- Over the years, students gained new skills, making them more productive workers, by studying at UNC-CH. Today, thousands of these former students are employed in North Carolina.
- The accumulated contribution of former UNC-CH students currently employed in the North Carolina workforce amounted to **\$2.6 BILLION** in added state income to the North Carolina economy, which is equivalent to creating **43,179** new jobs.

FOR EVERY \$1 SPENT BY...

STUDENTS	\$3.10 Gained in lifetime income for STUDENTS
SOCIETY	\$4.70 Gained in added state income and social savings for SOCIETY
TAXPAYERS	\$2.10 Gained in added taxes and public sector savings for TAXPAYERS

PRESENT VALUE OF ADDED INCOME AND SOCIAL SAVINGS IN NORTH CAROLINA



ABOUT EMSI

Economic Modeling Specialists International turns labor market data into useful information that helps organizations understand the connection between economies, people, and work. Since 2000, EMSI has completed numerous economic impact studies for educational institutions across the US, Canada, the UK, and Australia. It also provides industry-leading labor market data via software and reports to higher education professionals, workforce planners, and regional developers in the U.S. and internationally. For more information, visit www.economicmodeling.com.

RETURN ON INVESTMENT TO STUDENTS, SOCIETY, AND TAXPAYERS

Student perspective

- Students attending UNC-CH during FY 2012-13 paid a total of **\$382.9 MILLION** to cover the cost of tuition, fees, books, and supplies. They also forwent **\$649.2 MILLION** in money that they would have earned had they been working instead of learning.
- In return for the money students invest to earn their degrees, they will receive a present value of **\$3.2 BILLION** in estimated increased earnings over their working lives.
- This translates to a return of **\$3.10** in higher future income for every \$1 that students invest in their UNC-CH education. The average annual return for students is **14.3%**.

Societal perspective

- North Carolina as a whole will receive a present value of **\$13.8 BILLION** in added state income over the course of the students' working lives. Communities will also benefit from **\$1.8 BILLION** in present value social savings related to reduced crime, lower unemployment, and increased health and well-being across the state.
- For every dollar that society spent on educations at UNC-CH during the analysis year, North Carolina communities will receive a cumulative value of **\$4.70** in benefits, for as long as the 2012-13 students of UNC-CH remain active in the state workforce.

Taxpayer perspective

- In FY 2012-13, state taxpayers in North Carolina invested **\$796.3 MILLION** to support the operations of UNC-CH. The net present value of the added tax revenue stemming from the students' higher lifetime incomes and the increased output of businesses amounts to **\$1.3 BILLION** in benefits to taxpayers. Savings to the public sector add another **\$317.8 MILLION** in benefits due to a reduced demand for government-funded services in North Carolina.
- Dividing benefits to taxpayers by the associated costs yields a **2.1** benefit-cost ratio, i.e., every \$1 in costs returns \$2.10 in benefits. The average annual return on investment for taxpayers is **6.7%**.

FACT SHEET

Economic Impacts of the University of North Carolina Hospitals and Faculty Physicians

OCTOBER 2014

The University of North Carolina Health Care System is an integrated health care system that exists to further the teaching mission of the University of North Carolina and to provide state-of-the-art patient care. In FY 2012-13, UNC Hospitals had 805 beds, nearly 1.4 million clinical visits, and served over 37,000 North Carolina residents.

In this analysis we estimate the spending impacts of the UNC Hospitals and Faculty Physicians. Throughout the remainder of this document, we will refer to UNC Hospitals and Faculty Physicians as UNC Medical. The broader health-related impacts of the services provided through these operations are not considered.

In FY 2012-13, UNC Medical collectively spent over **\$1.5 BILLION** on clinical and hospital operations. This spending creates additional income and jobs for people beyond UNC Medical as it ripples throughout the North Carolina economy. Through the purchase of goods and services, UNC Medical supports other local businesses. Over **\$938 MILLION** was paid to employees that live in North Carolina in the form of salaries, wages, and benefits. These people are also consumers of goods and services. When they use a portion of their earnings to patronize North Carolina businesses, another round of spending is sent through the state economy.

The first round of UNC Medical spending creates a direct effect of **\$266 MILLION** through its supply chain. The supply chains of those businesses create the indirect effect of **\$63 MILLION**. When the employees of all of those businesses and UNC Medical consume their earnings, they create an induced effect of nearly **\$731 MILLION**. In FY 2012-13, the total spending impact of UNC Medical in North Carolina was **\$2 BILLION**, or the equivalent of **24,108 JOBS**.

UNC MEDICAL SPENDING IMPACT ON NORTH CAROLINA ECONOMY

	LABOR INCOME*	NON- LABOR INCOME*	VALUE ADDED*	JOBS
Initial Effect	\$938,688	\$0	\$938,688	9,368
Multiplier Effect				
Direct Effect	\$136,135	\$130,338	\$266,473	3,493
Indirect Effect	\$34,770	\$28,514	\$63,284	847
Induced Effect	\$371,320	\$359,316	\$730,636	10,130
Subtotal	\$542,225	\$518,169	\$1,060,394	14,470
TOTAL EFFECT	\$1,480,913	\$518,169	\$1,999,082	24,108

*Listed in thousands.



150+
Startups

8,000
Jobs Created

\$7 Billion
Annual Revenue



At Carolina, the research, discoveries, and creative activity of our faculty and students translate into new businesses and jobs. Today there are over 150 UNC-CH startup companies located in North Carolina that provide jobs to nearly 8,000 state residents.



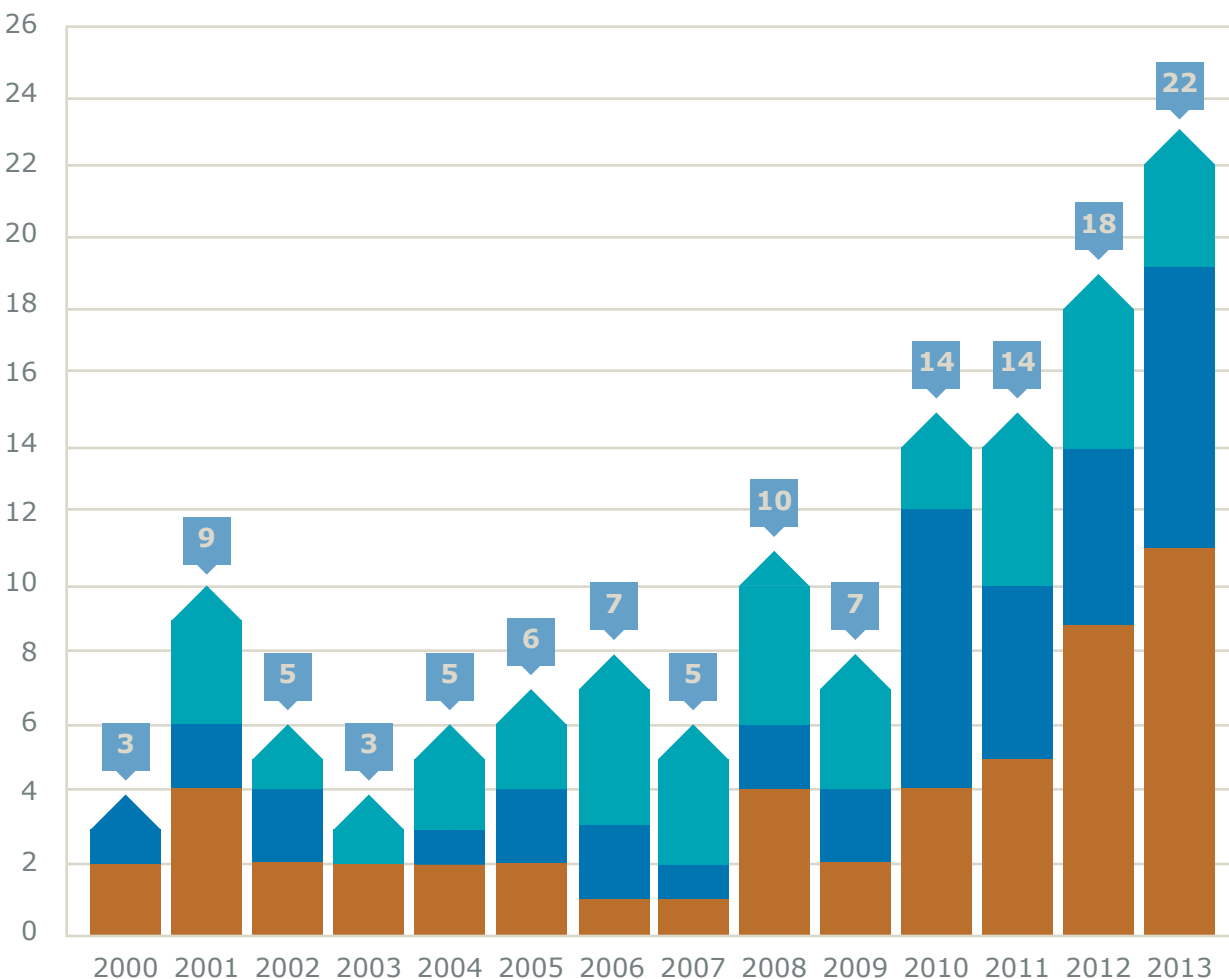
A major force in the state's economy, UNC-Chapel Hill drives economic prosperity by attracting the best and brightest minds to North Carolina and providing an environment that inspires creativity and discovery.

Carolina invests heavily to create a culture of entrepreneurship and a support network on campus that propels research and innovation into viable startup businesses.

Today there are more than 150 UNC-CH startup companies located in North Carolina that provide jobs to nearly 8,000 state residents. These companies employ 38,000 worldwide and bring more than \$7 billion in revenue back to North Carolina each year.

UNC NC Startups Per Year from 2000 - 2013

Technology-Transfer Independently Launched UNC-Assisted Total Launched



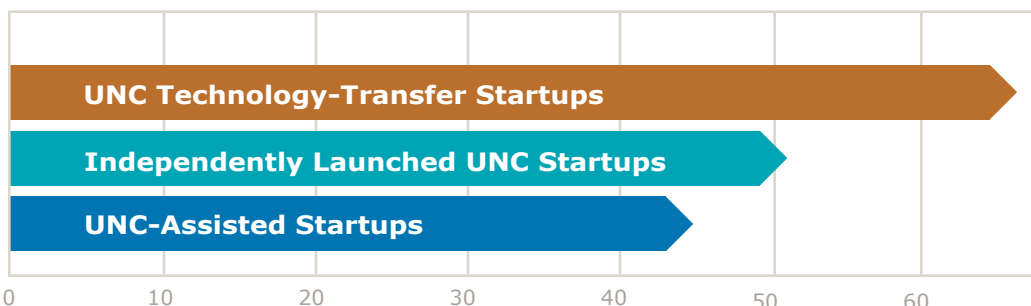


Total UNC NC Startups by Category from 1970 - 2013

Technology-Transfer

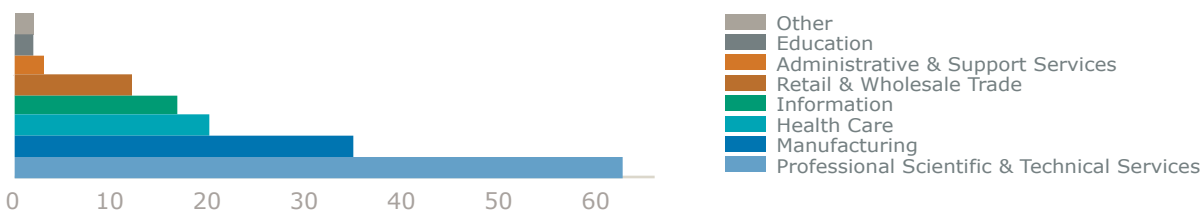
Independently Launched

UNC-Assisted



- UNC's 150+ startups employ nearly 8,000 people in North Carolina
- 35 companies manufacturing products in North Carolina
- Nearly one-half of UNC startups employ 5 or more people
- 9 major employers providing clinical-trials services
- 20% of UNC startups employ 15 or more people
- The average revenue of UNC's technology-transfer startups reporting profits is \$5 million
- 17 information and technology companies, including 8 software developers
- 1/3 of UNC startups are in the biotechnology industry, where median salaries are twice the average annual pay in North Carolina
- The average volume of venture capital received by UNC technology-transfer startups that report their financing is \$15 million

Industry Breakdown



UNC Tech Transfer Stats At A Glance *(Office of Technology Development, FY2014)*

Total Number of Invention Disclosures	156
Number of U.S. Patents Filed (includes Provisional)	142
Number of U.S. Patents Issued	34
Number of Licenses Granted	36
Number of Options Granted	0
Number of Companies Started	10
License Revenue Received	\$7.9 million
Patent Reimbursement	\$3.5 million
Total Expenditure on Patents	\$3.2 million

Stats subject to change until reported to AUTM in June 2015.



Independently Launched UNC Startups

AgBiome, LLC
Allotropica Technologies, Inc.
Arcato Laboratories, Inc.
AuthentiForm Technologies, LLC
BiddRocket, Inc.
BioFluidica, LLC
Bronto Software, Inc.
Cameron Technology Solutions, Inc.
Carbon3D, Inc.
CertiRx, Inc.
Chaperone Therapeutics, Inc.
Chatham Therapeutics, LLC
Cirrus Pharmaceuticals, Inc.
Clinipace, Inc.
CMP Pharma, Inc.

Community Nutrition Partnership, Inc.
Conatus Consulting, LLC
Effipharma
Empiric Systems, LLC
FHI 360, Inc.
Flexcell International Corporation, Inc.
Health Decisions, Inc.
iContact, LLC
ImmunoBenefit, LLC
IntraHealth International, Inc.
Ipas, Inc.
Kryosphere, Inc.
LQ3 Pharmaceuticals, Inc.
Lung Banks of America, Inc.
Magnus Health Technology, Inc.

MathTensor, Inc.
National College Advising Corps, Inc.
Navitas Research, LLC
NC Fisher Research, LLC
Ndimo, Inc.
Premitec, Inc.
Progressive Computer Systems, Inc.
Protodia, Inc.
Quintiles Transnational Holdings, Inc.
Rho, Inc.
RTI International, Inc.
RxAnalytics, Inc.
Stone Timber River, LLC
Threads of HOPE NC, Inc.



UNC Technology-Transfer Startups

Algynomics, Inc.
AlphaVax, LLC
Altometrics, Inc.
AngleFix Tech, LLC
Applied Micro Products, Inc.
Aquagenx, LLC
Asklepios BioPharmaceutical, Inc.
Attagene, Inc.
BioDeptronix, LLC
Bivarus, LLC
Cell Microsystems, Inc.
ChemoGLO, LLC
Clave BioDesign, Inc.
Clinical Sensors, Inc.
CMP Tarnhelm Therapeutics, LLC
Combs Lab, Inc.
Cortical Metrics, LLC
Counter Tools, Inc.
Couragen Biopharmaceutics, LLC
deltaSphere, Inc.
Dyzen, Inc.
ENCI Therapeutics, Inc.

Entegriion, Inc.
Epiccypher, Inc.
G-1 Therapeutics, Inc.
GeneCentric Diagnostics, Inc.
Global Vaccines, Inc.
Glycan Therapeutics, LLC
HealthSpan Dx, LLC
Hiball Tracker, Inc.
Impulsonic, Inc.
InnerOptic Technology, Inc.
Inspire Pharmaceuticals
Invitrox, Inc.
Katharos, Inc.
KindHeart, Inc.
KinoDyn, Inc.
KXTbio, Inc.
Liquidia, Inc.
Meryx, Inc.
Micell Technologies, Inc.
NanoCor Therapeutics, Inc.
NeuroGate Therapeutics, Inc.
New Paradigm Therapeutics, Inc.

NextRay, Inc.
Novametrics, Inc.
Novan, Inc.
NovoLipid, Inc.
Oriol Therapeutics, Inc.
Parion Sciences, Inc.
Pharmatrophix, Inc.
Qualiber, Inc.
Qualyst Transporter Solutions, LLC
Realtromins, Inc.
Repairion, Inc.
Rheomics, Inc.
SonoVol, LLC
Spyryx, LLC
Symberix, LLC
Syzygy Optics, LLC
Targeted Reading Intervention, Inc.
TheraLogics, Inc.
Vascular Pharmaceuticals, Inc.
Viamet Pharmaceuticals, Inc.
XinRay Systems,
Xintek, Inc. LLC



UNC-Assisted Startups

Acris Pharmaceuticals, LLC
ArteSanar, Inc.
Augment Medical, Inc.
Bella Monica, Inc.
BlackInkMetrics, LLC
Blinkness, Inc.
Buzz Rides Enterprises, LLC
Carolina for Kibera, Inc.
The Community Empowerment Fund, Inc.
Contactology, Inc.
Datacraft Solutions, Inc.
Enzerna Biosciences, LLC
Everyday Glucose, LLC
Firsthand Foods, LLC
Gift Boogle, Inc.

GiftOasis, LLC
Healthy Girls Save the World, Inc.
HOPE Gardens, Inc.
HopeCare, Inc.
Imagine Optix, Inc.
Keona Health, Inc.
KL Medical, LLC
Level Logic, Inc.
LoneRider Brewing, Inc.
LotusBioEFx, LLC
Musical Empowerment, Inc.
New Mind Education, LLC
Nourish International, Inc.
Novocor
RemedEase, Inc.

RentalTaxTool, LLC
Ribometrix, LLC
Sanitation Creations, LLC
Simply B Gluten Free, LLC
Size Me Up, Inc.
Spectraforce Technologies
Spirovention, Inc.
Sqord, Inc.
TerraHub, LLC
UltraLinq Healthcare Solutions, Inc.
Veosport, LLC
Windsor Circle, Inc.
WorkSmart, Inc.
X-In 8 Biologicals
YardSprout, LLC



Independently Launched UNC Startups are new businesses created by faculty and students that arise directly from their work and experience at Carolina.



UNC Technology Transfer Startups are businesses created by UNC faculty that license intellectual property created from their scientific discoveries and research.



UNC-Assisted Startups are businesses created by UNC faculty, staff, and students that received direct institutional support through UNC business-plan competitions, entrepreneurship programs and courses, hands-on business mentoring, and incubators and accelerators for startup ventures.



2014 INNOVATORS REPORT

TRACKING NORTH CAROLINA'S ENTREPRENEURIAL ACTIVITY

FUNDING

331 INVESTMENTS • 226 NC COMPANIES

TECH
\$277,769,748

LIFE SCIENCE
\$252,666,695

\$622,383,469

ADVANCED MANUFACTURING
& MATERIALS
\$81,082,251

CLEANTECH
\$10,864,775

2014 TO 2013 COMPARISONS:

Total funding:

2014 \$622,383,469
2013 \$461,240,692

Equity:

2014 \$532,641,991
2013 \$429,080,217

Grants & Awards:

2014 \$89,802,004
2013 \$31,935,475

Investments:

2014 331 INVESTMENTS
2013 260 INVESTMENTS

Tech funding (including CleanTech):

2014 \$288,634,523
2013 \$116,873,094

Life Sciences:

2014 \$252,666,695
2013 \$275,486,045

Advanced Manufacturing & Materials:

2014 \$81,807,251
2013 \$68,709,235

Companies (receiving investment):

2014 226 COMPANIES
2013 223 COMPANIES

EQUITY DEALS

TOTAL # OF EQUITY DEALS

174

COMPANIES RECEIVING DEALS

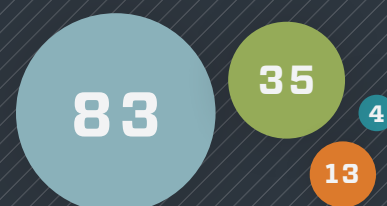
SECTOR

TECH

LIFE SCIENCE

ADV. MANUFACTURING & MATERIALS

CLEANTECH



Q1

Q2

Q3

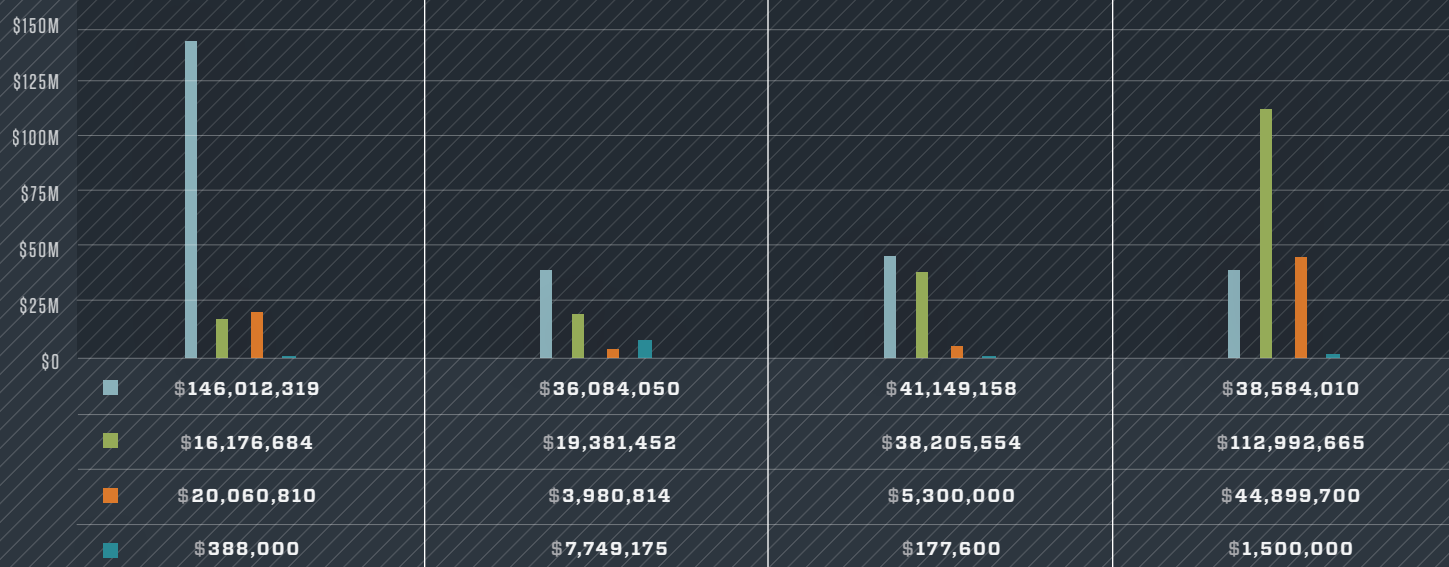
Q4

DEALS: **43**
 COMPANIES: **41**
 TOTALS: **\$182,637,813**

DEALS: **41**
 COMPANIES: **39**
 TOTALS: **\$67,195,491**

DEALS: **43**
 COMPANIES: **40**
 TOTALS: **\$84,832,312**

DEALS: **47**
 COMPANIES: **44**
 TOTALS: **\$197,976,375**



DEALS BY SIZE:

≤ \$999,999

\$1M - \$4.999M

\$5M - \$14.999M

\$15M - \$60M

≥ \$100M

106

43

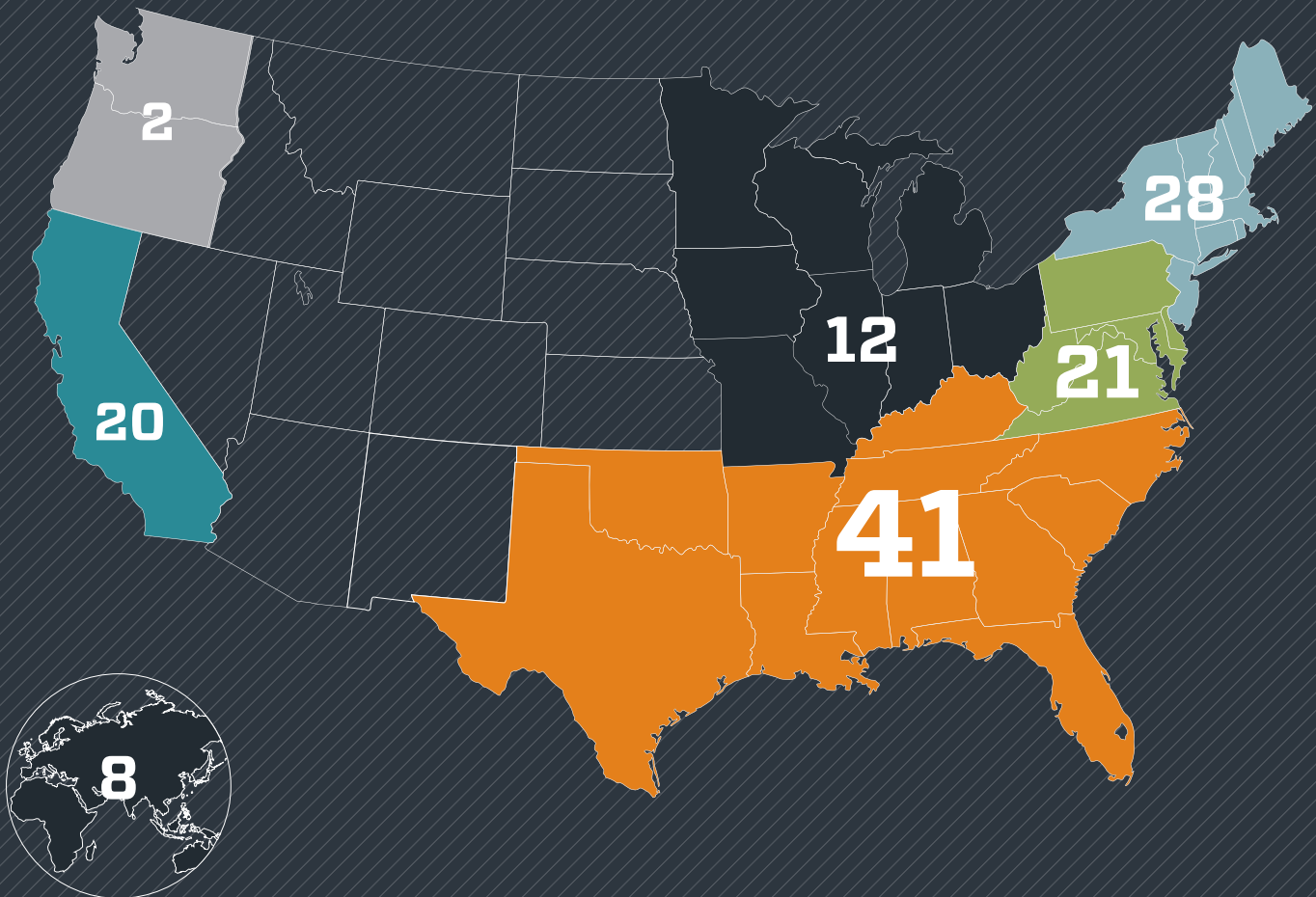
21

3

1

INVESTORS

132 UNIQUE INSTITUTIONAL FUNDERS ↑23%



REGIONAL AND STATE BREAKDOWN 2014:

SOUTHEAST

NC - 32
AL - 3
SC - 2
TX - 2
TN - 1
FL - 1

MID-ATLANTIC

DC - 8
MD - 6
VA - 5
PA - 2

INTERNATIONAL

8 - (UK, IRELAND, CHINA, FRANCE, GERMANY, BELGIUM)

NORTHEAST

NY - 16
MA - 7
CT - 3
NJ - 2

MIDWEST

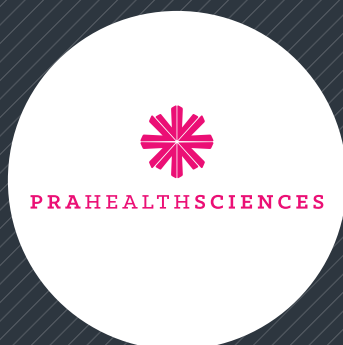
IL - 5
MD - 4
IN - 2
KS - 1

NORTHWEST

NY - 1
MA - 1
CALIFORNIA
CA - 20

EXITS

6 IPOs



59 Acquisitions in 2014

HIGHLIGHTS:

● FURIEX PHARMACEUTICALS	FOREST LABORATORIES	\$1,500,000,000
● CHELSEA THERAPEUTICS	LUNDBECK	\$658,000,000
● SOLSTAS LAB PARTNERS GROUP, LLC	QUEST DIAGNOSTICS	\$570,000,000
● RELIAS LEARNING	BERTELSMANN	\$540,000,000
● AERIAL BIOPHARMA	JAZZ PHARMACEUTICALS	\$397,000,000
● DIGITALSMITHS	TIVO	\$135,000,000
● APPIA	MANDALAY DIGITAL	\$100,000,000
● STRIKEIRON	INFORMATICA	\$55,000,000

Executive Summary for UNC School of Dentistry Proposed Compensation Incentive Plan

Background

The UNC School of Dentistry Compensation Incentive Plan is designed to fairly, systematically and transparently lay out a structure for compensating faculty for their clinical, research, and teaching activity. This plan builds upon the Dental Faculty Practice (DFP) compensation structure that provides incentives for clinical practice, which is an approved plan that has existed for decades. The goal of the proposed plan is to also allow faculty members engaged in funded research activities and in teaching to be appropriately rewarded for their activities using a multi-component system. This proposed plan does not affect the current DFP plan in any way.

Faculty members at the School of Dentistry are paid according to an X, Y, and Z formula. The X component represents the school's contribution to the salary while the Y component represents the faculty member's contribution to their salary. Most faculty members have a Y component expectation of 15 or 20 percent. However, only clinical faculty participating in the dental faculty practice can currently generate additional compensation. This new plan was developed to create equity by providing all permanent full-time, faculty members the opportunity to be appropriately rewarded for their productivity.

The Z component represents supplements after the faculty member has met the Y expectation. Z components can come from clinical productivity above expectation, research productivity above expectation, administrative supplements, and distinguished professorships. In this new plan, we also plan to have monetary teaching awards to reward teaching excellence.

The Plan Components:

DFP (existing plan): After covering general overhead costs as well as costs associated with each individual's productivity, the Dean's tax, and benefits taken during the year, a supplement can be earned from DFP. Faculty members are a part of a group and DFP supplements are based on individual productivity and group profitability. DFP supplements may increase or decrease based on productivity. Faculty who are DFP members and have salary offset due to funded research support may use that salary offset to fund their Y component, which, in turn, can increase their DFP salary supplement

Research: After satisfying the core salary faculty expectation (Y), faculty members can generate a research fund equal to 40% of dollars offset above the (Y) expectation. The research fund is based on last fiscal year's productivity and core salary expectation and is returned to the faculty member via a research fund managed by the School or salary supplement that is determined during the Annual Raise Process. Research supplements may increase or decrease based on productivity.

Teaching Awards: Teaching does not generate a revenue stream that can fund this type of monetary award. Consequently, the school intends to create a number of school-based awards funded by the Dental Foundation that will be presented to faculty to reward excellence in teaching activities during the academic year. A Faculty Teaching Awards committee will be appointed by the Dean to oversee this program.



UNC Management Flexibility Survey, 2013-14

Pursuant to the procedures set forth by the University of North Carolina Board of Governors in the Management Flexibility Policy 600.3.4, all UNC institutions granted management flexibility shall provide an annual summary to the Board of Governors regarding personnel actions. This report covers Fiscal Year July 1, 2013 - June 30, 2014 and this survey serves as the tool by which you will report your data.

The deadline for completion of this survey is **March 31, 2015**.

Survey Instructions

- There will be a number of questions requesting files to be uploaded. When uploading files in the survey:
 - Please click on "Choose File" and browse your computer for the file you wish to upload.
 - Once you select the file, you will see the name of the file next to the "Choose File" button.
 - If you see the name of your file next to the "Choose File" button, your file has been uploaded.
- **You may enter and exit the survey at any time, but in order for data to be saved on any screen, you MUST hit the arrow to go to the next screen--this records your answers.**
- You must navigate through the survey using the forward and back arrows at the bottom of each survey screen, NOT the forward and back arrows of your Internet browser.
- You are receiving this survey invitation because you have been designated as the campus contact for this data collection. Each campus is unique in their structure and data will be compiled in a variety of ways.
 - You may forward the email invitation you received to anyone on your campus who is authorized to enter data.
 - This will allow for multiple users to access the survey and enter data at any time.
 - **Only ONE user can access and enter data at a time. If multiple survey windows are open simultaneously, the survey will not be able to combine responses.**
- For questions regarding Management Flexibility Policy and this data collection, please contact the following people:
 - Questions related to Academic Affairs, contact Samantha McAuliffe (slmcauliffe@northcarolina.edu)
 - Questions related to Human Resources, contact Glenda Farrell (gkfarrell@northcarolina.edu)
 - Questions related to this survey instrument, contact Eric Fotheringham (emfotheringham@northcarolina.edu)

Completing the survey

- Upon completing, please select FINISH. This will allow you to save your survey as a PDF or print a copy for your records.
- When you select FINISH, your responses will be transmitted to UNC-GA. This will be considered a "working submission," which will facilitate dialog with UNC-GA to ensure what is prepared for campus Boards of Trustees is accurate and in compliance with policy.
 - By submitting your survey before March 31, 2015, UNC-GA staff will be able to review your information and discuss any missing or incomplete submissions with you. Last year there were a number of follow-up discussions after campus' initial submission. By working with UNC-GA prior to presentation to your Board of Trustees, you will ensure that there will be no need for you to prepare an amended report to your Board of Trustees if the original report has changed.
- If there are any changes to be made to your responses after selecting FINISH on the survey, please contact Eric Fotheringham (information below) to open your survey again to allow for changes.
- After your data is presented to your Board of Trustees, please complete the Certification Memo (Question 18) that certifies campus compliance with Management Flexibility policy. Please send the completed Certification Memo to Eric Fotheringham at UNC-GA.

If any questions arise during the survey process, please contact:

Eric Fotheringham
919.843.6967
emfotheringham@northcarolina.edu

1. Campus Information

Thank you for assisting with this year's Management Flexibility data collection at UNC-Chapel Hill.

Please enter information below for the primary contact person should follow-up discussion be needed.

Name	Jessica L. Moore
Working Title	Senior Director, Classification and Compensation
Phone Number	919-962-8099
Email Address	jessica_moore@unc.edu

Please verify the date that Management Flexibility was granted (mm/dd/yyyy). If changes need to be made, please do so in the space below.

11/08/2002

2. EPA Appointments

The following names are those identified in HR Datamart as EPA employees with SAAO-1 status as of June 30, 2014.

These appointments would include vice chancellors, provosts, and senior academic and administrative officers for which the Board of Governors establishes salary ranges, as well as deans and other similarly-situated administrators pursuant to BoG Policy 600.3.4 C.3.b.i.: (a), (b), and (c). **Chancellors are not included in this list and do not need to be reported.**

1. Please verify the accuracy of the working titles, hiring dates, and salaries for the given dates. If any information is incorrect, please make appropriate changes directly in the fields below.
2. CONTINUING EPA appointments should have salaries in the columns titled "Salary as of June 30, 2013" and "Salary as of June 30, 2014."
3. NEW EPA appointments should only have salaries in the column titled "Salary as of June 30, 2014."
4. Any EPA appointments not on this list can be added in the next question.
5. If any names need to be deleted or any comments made about a person or position, please type a brief explanation in the "Notes" column.
 - If any changes are made, please make corresponding changes in your HR data management system so that HR Datamart will capture the most current data.
6. If there are blank rows of data at the bottom of your list, simply click on the NEXT arrow and move to the next question.

DO NOT report interim appointments

	Working Title	Date Hired	Salary as of June 30, 2013	Salary as of June 30, 2014	Notes
BLOUIN, ROBERT A	Dean, School of	5/7/2003	294,345	294,345	
BOGER, JOHN C	Dean, School of	7/1/1990	328,756	328,756	
CARNEY, BRUCE W	EXECUTIVE VIC	8/1/1980	350,000		
CRISP, WINSTON B	Vice Chancellor	8/1/1992	243,080	289,719	
CURRAN, JOEL GREGORY	VC for Communi	11/23/2013		300,000	
DEAN, JAMES W JR	EXECUTIVE VIC	1/1/1998	403,290	445,000	
ENTWISLE, BARBARA	Vice Chancellor	7/1/1985	329,000	329,000	
FAJACK, MATTHEW MARION	Vice Chancellor	6/9/2014		343,000	
GIL, KAREN M	Dean, Arts & Sci	7/1/1995	292,000	292,000	
GRAY, KAROL KAIN	Vice Chancellor	12/1/2011	337,260		
GRUMBLES, JULIA SPRUNT	Vice Chancellor	10/1/2012	295,000		
KIELT, CHRISTOPHER L.	Vice Chancellor	9/4/2012		330,000	
KING, SUSAN R	Dean, Journalisr	1/1/2012	251,900	251,900	
MARCHIONINI, GARY J	Dean, School of	7/1/1998	246,600	246,600	
MATSON, STEVEN W	Dean, Graduate	7/1/1983	205,100	205,100	
MCDIARMID, GROVER WILLIAMSON	Dean, School of	12/31/2008	246,000	246,000	
MICHALAK, SARAH C	University Librar	7/28/2004	240,814	240,814	
RICHARDSON, BRENDA G	Vice Chancellor	8/1/2007	252,350		
RICHMAN, JACK M	Dean, Social Wo	10/1/1983	267,753	267,753	
RIMER, BARBARA K	Dean, School of	12/17/2002	324,524	324,524	
ROPER, WILLIAM L	Dean	3/15/2004	0	0	School of Med
ROUTH, DAVID SHELDON	Vice Chancellor	10/14/2013		395,000	
SHACKELFORD, DOUGLAS A	Dean	7/1/1990		425,000	
SMITH, MICHAEL R	Dean, School of	7/1/1978	273,174	273,174	
STROHM, LESLIE C	Vice Chancellor	5/30/2003	325,000	325,000	
SWANSON, KRISTEN	Dean, School of	8/1/2009	279,200	279,200	
WASHINGTON, FELICIA ANN	VC, Workforce S	2/1/2014		343,000	

WEINTRAUB, JANE	Dean, School of	7/1/2011	329,000	329,000	
YOPP, JAN J	Dean, Summer S	8/1/1977	189,779	189,779	

3. Additional EPA Appointments

Are there additional SAAO-1 EPA employees not included in the previous list?

- If yes, please enter their information below.
- If no, please proceed to the next question.

DO NOT report interim appointments

	Name	Working Title	Date Hired (mm/dd/yyyy)	Salary as of June 30, 2013	Salary as of June 30, 2014
Additional SAAO-1 EPA employee 1					
Additional SAAO-1 EPA employee 2					
Additional SAAO-1 EPA employee 3					
Additional SAAO-1 EPA employee 4					
Additional SAAO-1 EPA employee 5					
Additional SAAO-1 EPA employee 6					
Additional SAAO-1 EPA employee 7					
Additional SAAO-1 EPA employee 8					
Additional SAAO-1 EPA employee 9					
Additional SAAO-1 EPA employee 10					
Additional SAAO-1 EPA employee 11					
Additional SAAO-1 EPA employee 12					
Additional SAAO-1 EPA employee 13					
Additional SAAO-1 EPA employee 14					
Additional SAAO-1 EPA employee 15					

4. Non-Salary Compensation

All non-salary compensation must be in compliance with UNC Policy 300.2.14. This policy states, in part:

- "Provision of housing, when occupancy of the housing is required as a part of the job, reimbursement of professional or work-related travel, and the provision of equipment to perform the work of the position, even if used at home, including computers, cellular phones, personal data assistants (PDA), pagers and similar work related items, are permissible and **are not considered “non-salary compensation” as used in this Policy.**"

To summarize, please check Yes or No for any NEW or CONTINUING EPA who received non-salary compensation that does not include housing (when occupancy is required as part of the job), reimbursement of work-related travel, or equipment (including cell phones) that are issued as part of employment.

There may be blanks between names of NEW or CONTINUING EPA employees. Please only check Yes or No next to names, not on blank lines.

DO NOT report interim appointments

	Did any of these EPA Employees receive non-salary compensation?		
	Yes	No	
BLOUIN, ROBERT A	<input checked="" type="radio"/>	<input type="radio"/>	
BOGER, JOHN C	<input checked="" type="radio"/>	<input type="radio"/>	
CARNEY, BRUCE W	<input checked="" type="radio"/>	<input type="radio"/>	
CRISP, WINSTON B	<input checked="" type="radio"/>	<input type="radio"/>	
CURRAN, JOEL GREGORY	<input checked="" type="radio"/>	<input type="radio"/>	
DEAN, JAMES W JR	<input checked="" type="radio"/>	<input type="radio"/>	
ENTWISLE, BARBARA	<input checked="" type="radio"/>	<input type="radio"/>	
FAJACK, MATTHEW MARION	<input checked="" type="radio"/>	<input type="radio"/>	
GIL, KAREN M	<input checked="" type="radio"/>	<input type="radio"/>	
GRAY, KAROL KAIN	<input checked="" type="radio"/>	<input type="radio"/>	
GRUMBLES, JULIA SPRUNT	<input type="radio"/>	<input checked="" type="radio"/>	
KIELT, CHRISTOPHER L.	<input checked="" type="radio"/>	<input type="radio"/>	
KING, SUSAN R	<input checked="" type="radio"/>	<input type="radio"/>	
MARCHIONINI, GARY J	<input checked="" type="radio"/>	<input type="radio"/>	
MATSON, STEVEN W	<input checked="" type="radio"/>	<input type="radio"/>	
MCDIARMID, GROVER WILLIAMSON	<input checked="" type="radio"/>	<input type="radio"/>	
MICHALAK, SARAH C	<input checked="" type="radio"/>	<input type="radio"/>	
RICHARDSON, BRENDA G	<input checked="" type="radio"/>	<input type="radio"/>	
RICHMAN, JACK M	<input type="radio"/>	<input checked="" type="radio"/>	
RIMER, BARBARA K	<input checked="" type="radio"/>	<input type="radio"/>	
ROPER, WILLIAM L	<input type="radio"/>	<input checked="" type="radio"/>	
ROUTH, DAVID SHELDON	<input checked="" type="radio"/>	<input type="radio"/>	
SHACKELFORD, DOUGLAS A	<input checked="" type="radio"/>	<input type="radio"/>	
SMITH, MICHAEL R	<input checked="" type="radio"/>	<input type="radio"/>	
STROHM, LESLIE C	<input checked="" type="radio"/>	<input type="radio"/>	
SWANSON, KRISTEN	<input type="radio"/>	<input checked="" type="radio"/>	
WASHINGTON, FELICIA ANN	<input checked="" type="radio"/>	<input type="radio"/>	
WEINTRAUB, JANE	<input checked="" type="radio"/>	<input type="radio"/>	
YOPP, JAN J	<input checked="" type="radio"/>	<input type="radio"/>	
	<input type="radio"/>	<input type="radio"/>	
	<input type="radio"/>	<input type="radio"/>	
	<input type="radio"/>	<input type="radio"/>	

5. Non-Salary Compensation Type and Amount

For each NEW or CONTINUING EPA employee that received non-salary compensation, please enter the type and amount/value of the compensation.

Only the names of individuals selected on the previous screen as receiving non-salary compensation will appear on this screen.

If there is more than one type of compensation, please list them separately in the spaces provided along with their respective amounts/values.

As a reminder, all non-salary compensation must be in compliance with UNC Policy 300.2.14. This policy states, in part:

- "Provision of housing, when occupancy of the housing is required as a part of the job, reimbursement of professional or work-related travel, and the provision of equipment to perform the work of the position, even if used at home, including computers, cellular phones, personal data assistants (PDA), pagers and similar work related items, are permissible and are not considered "non-salary compensation" as used in this Policy."

If more than three (3) types of non-salary compensation were provided, please send a full list to Eric Fotheringham (emfotheringham@northcarolina.edu) at UNC-GA.

	Type of Non-Salary Compensation_1	Amount_1	Type of Non-Salary Compensation_2	Amount_2	Type of Non-Salary Compensation_3	Amount_3
BLOUIN, ROBERT A	MCD	840.00	Tickets	1622.00		
BOGER, JOHN C	MCD	840.00	Tickets	1622.00		
CARNEY, BRUCE W	Car	4753.92				
CRISP, WINSTON B	MCD	840.00	Tickets	1404.00	Club Dues	223.56
CURRAN, JOEL GREGORY	MCD	770.00	Car	6882.40		
DEAN, JAMES W JR	MCD	840.00	Car	10534.71	Tickets	1404.00
ENTWISLE, BARBARA	MCD	840.00	Ticket	1404.00		
FAJACK, MATTHEW MARION	MCD	420.00	Car	2447.74	Taxable Moving	34.36
GIL, KAREN M	Tickets	1404.00				
GRAY, KAROL KAIN	Car	7097.23				
KIELT, CHRISTOPHER L.	MCD	840.00	Club Dues	88.54		
KING, SUSAN R	Tickets	1622.00				
MARCHIONINI, GARY J	MCD	840.00	Tickets	1622.00		
MATSON, STEVEN W	MCD	840.00	Tickets	1622.00		
MCDIARMID, GROVER WILLIAMSON	MCD	840.00	Tickets	1622.00		
MICHALAK, SARAH C	MCD	70.00	Tickets	1404.00		
RICHARDSON, BRENDA G	Tickets	1404.00				
RIMER, BARBARA K	MCD	840.00				
ROUTH, DAVID SHELDON	MCD	840.00	Car	2190.14	Club Dues	6281.00
SHACKELFORD, DOUGLAS A	MCD	840.00	Tickets	1622.00		
SMITH, MICHAEL R	MCD	840.00	Tickets	1622.00		
STROHM, LESLIE C	Tickets	1404.00				
WASHINGTON, FELICIA ANN	MCD	770.00	Housing Allowar	12000.00		
WEINTRAUB, JANE	Dental Faculty In	3788.00	Tickets	1622.00		
YOPP, JAN J	MCD	840.00				

6. Generic SAAO Positions

Under the management flexibility authority granted to campuses, Generic SAAO positions can be established and filled at the campus level. For this section, please prepare an Excel spreadsheet for your campus using the template attached to provide a list of established Generic SAAO positions ([Generic SAAO Positions Spreadsheet Sample](#)).

The data in the spreadsheet must include the following items:

Campus	Employee Name	Position Name	Position Number	Date Established (dd/mm/yyyy)	Working Title (if any)

After creating the spreadsheet, please upload the file below.

Generic SAAO Positions.pdf
275.1KB
application/pdf

7. Faculty and Tenure

Please provide information for the following items regarding Faculty and Tenure. **Please report only on the effective dates of actions** (July 1, 2013 - June 30, 2014) for the number of tenure reviews, number of tenures granted, and new hires previously granted tenure.

	Number of Faculty
How many faculty were reviewed for tenure consideration during this period?	<input type="text" value="63"/>
How many faculty were granted tenure during this period?	<input type="text" value="62"/>
How many new faculty who had previously been granted tenure at another university were hired during this period?	<input type="text" value="13"/>

8. Equity Issues

Please prepare and upload a PDF document (or PDF documents if there are more than one) with a description of the most recent analysis of equity issues relevant to the employment of faculty and administrators.

If you wish, you may supply your campus equity analysis that addresses OFCCP requirements under Executive Order 11246 to monitor and review compensation systems to “**determine whether there are gender-, race-, or ethnicity-based disparities.**” As federal contractors, campuses must maintain records including but not limited to “rates of pay or other terms of compensation.” For more information regarding OFCCP procedures for reviewing contractor compensation systems and practices, refer to [OFCCP Directive 307, ADM Notice/Compensation](#), dated February 28, 2013.

- Please name the uploaded file in the following manner: XXXX_equity.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_equity_1.pdf).

UNC-CH_equity_1.pdf
293KB
application/pdf

Generic Position List - Management Flexibility 2013-2014

Campus	Employee Name	Generic Position Name	Position Number	Date Established	Position Name (Working Title)
UNC CH	Stephen Farmer	Admissions Officer	1001750	9/1/2004	Vice Provost, Enrollment & Undergraduate Admissions
	Douglas Dibbert	Director of Alumni Relations	1000976	7/15/1982	Director/General Alumni Association
	Lawrence Cunningham	Director of Athletics	1001028	7/1/1997	Director/Athletics
	Michael Freeman	Director of Auxilliary Services	1000654	10/1/2003	Director/Auxiliary Services
	John Gorsuch	Director of the Bookstore	1000068	4/6/2011	Director/Student Stores
	Chandrika Rao	Director of Budget	1000639	5/1/2005	Director of Accounting Services
	Ray Angle	Director of Career Services	1000174	11/10/2008	Director/University Career Services
	Robert Bruce	Director of Continuing Education	1001493	7/1/1992	Director/William & Ida Friday Center
	Dennis Press	Controller	1000918	8/9/2007	Assistant Vice Chancellor & Controller
	Allen O'Barr	Director of Counseling and Psychological Services	1000245	8/1/2007	Director/Counseling & Wellness Services
	Sidney Stone	Director of Design and Construction	1000268	8/8/2005	Director/Construction Management
	David Routh	Development Officer	1001352	3/30/1992	Vice Chancellor/Development
	Mary Beth Koza	Director of Environmental Health & Safety	1002506	12/12/2007	Director/Environmental Health & Safety
	Bruce Runberg	Director for Facilities Management and Planning	1001807	11/2/1992	Associate Vice Chancellor/Facilities Services
	Shirley Ort	Director of Financial Aid	1000713	3/1/2006	Associate Provost/Director Scholarship & Student Aid
	Larry Hicks	Director of Housing and Residential Life	1000184	8/4/1999	Director/Housing & Residence Life
	Chris Kielt	Chief Information Technology Officer (CIO)	1002214	5/24/2007	Vice Chancellor for IT/CIO
	Kevin Lanning	Information Technology Security Officer	1002313	3/3/2006	Chief Information Security Officer
	Lynn Williford	Institutional Research and Planning Officer	1001053	9/1/2004	Assistant Provost/ Institutional Research Assessment
	Phyllis Petree	Director of Internal Audit	1001332	2/1/1999	Director/Internal Audit
	Elizabeth Snipes	Director, Payroll Services	1001506	6/1/2006	Director of Payroll Services
	Joel Curran	Director of Public Affairs/Information	1001330	3/1/1998	Vice Chancellor for Communications & Public Affairs
	Jeffrey McCracken	Public Safety Officer	1000697	8/1/2007	Director/Chief of Public Safety

Generic Position List - Management Flexibility 2013-2014

Campus	Employee Name	Generic Position Name	Position Number	Date Established	Position Name (Working Title)
	Martha Pendergrass	Purchasing Officer	1000204	6/1/2004	Director/Procurement Services
	Dwayne Pinkney	Secretary of the University			Vice Provost, Finance and Academic Planning (<i>Secretary of University is secondary appointment</i>)
	Robyn Cyr	Director of Sponsored Research	1001574	6/26/2008	Associate Vice Chancellor/Office of Sponsored Res
	Mary Covington	Director of Student Health Services	1001452	7/1/2006	Executive Director/Campus Health Services
	Vacant	University Counsel	1001203	6/6/1994	Associate Vice Chancellor & Deputy General Counsel
	Christopher Derickson	University Registrar	1000133	9/30/2005	Assistant Provost/University Registrar

Salary Analysis for EPA Non-Faculty Tier 1 and Tier 2 Administrators

University of North Carolina at Chapel Hill

Background

This report summarizes the results of a preliminary analysis of the salaries of EPA Non-Faculty Tier 1 and Tier 2 administrative employees at UNC-Chapel Hill. The purpose was to identify any patterns that should be further evaluated to determine if observed salary differences were associated with race/ethnicity or gender.

The UNC System Board of Governors classifies Senior Academic and Administrative Officers (SAAO) into two categories. Tier 1 positions at UNC-Chapel Hill (N=25) include the Chancellor, Executive Vice Chancellor and Provost, other vice chancellors, and deans. All other SAAO positions are categorized as Tier 2, which at UNC-Chapel Hill includes 320 professionals who lead a wide variety of organizations and operations across campus. Examples include associate and assistant vice chancellors, provosts, and deans; University attorneys; development officers; directors of academic centers, operational units, student services offices; and central financial managers.

The Office of Human Resources extracted salary, demographic, and position information from the University's employee records system on the individuals holding these positions as of early February 2015. The data were analyzed by the Office of Institutional Research and Assessment.

The small number of Tier 1 administrators limited the analysis to simple comparisons of individual salaries to external benchmarks for each position. The larger group of Tier 2 employees permitted the use of multiple regression analysis to examine the relationship between salaries and race/ethnicity and gender after controlling for other personal and organizational characteristics.

However, it is important to note that data were not available to assess the likely effects of many other variables on the salaries of individual administrators. Among the relevant factors that could not be measured for this analysis are performance, salary history prior to being hired at UNC-Chapel Hill, retention increases, and scope of duties. Therefore, these results should be interpreted with caution due to the limitations of the analyses, and used primarily to suggest follow-up assessments of individual cases.

Tier 1 Employees

Each administrator's salary was compared to two external benchmarks established for the particular position held.

- "GA Maximum" – The maximum salary in the range established by UNC General Administration (GA) for each senior administrative position.
- "CUPA Carnegie Research Extensive Universities 80th Percentile" -- The salary that marks the 80th percentile of salaries for comparable positions collected by the College and Universities Personnel Association (CUPA) from institutions in the Carnegie classification of research extensive universities.

Executive Vice Chancellor and Provost, Vice Chancellor, and Other Positions

There was only one position identified with a salary that is less than 100% of both of its benchmarks. The salary of this position is only 80% of the GA Maximum benchmark compared to the range of 84% to 106% for the other positions in this group. The position's salary is 92% of the CUPA 80th Percentile benchmark, while the percentage ranged from 99% to 129% for the other positions.

Dean Positions

On average, the salaries of female deans were higher than those of males in relation to both the GA Maximum and CUPA 80th Percentile benchmarks (85% for females vs. 80% for males using the GA Maximum and 99% for females vs. 94% for males using the CUPA 80th Percentile).

Tier 2 Employees

This group is somewhat more diverse than the Tier 1 administrators in terms of race/ethnicity (15% vs. 8% non-white) and gender (60% vs. 33% female).

The benchmarks for Tier 2 positions were the mid-points of the salary ranges established by UNC General Administration (GA) for various job categories. The mean annualized salary for Tier 2 employees was \$125,686. On average, employee salaries were nearly 99% of the benchmark values corresponding to the position job categories.

Using the data available for this study, a regression analysis was designed to estimate the relationship of race/ethnicity and gender to salary after controlling for variables that should be associated with salary, such as education and career maturity. Annualized Salary was the dependent variable; the independent variables were Highest Earned Degree, Years Since Highest Earned Degree, Administrative Unit, the mid-point value of the GA salary range for each job category, Gender, and Race/Ethnicity.

The results showed that the independent variables accounted for nearly 80% of the overall variance in Annualized Salary.¹ The coefficient statistics represent the estimated association of each independent variable with Annualized Salary after controlling for all other variables in the model and the direction (+ or -) indicates whether the relationship is positive or negative. A significance level ("Sig") of less than .05 is generally used to estimate the statistical significance of the relationship. Results for group variables such as race/ethnicity, administrative units, etc., are interpreted in contrast to a designated category within the group. For example, each of the individual administrative units is compared to the Provost's organization in estimating its relationship to salary.

The overall results from the regression analysis may be summarized as follows:

- The midpoint of the salary range established by UNC GA for each position is the strongest predictor of salary in the model. This means that most of the differences in salaries across individual employees can be accounted for by the salary range assigned to their positions.
- Compared to employees whose highest earned degree is a bachelor's, employees with master's degrees earn about \$6,900 more and those with doctoral degrees earn about \$17,423 more per year, after controlling for all other variables.
- Career length, measured as Years Since Highest Earned Degree, was significantly related to salary after controlling for all other variables. On average, each additional year since the highest earned degree adds about \$493 to an individual's annual salary.
- The employee's organizational unit had no significant impact on annual salary, controlling for all other variables.

¹ This percentage of the variance in salary accounted for by this model is comparable to results obtained in prior faculty salary equity analyses.

- Gender and race/ethnicity did not make a meaningful contribution to the regression model after controlling for all other variables. These results suggest that demographic characteristics do not have a significant impact on annual salary over and above education level, years since degree, and the midpoint for the salary range established for the position.

OHR Summary

1. There were no statistically significant results from either the Tier I or Tier II analysis to suggest that salaries are influenced by gender or race/ethnicity after taking into account the salary range established for the position and other factors such as education level.
2. The Tier I position that was found to be below its peers in regards to both the GA Maximum and the CUPA 80th Percentile benchmarks will be further reviewed before any action is taken. Other variables (factors) not measured in this analysis include: Performance review; specialized skill sets; and job accountability. OHR will analyze these factors and any remaining disparities not explained by performance and position requirements may be addressed in the July 2015 ARP.
3. Although there were no statistically significant findings related to gender and race/ethnicity in the Tier II analysis, there were a few trends that OHR will continue to monitor by periodically conducting similar analysis.

2013 Follow-Up Report to the Faculty Salary Equity Study

The University of North Carolina at Chapel Hill

This is a summary of the Executive Vice Chancellor and Provost's response to the report submitted by the Faculty Salary Equity Task Force [see attached Executive Summary] in spring 2012. Provost Bruce Carney had charged the Task Force with replicating the 2002 faculty salary equity study to determine if salary differences existed by gender and race/ethnicity after controlling for factors that should be related to compensation. The Task Force was also asked to examine time to promotion and the diversity of new faculty hires, and to recommend ongoing strategies for monitoring equity.

The Provost presented preliminary results from the Task Force report at the April 2012 meeting of Faculty Council and invited feedback and comments. His senior leadership team was assigned to identify follow-up analyses and to study the feasibility of implementing the report's recommendations. The following actions had been taken by the end of the 2012-13 academic year.

- **Salary Equity Study:** The Task Force had recommended further analysis of the data to include "...a more detailed, qualitative, case-by-case analysis performed by individuals who have context-specific knowledge of the faculty member's career history and professional performance." The Provost asked the Office of Institutional Research and Assessment to provide each dean with the regression models for his/her school and a roster of the faculty who had been included in the analysis. Several suggestions were made by school-level experts to modify the regression models and variables to improve the validity of the findings. These included using a more precise method of adjusting a faculty member's salary to account for administrative duties, differentiating between permanent and temporary distinguished chair awards, and introducing a new measure of clinical productivity as a salary predictor. The final roster listed each faculty member's actual salary, the salary predicted by the regression model (after controlling for experience, discipline area, rank, tenure status, and other career-relevant factors), and the difference between the two. Faculty members with large negative discrepancies between their actual and predicted salaries (defined as 1.5 standard deviations from the mean for their academic units) were flagged. The Provost asked the deans to investigate these cases and to provide an explanation and a description of any actions taken to remedy disparities that were not justifiable based on professional productivity, quality, or other appropriate factors. These explanations were reviewed by the Provost's senior leadership team.
- **Tenure and Promotion Study:** The Task Force Report outlined the data issues that limited their ability to conduct a comprehensive analysis of faculty career progression. Solutions for improving the availability and quality of faculty data have been discussed by the Provost's Office and members of the Appointment, Promotion, and Tenure Committee. The Office of Institutional Research and Assessment, the Office of Human Resources, and the Office of Academic Personnel have raised these data issues during the planning process for the upcoming conversion of the University's legacy human resources and financial systems to PeopleSoft. It will be particularly important to develop new reporting systems that enable analysis of both historical and current data and longitudinal studies of individual faculty over time.
- **Hiring Study:** Efforts continue to track former participants in the faculty diversity initiatives described in the Task Force Report and using the results to evaluate the effectiveness of these programs. In addition, the Office of Diversity and Minority Affairs, the Office of Equal Opportunity, and the Office of Institutional Research and Assessment are collaborating on ways of increasing the information available to assess recruitment, hiring, and retention patterns by gender and race/ethnicity over time, and to compare our progress with our peers.



THE UNIVERSITY
of **NORTH CAROLINA**
at **CHAPEL HILL**

**2012 FACULTY SALARY EQUITY
TASK FORCE REPORT**

Office of the Executive Vice Chancellor and Provost

2012 FACULTY SALARY EQUITY TASK FORCE REPORT

Presented to Executive Vice Chancellor and Provost Bruce Carney

The Faculty Salary Equity Task Forceⁱ was appointed and charged by Provost Bruce Carney with conducting a comprehensive study to determine if salary differentials existed by gender and race/ethnicity after controlling for factors that should be related to compensation. The analysis was a follow-up to a similar study of faculty salary equity in 2002. The Task Force was also charged with: (1) examining time to promotion for tenure track and tenured faculty, (2) analyzing the gender and race/ethnicity characteristics of new faculty hires, and (3) recommending policy and strategies for identifying and addressing inequities.

Salary Equity Study

Methodology

Consistent with the 2002 salary equity study and the recommendations of the Association of American University Professors (AAUP), multiple regression analysis was the primary statistical technique used to examine the effects of gender and race/ethnicity on faculty salaries after controlling for career-related factors that might explain any observed differences.

Data for the regression analysis were derived from the University's official Fall 2009 Personnel Data File, and included all permanent, full-time, active and on-leave-with-pay faculty as of September 30th of that year. Table 1 below displays the gender and race/ethnicity of the 3,116 faculty members in the study population.

Table 1: Salary Equity Study Population								
	Male	Female	White	African-Amer.	Asian	Hispanic	Native Amer.	Other
Academic Affairs (N=1,290)	781 60.5%	509 39.5%	1,044 80.9%	74 5.7%	103 8.0%	59 4.6%	9 0.7%	1 0.1%
School of Medicine (N=1,323)	776 58.7%	547 41.3%	1,092 82.5%	50 3.8%	141 10.7%	31 2.3%	4 0.3%	5 0.4%
Other Health Affairs (N=503)	232 46.1%	271 53.9%	396 78.7%	28 5.6%	61 12.1%	17 3.4%	1 0.2%	0 0.0%
TOTAL (N=3,116)	1,789 57.4%	1,327 42.6%	2,532 81.3%	152 4.9%	305 9.8%	107 3.4%	14 0.4%	6 0.2%

Regression Models

Separate regression models were developed for: (1) the Division of Academic Affairs, which included the College of Arts and Sciences and the schools of Business, Education, Government, Information and Library Science, Journalism and Mass Communication, Law, and Social Work; (2) the School of Medicine, consisting of departments in Clinical Medicine, Basic Sciences, and Allied Health Sciences; and (3) the Division of Health Affairs schools other than the School of Medicine, which included Dentistry, Nursing, Pharmacy, and Public Health.

The dependent variable was annual salary in dollars, adjusted for contract length (9 months in Academic Affairs and 12 months in Health Affairs). For the School of Medicine regression model, the dependent variable was 12-month base salary plus bonus payments from clinical services rendered during that fiscal year.

Each regression model included the same sets of independent variables that captured the faculty members' demographic backgrounds and various career-related factors:

- Demographics--Gender, race/ethnicity
- Education--Highest earned degree
- Experience and Service Length--Years since terminal degree, years at UNC-Chapel Hill, years prior to UNC-Chapel Hill, years in current rank.

- Professional Status--Appointment type (fixed term, tenure track/tenured), rank, administrative role, distinguished professorship
- Discipline--Indicators for each school/department.

Results

Descriptive statistics for the study population revealed the following:

Compared to **male** faculty, female **faculty** members were more likely to:

- Hold a fixed term appointment.
- Have the rank of assistant or instructor.
- Not hold a distinguished title.
- Have spent fewer years in their current ranks.
- Be in a lower-paying discipline area.

Compared to **White** faculty, faculty members from **other racial/ethnic groups** were more likely to:

- Be on tenure track, but not yet tenured.
- Hold rank below full professor.
- Have spent fewer years in their current ranks.

A summary of the regression analysis results is displayed below in Table 2. As observed in the 2002 Salary Equity Study, there were important consistencies across all populations examined in the current study. Each regression model was highly predictive of salaries, as evidenced by the finding that a significant portion (84%, 74%, and 75%, respectively) of the variability in faculty salaries was accounted for by the selected study variables. Across all populations and all models, the strongest predictors of salary were those variables that should be correlated with higher salaries (in descending order of magnitude):

- Specializing in a high paying discipline
- Being at the rank of full professor
- Holding a major administrator role, such as Associate Dean
- Having a distinguished title
- Holding another administrator role, such as department chair
- Having a tenure-track appointment as opposed to fixed-term.

After controlling for these factors in the regression model, gender and race/ethnicity did not make a significant addition to the percentage of variance in salaries already explained by these predictor variables. However, when comparing average salaries by gender and race/ethnicity after controlling for all other variables in the regression model, some differences were observed although the pattern and magnitude varied across units. On average, female faculty had lower salaries than male faculty in Academic Affairs, the School of Medicine, and the Other Health Affairs units. Results by race/ethnicity differed by unit. For example, African-American faculty had, on average, higher salaries than White faculty in Academic Affairs and Other Health Affairs units after controlling for other factors in the regression model, but the reverse was observed in the School of Medicine.

Table 2. Multiple Regression Analysis Results			
	Variance in Salaries Accounted for by Regression Model	Comparison Group	Salary Relative to Comparison Group After Controlling for Factors Used in the Regression Model
Academic Affairs	83.6%	Male	Female Lower
		White	African-American Higher Asian Higher Hispanic, Native American, Other Lower
		Male	Female Lower
School of Medicine	74.1%	White	African-American Lower Asian Lower Hispanic, Native American, Other Lower
		Male	Female Lower
		White	African-American Higher Asian Lower Hispanic, Native American, Other Higher

Although these regression models were all quite predictive, approximately 20% of the variability in faculty salaries was not explained by the independent variables in the analyses. This remaining variability might well be due to differences in the quality of faculty contributions that are not accounted for in these regression analyses. Most faculty salary increases are allocated among individuals based on merit, and it is quite likely that individual differences in productivity over time account for a great deal of the unexplained variance observed here.

Beyond the broad generalizations reported from this analysis, a more detailed, qualitative, case-by-case analysis must be performed by individuals who have context-specific knowledge of the faculty member's career history and professional performance. School/department-level analyses can focus on the individuals with large negative or positive disparities between their predicted and actual salaries to determine what productivity differences or other factors that could not be measured here might account for the observed gap.

Tenure and Promotion Study

Methodology

The employment histories of cohorts of newly hired tenure track assistant professors (1994-2003) and newly appointed tenured associate professors through hiring or promotion from assistant professor (1990-2000) were analyzed for evidence of sex and race/ethnicity differences in promotion rates and time-to-promotion that are not easily explainable by other factors.

Data for this study were derived from the University's Human Resources Data Warehouse, and supplemented and validated using the University's official Fall Personnel Data Files, payroll system extracts, hardcopy personnel files, and internet searches. Some historical information that might have provided a clearer picture of variations in individual faculty career progression did not exist in electronic form or had not been systematically maintained for the purpose of conducting statistical analyses. For example, incomplete data limited efforts to adjust time to tenure for personal leaves and tenure clock extensions for family-related obligations that disproportionately fall to females. Therefore, the reliability and validity of the findings reported here might have been compromised by the quality of data available for analysis.

Tenure/promotion rates and average time to promotion among those promoted were analyzed by gender, race/ethnicity, and academic unit. The Cox proportional hazards statistical model was used to examine differences in time to promotion as a function of gender and race/ethnicity after adjustment for important factors such as type of degree, experience, and discipline. Time to promotion was censored at the time that an individual resigned before being promoted. The reason for resignation could have been to take a more attractive position elsewhere or to seek alternative employment if promotion was unlikely. However, because the University has not consistently maintained data on place of employment after departure from UNC-Chapel Hill or on reasons for departure, the analysis could not account for these explanatory factors, which limits the usefulness of these findings of this study.

Results from Analysis of the 1994-2003 Assistant Professor Cohorts

Descriptive statistics for the tenure track assistant professor new hires are provided below.

Table 3: New Tenure Track Assistant Professors Hired, 1994-2003 Distribution by Gender and Race/Ethnicity							
	Male	Female	White	African- Amer.	Asian	Hispanic	Native Amer.
TOTAL (N=568)	342	226	456	28	67	14	3
	60.2%	39.8%	80.3%	4.9%	11.8%	2.5%	0.5%

Promotion Rates and Years to Promotion from Assistant to Associate Professor

For all assistant professors in this cohort, promotion to associate professor also included conferral of tenure. As shown in Table 4, overall gender differences in the probability of promotion were small (men 64.6% vs. women 60.2%). Promotion rates for Asian (65.7%) and White (63.2%) faculty were higher than for the combined group of African-American, Hispanic, and Native American faculty (55.6%). These patterns were similar for Academic Affairs and Health Affairs, although the overall probability of promotion was substantially lower in Health Affairs (53.7%) than Academic Affairs (71.9%). Statistical adjustments for other factors in the time to event analysis (terminal degree, experience, and division) did not have a large effect on these differences.

Table 4: Assistant Professors: Percent Promoted to Associate Within 7 Years, and Mean Years to Promotion						
	All	Male	Female	White	Asian	All Others Combined*
Hired	568	342	226	456	67	45
Promoted	357	221	136	288	44	25
Promotion Rate	62.9%	64.6%	60.2%	63.2%	65.7%	55.6%
Mean Years to Promotion	5.6	5.6	5.7	5.6	5.5	5.9
<i>*Includes African-American, Hispanic, and Native American.</i>						

Across all assistant professors that were promoted, time to promotion was similar for females and males. Mean years to promotion was somewhat shorter for White and Asian faculty than for to the combined group of African-American, Hispanic, and Native American faculty. Some differences in these patterns were observed between Academic Affairs and Health Affairs. However, after statistically adjusting for other relevant factors (terminal degree, experience, division, etc.) the magnitude of all these differences was considerably reduced.

Results from Analysis of the 1990-2000 Associate Professor Cohorts

Descriptive statistics for the tenured associate professor cohorts are provided below.

Table 5: Tenured Associate Professors Appointed, 1990-2000 Distribution by Gender and Race/Ethnicity							
	Male	Female	White	African-Amer.	Asian	Hispanic	Native Amer.
TOTAL (N=535)	345	190	464	28	32	9	2
	64.5%	35.5%	86.7%	5.2%	6.0%	1.7%	0.4%

Probability of Promotion and Time to Promotion from Associate to Full Professor

Overall, the probability of promotion from associate to full professor within 10 years was lower for women (55.8%) than men (64.6%). This deficit was larger in Academic Affairs than in Health Affairs. Asian faculty had a higher rate of promotion within 10 years (75.0%) than White faculty (61.2%), and both groups had considerably higher rates than faculty in the combined group of African-American, Hispanic, and Native American (43.6%) faculty.

Table 6: Associate Professors: Percent Promoted to Full Professor Within 10 Years, and Mean Years to Promotion						
	All	Male	Female	White	Asian	All Others Combined*
Hired	535	342	190	464	32	39
Promoted	325	221	106	284	24	17
Promotion Rate	60.7%	64.6%	55.8%	61.2%	75.0%	43.6%
Mean Years to Promotion	5.5	5.6	5.8	5.6	4.8	5.9
<i>*Includes African-American, Hispanic, and Native American.</i>						

Among faculty members who were promoted to full professor, mean years to promotion was similar for males (5.6) and females (5.8). However, when compared by race/ethnicity, Asian faculty (4.8) achieved promotion to full professor nearly a year sooner than White faculty (5.6) and those from the combined group of African-American, Hispanic, and Native American faculty (5.9). These patterns were observed in both Academic Affairs and Health Affairs. These differences were essentially unchanged when statistically adjusted for other relevant factors in the time to event analysis (terminal degree, prior experience, and division).

Hiring Study

The Faculty Salary Equity Task Force examined hiring patterns of traditionally underrepresented minority faculty between 1994 and 2003, and the effects of the diversity programs implemented during that time.

Current Minority Initiatives

The Carolina Postdoctoral Program for Faculty Diversity (CPPFD), under the auspices of the Office of the Vice Chancellor for Research, was established in 1983 to develop scholars from underrepresented groups for possible tenure track

appointments at UNC-Chapel Hill and other research universities throughout the nation. The program has grown to a continuing class of 10 scholars who serve two-year postdoctoral appointments in the College of Arts and Sciences and the professional schools. As of July 2011, 151 scholars have participated in the program; 24% were subsequently hired by the University and 19% were still employed by the University.

The Simmons Scholar Program was established in 1994 to improve faculty diversity in the School of Medicine. In 2006, the School of Medicine reported that the program had been the single most successful tool for bringing underrepresented minorities to the faculty. They recommended further support for the program and for publicizing its availability for recruiting faculty other than research-oriented assistant professors. Since 1994, 24 Simmons Scholars have been appointed, and of these, 14 remain employed by the School of Medicine.

The Provost's Target of Opportunity Diversity Initiative was established in 2001 to attract accomplished and talented new faculty members from all ranks and from underrepresented groups for tenure track [or tenured] appointments at UNC-Chapel Hill. The CPPFD fellows who have been hired by the University as faculty are appointed under the Provost's Target of Opportunity Diversity Initiative. Besides the CPPFD fellows reported above, 5 other faculty from minority groups were hired under this initiative between 1994 and 2003 and are still employed at the University.

Results

This analysis used the 568 new tenure track assistant professors hired by the University between 1994 and 2003 that were described in the Tenure and Promotion Study section of this report. A total of 39.8% of those new hires were female and 19.3% reported a race/ethnicity other than White (see page 5 for a detailed gender and race/ethnicity breakdown of this population).

The hiring patterns during this time period for the three largest academic units are described below. A notable percentage of these hires had been fellows in the Carolina Postdoctoral Program for Faculty Diversity (CPPFD) or appointed via the Simmons Scholar Program or the Provost's Target of Opportunity Initiative.

- College of Arts and Sciences: Of the 210 new hires between 1994 and 2003, only 16 (7.6%) were from underrepresented race/ethnicity minority groups. Of these, 6 (37.5%) had come to the University via the CPPFD. More specifically, 77% of all African American and Native American new hires in the College between 1994 and 2003 had been fellows in this program.
- School of Medicine: Of the 216 new hires, only 12 (5.6%) were from underrepresented minority groups. Forty-four percent of all African American and Native American new hires in the School of Medicine were either targeted hires, Simmons Scholars, or had been fellows in the CPPFD.
- School of Public Health: Of the 38 assistant professors hired during this period, 12 or 31.6% were minorities, one of which was appointed via the Provost's Target of Opportunity Initiative.

More recently, the impact of the CPPFD, the Provost's Target of Opportunity Initiative, and the Simmons Scholars Program can be seen in the increase in the percentage of minority assistant professors among all assistant professors at UNC-Chapel Hill from 21% in Fall 2003 to 29% in Fall 2009. During this time period, Asians increased from 12.1% to 14.8%, African Americans increased from 5.3% to 7.3%, Hispanics increased from 2.6% to 6.4%, and Native Americans increased from 0.5% to 1.4% of all assistant professors at the University.

SUMMARY OF RECOMMENDATIONS

1. A study of this type should be done in the individual Schools on a rolling basis, with periodic re-evaluation of the regression model (perhaps every five years).
2. The Provost should appoint a task force comprising predominantly persons from outside the School of Medicine to investigate salary allocation practices in the School of Medicine, especially the Clinical Medicine departments, to identify the reasons behind the differences in salary by gender and race/ethnicity revealed in this study.
3. The unit head responsible for salary allocation for any faculty member whose salary deviates by 1.5σ or more (in either direction) from the value predicted by the regression analysis should be asked to justify the salary (in writing) to the Provost.
4. These explanations should be examined by a committee appointed by the Provost for this purpose.
5. The Provost should direct the Appointments, Promotion and Tenure (APT) committee to investigate evaluation and promotion practices in Academic Affairs to identify the reasons behind the differences in promotion rates by gender and race/ethnicity revealed in this study.

6. The Deans of the various Schools should direct departments and other hiring units within their schools to increase their efforts to recruit more minority applicants to apply for national searches.
7. Programs to foster the hiring of underrepresented minorities to the faculty should be further supported and expanded by the University.
8. The personnel record for each faculty member should contain a “compensation transcript,” similar in spirit to the academic transcript kept for each student who attends the University. The “compensation transcript” should include the following items in addition to the conventional records:
 - a. information regarding extensions of the probationary period
 - b. information about the start-up package
 - c. information about assignment of specific research space (where relevant) via a link to the eSPOTS database
 - d. nominations to distinguished professorships
 - e. information about outside offers and retention efforts
 - f. RVUs (for Health Affairs faculty with clinical responsibilities)
9. Records for faculty members who came to UNC in or after 1980 should be transferred to the new personnel record system when it becomes available.
10. All academic units should be directed to include information about the destination of departing faculty members in the End of Employment form.

ⁱ Faculty Salary Equity Task Force members included: Laurie McNeil, Chair, College of Arts and Sciences; Ada Adinora, School of Medicine; Amy Herring, School of Public Health; David Garcia, Douglas Kelly, and Abigail Panter, College of Arts and Sciences; David Parker, University Counsel; and Lynn Williford, Office of Institutional Research and Assessment.

UNC-CH_equity_2.pdf
144.3KB
application/pdf

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

9. Audit Findings

Please prepare and upload a PDF document with a description of audit findings related to weaknesses in the internal control structure, deficiencies in the accounting records, and noncompliance with rules and regulations or any other instances where significant findings are identified. The report should specifically detail any findings regarding personnel practices, salary or payroll for July 1, 2013 - June 30, 2014 and remedial action taken in response to audit findings.

If your campus had no audit findings for July 1, 2013 - June 30, 2014, please upload a document affirming this.

- Please name the uploaded file in the following manner: XXXX_audit.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_audit_1.pdf).

Audit Finding - Management Flexibility 2014.docx
12.7KB
application/vnd.openxmlformats-officedocument.wordprocessingml.document

UNC-CH_audit.pdf
82.3KB
application/pdf

9. Audit Findings

Please prepare and upload a PDF document with a description of audit findings related to weaknesses in the internal control structure, deficiencies in the accounting records, and noncompliance with rules and regulations or any other instances where significant findings are identified. The report should specifically detail any findings regarding personnel practices, salary or payroll for July 1, 2013 - June 30, 2014 and remedial action taken in response to audit findings.

Findings: Internal Audit found that the Kenan-Flagler Foundation paid Kenan-Flagler Business School faculty who taught Executive Education courses and courses in the [MBA@UNC](#) on-line program. The amounts paid were in addition to faculty members' UNC Chapel Hill salaries. This practice should not have happened.

Remedial Action(s): The solution was to develop a special compensation program for KFBS that provides a way to compensate the faculty for the additional work they do for the Exec Ed and [MBA@UNC](#) programs.

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

10. Compensation Policies

Please prepare and upload a PDF document (or PDF documents if there are more than one) with any newly created or modified compensation policies and salary ranges established for faculty with permanent tenure and senior academic and administrative officer positions between July 1, 2013 and June 30, 2014.

- Please name the uploaded file in the following manner: XXXX_compensation.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_compensation_1.pdf).

UNC-CH_compensation_1.pdf
543.6KB
application/pdf

UNC-CH_compensation_2.pdf
986.5KB
application/pdf

UNC-CH_compensation_3.pdf
1.4MB
application/pdf

Compensation Program for EPA Non-Faculty Employees (IRPS and SAAO Tier II)

POLICY STATEMENT

The University's EPA Non-Faculty Compensation Program for Instructional, Research and Public Service (IRPS) and Senior Academic and Administrative Officer (SAAO) Tier II positions ("EPA Non-Faculty Compensation Program") is designed to provide competitive salaries in order to attract and retain the very best talent and expertise as [EPA non-faculty employees](#). The program goals include promoting internal equity and fairness, assuring good stewardship of University and State resources, and enabling managers to assign compensation that meets and, if appropriate, leads relevant external labor markets.

AUDIENCE

This policy defines the compensation plan for EPA non-faculty IRPS and SAAO Tier II employees. This program excludes SAAO Tier I positions (e.g., Vice Chancellors, Deans), since compensation for these positions is prescribed by UNC General Administration on a position-by-position basis.

POLICY DETAILS

Compensation Structure

The EPA Non-Faculty Compensation Program features a structure that includes [job families](#), [job levels](#) and a series of salary rates through which managers can evaluate and implement compensation decisions for EPA non-faculty employee

Job Families

The program groups individual positions with similar responsibilities and job content into 16 defined job families, as follows:

- Senior Executives (Associate Vice Chancellors, Vice Provosts and Associate Provosts) (Job Family AA)
- Academic Administration and University Programs (Job Family A)
- Business and Finance (Job Family B)
- Clinical Administration (Job Family C)

- External Affairs/Development (Job Family D)
- Human Resources (Job Family E)
- Information Technology (Job Family F)
- Advising, Counseling and Student Support Services (Job Family J)
- Admissions, Recruitment and Financial Aid (Job Family K)
- Professional Librarians (Job Family L)
- University Attorneys (Job Family M)
- Centers and Institute Management (Job Family O)
- Instructional Support, Public Service and Extension (Job Family IPS)
- Social Sciences Research (Job Family SSR)
- Health Sciences Research (Job Family HSR)
- Physical Sciences Research (Job Family PSR)
- Unassigned (includes Athletic Coaches and other exceptional circumstances where a position falls outside the existing compensation structure) (Job Family X)

The appropriate School/Division Human Resources Officer and the Office of Human Resources (OHR) can provide guidance to managers and department heads in determining the most appropriate job family for any individual position.

Job Levels

Within each job family, there are individual job levels which help to further differentiate positions based on scope, complexity and specialized skill requirements. The following factors are among those used to assign each position within a job family to its most appropriate job level:

- size of work unit
- span of authority (unit/school/campus)
- scope of responsibility (including consequence of error and independent decision making)
- supervisory/managerial responsibility
- comparison to relative positions as appropriate
- nature and scope of research
- policy/program development
- research/academic impact
- fiscal and/or administrative oversight and supervision

The appropriate School/Division Human Resources Officer and OHR can provide guidance to managers and department heads in determining the most appropriate job level for any individual position.

Compensation Rates

For each unique job family and job level combination, there is a series of compensation rates intended to inform individual compensation decisions. These rates are as follows:

- The [minimum salary](#) defines the minimum compensation level assigned to positions at a specific job family and job level; exceptions to the minimum salary are noted in this policy.
- The [maximum salary](#) defines the maximum compensation level assigned to positions at a specific job family and job level; exceptions to the maximum salary are noted in this policy.
- The [salary range](#) represents the range of compensation between the defined minimum and maximum salary amounts.
- The [reference rate](#) is an aggregate of similar jobs at the 75th percentile in the outside labor market and represents an approximate midpoint of the assigned salary range for each job level. The reference rate is not intended as a formal limit for salary decisions in hiring or when deciding on a proposed salary increase for existing employees. Some employees will be paid below or at the reference rate and others above it based on a variety of factors as set out below.

Salary Setting Guidelines and Procedures

Factors in Determining Salary Amounts

Setting a specific salary amount is dependent upon a variety of factors which must be considered by departmental management in consultation with their School/Division HR Officer and OHR. These factors include, but are not limited to

- available budgetary resources
- acquired knowledge, skills and experience
- employee performance
- possession of an advanced degree or professional credentials that enhance the ability to perform required duties of the position
- scarcity and uniqueness of employee skills and abilities in the context of the greater job market

- internal equity
- retention or replacement of employees
- relation to reference rate

Minimum and Maximum Salary Limits

- New hires and salary actions for existing EPA non-faculty SAAO Tier II employees *on or after January 1, 2013*, shall **not** fall below the applicable minimum salary or exceed the applicable maximum salary based on the assigned job family and level, absent a specific exception permitted by this policy.
- New hires and salary actions for existing EPA non-faculty IRPS employees *on or after July 1, 2014*, shall **not** fall below the relevant minimum salary or exceed the applicable maximum salary based on the assigned job family and level, absent a specific exception permitted by this policy.
- There is **no** requirement that employees hired prior to the above dates whose salaries fall below the applicable minimum salary be immediately moved to the minimum salary. However, the relevant Department and School/Division management should consider moving the employee to or above this minimum salary within some defined timeframe based on available budgetary resources. Salary adjustments in this case should follow standard OHR procedure for salary increase requests (see [Out-of-Cycle Salary Increase Requests for EPA Non-Faculty](#)).
- There is **no** requirement or intention that employees hired prior to the above dates whose salaries exceed the applicable maximum salary have any reduction in salary. However, any future proposed salary increases for such individuals that exceed the applicable maximum salary are subject to the specific provisions and required approvals as set forth in this policy.

Exceptions to Maximum Salaries

Exceptions to maximum salaries may be requested using the [Faculty & Non-Faculty Salary Adjustment/Supplement](#) form and are subject to the following approvals:

- For EPA non-faculty SAAO Tier II positions, the maximum salary may only be exceeded when justified by critical University business need. Such exceptions must be approved by the Vice Chancellor for Workforce Strategy, Equity and Engagement **and** the Chancellor.

Salary requests that are both 10% and \$10,000 above the established maximum salary must also receive the approval of the Board of Trustees.

- For EPA non-faculty IRPS positions, the maximum salary may only be exceeded when justified by critical University business need. Such exceptions must be approved by the submitting unit's Dean or Vice Chancellor **and** the Vice Chancellor for Workforce Strategy, Equity and Engagement.
- For positions assigned to the research job families (SSR, HSR, PSR), the job level maximum may be exceeded, for either a new hire or an existing employee, up to the reference rate of the next highest job level within the same job family. This exception is intended to address the unique demands of the research enterprise and the dynamic nature of individual research projects, especially when movement of an individual position to the next highest job level is not justified. This exception should be based on essential operational or business need and must receive the approval of the relevant Department Head **and** the requesting unit's applicable Dean or Vice Chancellor.

Changes in Job Family Assignment or Job Level

During the normal course of business, changes in employee responsibilities or job content may make it necessary to reassess and possibly reassign a given position to a different job family or job level, which in turn may drive changes in compensation.

If an EPA non-faculty position is subject to substantial change in job duties or reporting relationship, the position description should be updated and the changes reflected in the enterprise Human Resources system. The School/Division Human Resources Officer and OHR can then review these documented changes to determine if any change in job family or job level is necessary.

Not every change in position duties or addition of new job responsibilities will necessarily merit a change in assigned job level or job family. Each circumstance will be reviewed individually using the factors outlined in this policy.

Authority to Appoint and Fix Compensation

Pursuant to [UNC General Administration \(GA\) Policy 600.3.4](#), "Granting of Management Flexibility to Appoint and Fix Compensation," the University has established market salary ranges for all EPA non-faculty positions:

- Salary ranges for EPA non-faculty SAAO Tier II positions are approved by the Board of Trustees as required by GA policy.
- Salary ranges for EPA non-faculty IRPS positions are established by OHR.

OHR is delegated authority by the Chancellor to maintain and administer the salary range structure for all EPA non-faculty positions and to maintain policies and procedures to support implementation of this structure.

DEFINITIONS

EPA non-faculty employees: non-faculty employees exempt from the State Human Resources Act

job family: a group of individual positions with similar responsibilities and job content

job level: one of two or three individual levels used to differentiate positions within a job family based on scope, complexity and specialized skill requirements

maximum salary: the maximum compensation level assigned to positions at a specific job family and job level

minimum salary: the minimum compensation level assigned to positions at a specific job family and job level

reference rate: an approximate midpoint of the assigned salary range for each job level

salary range: the range of compensation between the defined minimum and maximum salary amounts

REASON FOR POLICY

Pursuant to [UNC General Administration \(GA\) Policy 600.3.4](#), "Granting of Management Flexibility to Appoint and Fix Compensation," this policy establishes market salary ranges for all EPA non-faculty IRPS and SAAO Tier II positions.

ROLES AND RESPONSIBILITIES

Board of Trustees: for EPA non-faculty SAAO Tier II positions, approves salary requests that are both 10% and \$10,000 above the established maximum salary; approves salary ranges for EPA non-faculty SAAO Tier II positions.

Chancellor: for EPA non-faculty SAAO Tier II positions, approves salary requests above the established maximum salary; some of these also require approval from the Board of Trustees.

Dean or Vice Chancellor: for EPA non-faculty IRPS positions, approves salary requests above the established maximum salary

Department Head: for positions assigned to research job families (SSR, HSR, PSR), approves requests for salaries above the established maximum salary

Office of Human Resources (OHR): provides guidance to managers and department heads in assigning job families, job levels, and salary amounts; reviews documented changes to position descriptions to determine if any change in job family or level is indicated; establishes salary ranges for EPA non-faculty IRPS positions; maintains and administers EPA Non-Faculty Compensation Program as well as policies and procedures supporting its implementation.

School/Division Human Resources Officer: provides guidance to managers and department heads in assigning job families, job levels, and salary amounts; reviews documented changes to position descriptions to determine if any change in job family or level is indicated.

Vice Chancellor for Workforce Strategy, Equity and Engagement: for EPA non-faculty IRPS positions, approves salary requests above the established maximum salary; for EPA non-faculty SAAO Tier II positions, approves salary requests above the established maximum salary.

Responsible Office

Office of Human Resources, EPA Non-Faculty

Responsible Officer

Vice Chancellor for Workforce Strategy, Equity and Engagement

RELATED REGULATIONS, STATUTES, AND RELATED POLICIES

[Out-of-Cycle Salary Increase Requests for EPA Non-Faculty](#)

[UNC General Administration \(GA\) Policy 600.3.4](#)

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
AA 1	Unused ~ Reserved for Future Use	I		Unused		Positions in this job family are senior-level administrators with University-wide scope and are assigned titles at the level of Associate Vice Chancellor, Associate Provost, and Vice Provost.
AA 2	Associate Vice Chancellors, Associate Provosts, Vice Provosts	II	\$128,100	\$204,900	\$300,400	
A1	Academic Administration/University Programs	I	\$81,800	\$106,300	\$130,900	Positions in this job family typically provide leadership for campus-wide administrative functions and/or unique academic and/or university programs. Positions are typically responsible for the leadership of functions unique to the higher-education setting. Positions in this family also include staff physicians providing clinical healthcare services on campus-wide level (e.g. Campus Health Services)
A2	Academic Administration/University Programs	II	\$109,200	\$152,900	\$196,600	
A3	Academic Administration/University Programs	III	\$125,000	\$187,500	\$250,000	
B1	Business & Finance	I	\$91,800	\$119,400	\$146,900	Positions in this job family typically plan, oversee, and administer all aspects of the business operations and financial functions at the School/College/Division or University-wide level and exercise substantial independent decision making with regard to management and allocation of resources.
B2	Business & Finance	II	\$104,400	\$146,200	\$187,900	
B3	Business & Finance	III	\$125,500	\$188,200	\$251,000	
C1	Clinical Administration	I		Unused		Positions in this job family typically manage all non-medical aspects of a clinical department in the School of Medicine including financial management, revenue management, human resources, sponsored research, facilities, and clinical operations. These positions are typically assigned titles of Assistant or Associate Department Chair.
C2	Clinical Administration	II	\$90,600	\$131,400	\$172,100	
C3	Clinical Administration	III	\$93,200	\$144,500	\$195,700	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Revised 6/10/2014

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
D1	External Affairs/Development	I	\$59,200	\$76,900	\$94,700	Positions in this job family are typically involved in the following: cultivation and solicitation of donors; activities that build and enhance relationships between the University and external constituencies; and development and dissemination of information about the University.
D2	External Affairs/Development	II	\$68,800	\$96,300	\$123,800	
D3	External Affairs/Development	III	\$96,300	\$144,400	\$192,600	
D4	External Affairs/Development	IV	\$132,100	\$211,300	\$290,600	
E1	Human Resources	I		Unused		Positions in this job family typically manage and direct the University's human resources programs including employment and staffing, compensation and benefits, employee relations, and equal employment opportunity. This job family also includes HR leads at the School/College/Division-level when they qualify for EPA status.
E2	Human Resources	II	\$73,900	\$103,400	\$133,000	
E3	Human Resources	III	\$90,700	\$136,000	\$181,400	
F1	Information Technology	I	\$100,200	\$130,300	\$160,300	Positions in this job family typically direct information technology-related functions either at a University-wide level or at the School/College/Division-level when they qualify for EPA status.
F2	Information Technology	II	\$111,400	\$156,000	\$200,500	
F3	Information Technology	III	\$116,900	\$175,400	\$233,800	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Revised 6/10/2014

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
K1	Admissions, Recruitment and Financial Aid	I	\$46,600	\$60,600	\$74,600	Positions in this job family include those that have authority to make admissions or financial aid decisions. Positions in this family focus on developing and implementing programs for student outreach, recruitment, and retention.
K2	Admissions, Recruitment and Financial Aid	II	\$57,400	\$80,400	\$103,300	
K3	Admissions, Recruitment and Financial Aid	III	\$96,800	\$145,200	\$193,600	
J1	Advising, Counseling and Student Support Services	I	\$33,700	\$46,400	\$59,000	Positions in this job family develop, direct and administer services for students and/or faculty that have a direct impact on the educational experience and/or campus life (e.g., career services; student housing; student conduct; student registration and records). Positions in this family also include academic advising & assessment, academic preparation & enhancement and counseling (clinical and developmental) & psychological services.
J2	Advising, Counseling and Student Support Services	II	\$51,200	\$74,300	\$97,300	
J3	Advising, Counseling and Student Support Services	III	\$75,800	\$117,500	\$159,200	
L1	Professional Librarian	I	Unused			
L2	Professional Librarian	II	Unused			
L3	Professional Librarian	III	Unused			
M1	University Attorneys	I	\$87,300	\$120,000	\$152,800	Positions in this job family provide campus-wide legal services.
M2	University Attorneys	II	\$114,200	\$165,600	\$217,000	
M3	University Attorneys	III	Unused			

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Revised 6/10/2014

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
O1	Centers & Institute Management	I	\$95,600	\$124,300	\$153,000	Positions in this job family typically manage administrative units (centers and institutes) that promote research, teaching and public service and offer opportunities for faculty and students to engage in cross-disciplinary collaboration and initiatives. Positions are responsible for strategic planning, leadership and management of all Center operations and for the day-to-day programmatic, fiscal, and personnel decisions of the unit.
O2	Centers & Institute Management	II	\$120,000	\$168,000	\$216,000	
O3	Centers & Institute Management	III	\$124,000	\$186,000	\$248,000	
IPS1	Instructional Support, Public Service & Extension	I	\$45,200	\$62,200	\$79,100	Positions in this job family exercise professional expertise and discretion in determining the nature and content of instructional and public-service related activities and evaluation of the effectiveness of such activities; advise faculty and staff on instructional matters and direct or deliver programs which focus or extend the institution's academic resources and/or research products on addressing community, regional and national issues.
IPS2	Instructional Support, Public Service & Extension	II	\$60,900	\$88,300	\$115,700	
IPS3	Instructional Support, Public Service & Extension	III	\$86,100	\$133,400	\$180,800	
SSR1	Social Sciences Research	I	\$30,000	\$41,300	\$52,500	Positions in this job family provide expertise in the design, operation and analysis of research projects in the social sciences. <i>(Disciplines include psychology, sociology, education, and economics)</i>
SSR2	Social Sciences Research	II	\$43,000	\$62,400	\$81,700	
SSR3	Social Sciences Research	III	\$62,100	\$96,200	\$130,400	
SSR4	Social Sciences Research	IV	\$87,700	\$146,900	\$206,100	

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Revised 6/10/2014

EPA Non-Faculty Salary Structure

Band	Job Family	Level	Min	Reference Rate	Max	Job Family Definition
PSR1	Physical Sciences Research	I	\$30,000	\$43,365	\$55,125	Positions in this family provide expertise in the design, operation and analysis of research projects in the physical and computer science field. (Disciplines include biology, chemistry, computing science, physics and astronomy.
PSR2	Physical Sciences Research	II	\$45,125	\$65,520	\$85,785	
PSR3	Physical Sciences Research	III	\$65,205	\$101,010	\$136,920	
PSR4	Physical Sciences Research	IV	\$92,085	\$154,245	\$216,405	
HSR1	Health Sciences Research	I	\$32,700	\$44,900	\$57,200	Positions in this job family provide expertise in the design, operation and analysis of research projects in the medical sciences. (Disciplines include animal science, biology, biochemistry, microbiology, epidemiology, zoology and in some cases chemistry)
HSR2	Health Sciences Research	II	\$49,500	\$71,800	\$94,100	
HSR3	Health Sciences Research	III	\$71,400	\$110,600	\$149,900	
HSR4	Health Sciences Research	IV	\$100,800	\$168,900	\$236,900	
X	Coaches & Librarians					

The Chancellor or his/her designee may approve exceptions of no more than 10% and \$10,000 above any salary range maximum with appropriate justification. Exceptions which exceed 10% and \$10,000 of any salary range maximum must receive pre-approval of the Board of Trustees (BOT).

Revised 6/10/2014

Spring 2014 – College of Arts and Sciences Update of Faculty Salary Increase Policies¹

Following consultation with the Deans' Advisory Committee, the College of Arts and Sciences asked each department and curricula chair to update or develop their faculty salary increase policies during the Spring of 2014. The updated policies were reviewed by the faculty and submitted to the dean's office by **Friday, April 25, 2014** and subsequently were submitted to the Office of the Provost.

The following are the principles that guided the department and curricular chairs in reviewing and preparing their unit's salary increase policies.

1. The department or curriculum chair is responsible for making salary increase recommendations, as guided by regulations and instructions from the dean. Traditionally, when making salary increase recommendations, chairs have been asked to consider factors such as promotion from one rank to another; distinguished scholarly achievement; distinguished teaching; exceptional departmental or university service; competitive market considerations; compression and equity adjustments; and the importance of individuals to your unit's overall efforts.
2. Merit considerations should be consistent with those specified in the department's personnel policies.
3. Policies should specify whether or not the department will have a merit or salary committee. Chairs hold sole responsibility for making salary increase recommendations to the dean but they should formulate those recommendations by means understood by all faculty within the department or curriculum.
4. Policies should promote the recognition of individual faculty merit.
5. Policies should promote overall qualitative improvements in the unit in the areas of teaching, scholarship or creative activity, and professional service.
6. Policies should provide general guidance to the chair, but should not be overly restrictive so that his or her judgment is unduly constrained.
7. Policies should be reviewed periodically in the unit, at least every five years.
8. Each department or curriculum should have its own written policy on salary increases and the policy must be provided to all faculty in each unit.

¹ Pursuant to the February 7, 2014 instructions to the Arts and Sciences Department and Curricula Chairs from Dean Karen Gil, College of Arts and Sciences

FACULTY SALARY POLICY
University of North Carolina at Chapel Hill
School of Dentistry
Updated 31 July 2003

There are two fundamental phases to developing salaries for faculty in the UNC School of Dentistry. These phases relate to:

- Salary level negotiated at the time of hire;
- Salary increments recommended in the years following the initial hire.

1. Initial Salary Negotiated at the Time of Hire

In the School of Dentistry, the salary level recommended for a new faculty is formalized by the Dean who recommends the new appointment, together with salary considerations, to the University. The level of salary recommended at the time of hire is based upon a consultative process with the specifically involved Chair, as well as many other considerations. These include:

- Qualifications of the new hire
- Experience
- Rank
- Responsibilities to be filled
- Administrative load
- Discipline for which the position is being recruited
- Likely grant activity
- Likely patient care activity
- Market conditions
- National/International standing

In general, when recruiting for new faculty below the level of departmental chair, the Dean takes into account the above-noted salary factors, and consults:

- The specific departmental chair about probable level of salary that may be needed to recruit successfully;
- The existing salary matrix in the UNC School of Dentistry;
- The salary information published annually by the American Dental Education Association
- Deans of other dental schools for further input into current salary norms

During employment negotiations, the Dean consults the Chair as necessary, including considerations pertaining to the salary offer. All departmental chairs receive copies of the

written terms and conditions developed for each new hire in their Department, including all details pertaining to compensation.

2. Annual Salary Increments

Annual salary increments for individual faculty members are recommended by their respective Chairs, who forward the recommendations to the Dean for further approval. Chairs and administrators reporting to the Dean constitute a unit, with the Dean as head, who administers salary increments for Chairs and administrators by the same process as Chairs do for their respective faculty.

Each year the School may be allocated state salary increment moneys based upon legislative recommendation, that is, in turn, implemented through the Board of Governors of The University of North Carolina. Traditionally, the state salary increment for University faculty may be presented as a mix of mechanisms, including: (a) defined, across-the-board or cost-of-living increases, (b) merit increases, and (c), one-time payments. For the purpose of this document, these distinctions will be ignored in the interests of exposition and coherence. Thus, the mix (if any) of mandated increment moneys will be figuratively rolled into one, and described as if it were a single bonus. The division and the allocation to departments and units of the salary increment funds received by the Dean is accomplished after setting aside a salary redistribution holdback of not more than 5% of the total to deal with redistribution and other situations described below under "Other Factors". The net allocation of salary increment funds to a Department or unit is calculated on a "share" basis, computed separately for dental and allied dental education faculty. In terms of annual process, each year any state salary increment allocated to the School, less the redistribution amount, is divided by the number of faculty in the school (dental and allied dental education separately), resulting in average increment figures we call a faculty "share". The Department Chair or unit head receives an amount of salary increment money calculated by multiplying the number of full-time salaries by the value of the share. This process, shaped, honed and polished over many years at the School of Dentistry, has served well. By definition, the process also has had the effect of working to counteract excessive faculty salary discrepancies among departments.

When determining annual salary raises, departmental chairs and unit heads are encouraged to focus on actual salary increment amounts, rather than simply percentage increases.

Chairs and units heads recommend salary increments based upon a careful, formal annual performance review of each faculty member. The evaluation process is based upon performance on three or four (if applicable) specific evaluation parameters. These are (1) Teaching, (2) Research and Scholarship, (3) Clinical Performance in Patient Care (if applicable), and (4) Service to the Department, School, University, State and various other constituencies. These four performance parameters are weighted, and are intended to reflect what we expect faculty to do in order to earn tenure and promotion, as described in the School's Promotion and Tenure Manual. The Manual, as this salary policy, speaks to both tenure and fixed term faculty.

For the Chair to accomplish the annual evaluation, faculty are asked yearly for an inventory of information focusing on: a) teaching responsibilities (didactic, patient care, laboratory); b) student evaluations of that teaching; c) examples of new teaching innovations; d) mentoring of graduate students, including dissertation committee service; e) research activities in both sponsored and non-sponsored categories; f) research publications in the refereed literature; g) other scientific reports; h) refereed abstracts; i) invited scientific presentations and lectures; j) direct patient care activities; k) service activities for the school, the university and the state; l) service activities for state and national government and scientific/professional organizations; m) service in the form of externally offered continuing dental education; n) special awards and recognition.

This evaluation process, refined over many years, results in quantitative scoring that permits the Chair to rank his or her departmental faculty. The performance review for every individual faculty member is discussed by the Chair, the Dean, and 4 Associate Deans representing Academic Affairs, Research, Clinical Affairs, and Administration/Planning. During this latter phase, modifications to the evaluation can be, and frequently are, made.

In the School of Dentistry, Chairs are held to the principle that the salary increments must not contradict the annual, formal performance review for departmental faculty. It is the role of the Dean's office to see that this principle is not ignored.

3. Other Factors in Annual Salary Increment Determinations

There are other factors that will influence decisions on annual salary increments. On occasion, these factors might become operational at non-regular times during the year. Examples of other factors that may influence the annual salary increment are:

- 1 Acceptance of responsibilities in addition to teaching and research;
- 2 Faculty retention consideration;
- 3 Changing market condition;
- 4 Inadequate or restriction in funding source;
- 5 Dealing with growing inequity situations;
- 6 Correcting salary discrimination on the basis of gender or race (this may become obvious through annual University faculty salary equity studies);
- 7 Named professorships.

By and large, consideration of other factors, together with the "shares" approach to allocating funds to departments and units, are the primary ways to reduce institutionally undesirable salary dispersion.

4. Explanation of Salary Increment to Faculty

As is customary in the School of Dentistry, each faculty member must be advised in writing of his/her salary increment, the resulting total salary figure for the academic year, and the percentage increase represented by the increment. As part of the letter, the Chair should tie the increment recommended to the work performance of the faculty member during the past 12 months, and under special circumstances, to longer-term performance (e.g., 3 years) or other mitigating factors described above.

5. Annual Review of Salaries

Salary recommendations are initiated by the Chair and are reviewed and approved by the Dean. The Dean, as well as the University Administration, apply salary reviews that seek to identify salary disparities that should be eliminated immediately, eliminated over a specified time period, or should be retained with a proper explanation for the apparent disparity (or actual lack thereof).

6. Grievance Mechanism

Faculty members who are dissatisfied with the Faculty Salary Policy, with their salary increment, or with their salary level are invited to discuss their concerns with the Dean of the School of Dentistry. If the faculty member fails to find satisfaction, he/she is then advised to appeal, using the University's established grievance procedures.

School of Education Salary Policies

Faculty

Appointments:

Beginning salary based on prior work experience, degree level, and equity within appointment rank.

Increases:

Annual Review by Dean and Associate Dean

- Annual Report submitted by individual (includes information on scholarly productivity, teaching, and service)
- Exceptional service to School initiatives
- Equity within appointment rank

EPA Non-Faculty

Appointments:

Beginning salary based on prior work experience, degree level, and equity among peers.

Increases:

- Often at the Legislative increase rate applied to SPA staff
- Equity among peers
- Outstanding performance

SPA Staff

Appointments:

Beginning salary is determined first on budget availability and approved salary offer. Factors include education, experience, and equity within the School

Increases:

- Legislative increase
- Any approved increases based on availability of funding and current UNC guidelines for awarding increases

Faculty Merit Review Policy:

(Extracted from the School of Education General Policy Manual-Revised April 12, 2013)

This section applies to tenure track faculty and clinical faculty with full-time assignment to the School. Criteria for merit salary increases will be the same as those specified for appointment, promotion, or tenure for tenure track faculty and for fixed term faculty in the School of Education APT manual (e.g., research, teaching, service, leadership). The Dean shall apply these criteria in awarding merit salary increases. Merit increases will be distinct from cost of living increases, and be distributed as: meets expectations=1 share, exceeds expectations=1.5 shares, and outstandingly exceeds expectations=2 shares. The Dean will base decisions on the annual review submitted by faculty, the annual conference with each faculty member, and in consultation with program coordinators and relevant others. At least fifteen percent of the merit pool is reserved to address equity/compression and salary anomalies (e.g., salary/rank/years of service; number of standard deviations from the mean; race and gender).

Faculty Salary Policy
Institute of Government
June 11, 1997, as amended through April 12, 1999

I. Introduction

This document constitutes the faculty salary policy adopted by the faculty of the Institute of Government to provide guidance to the Director of the Institute in making salary adjustment decisions.

Many factors bear on the decision to adjust a faculty member's salary. This policy addresses a wide range of performance categories and offers suggestions for documenting that performance. Faculty members will be required to submit two reports each year—a comprehensive activity report and a summary assessment of overall impact. It is unlikely that in any single year, a faculty member will have substantial activities to report in each category listed. The mix of responsibilities within the Institute is unusual within the University, and a policy that reflects accurately all the different kinds of work that contribute to the success of the Institute must of necessity be broad and include categories of work in which not every faculty member will have activities. The sequential listing of factors is not intended to suggest a priority of importance among the various factors.

To the extent possible, this policy uses measures that can be objectively measured. But salary determinations are only partially objective. They also involve assessments of relative contributions in different aspects of the Institute's work. That assessment must of necessity be subjective. The approach taken by this policy is to provide the Director with the best information possible to make those difficult decisions as rational and objective as they can realistically be expected to be.

The effort to emphasize objective measures does not minimize the importance of assessing the extent to which the faculty member promotes a positive organizational culture in which all these activities occur. That culture values and promotes:

- Ethical sensitivity
- Intellectual integrity
- Reliability, punctuality and responsibility in approaching one's work
- Good judgment that avoids situations that reflect adversely on the Institute or the University
- Commitment to the common good of the Institute, as reflected in a willingness to assist colleagues, teach in other colleagues' classes, working on pan-Institute projects, and doing so in a manner that promotes collegiality
- Good humor
- A demonstrated commitment to professional development

While these characteristics cannot be quantified, they are important to the successful operation of the Institute and the absence of any of these qualities should be considered by the Director in salary decisions.

II. Teaching

Teaching by faculty members will be considered in salary decisions by the director.

Objective measures. In assessing a faculty member's contributions to the teaching function of the Institute, the Director will consider objective measures such as:

- Quantity of teaching
- The number of students in the target audience who choose to participate in class offerings, reviewed over a substantial period of time
- Development of needed new courses
- Service as a mentor or other contributions to the effective teaching of other faculty

Qualitative measures. In addition to these objective ways of looking at teaching activity, the Director will make an effort to assess the quality of the teaching of individual faculty members. That inquiry may include a review of:

- The extent to which the teacher incorporates the latest information and recent developments in a field
- The extent to which the material presented reflects a careful, accurate and systematic analysis of the subject matter field in which the faculty member is teaching
- The coherence, relevance and clarity of the teacher's oral presentations and written classroom materials
- Use of audiovisual aids
- Use of innovative teaching methods
- The extent to which students are engaged by the teacher so they participate fully in the discussions
- Evaluations by students
- Peer reviews
- Emulation of the faculty member's courses elsewhere or use of the teaching materials by others

III. Consulting

Consulting by faculty members will be considered in salary decisions by the director.

The practice of consulting as it applies to the Institute of Government includes a wide range of activities. In its most general terms, it consists of the application of the professional skills of Institute faculty in trying to meet the needs of one of the Institute's clients other than by teaching or publications. Consulting may be intensive and last a long period of time or may involve only a brief contact.

Examples include service as legislative or study commission counsel; conducting retreats; handling phone inquiries or other communications; drafting legislation, rules, ordinances or policies for clients; conducting research on issues on governance, administration or matters in litigation; providing mediation services to governments in conflict; providing staff support to governments proposing consolidation of services or to groups seeking to incorporate a municipality; working with managers and governing

boards to change the organization's culture; and service on committees addressing matters of public concern.

Objective measures. In assessing a faculty member's contributions to the consulting function of the Institute, the Director will consider objective measures such as:

- The quantity of the activity or activities, both in terms of scope of projects undertaken, as well as in overall numbers of consultations
- Tangible work products produced as a result of consulting efforts

Qualitative measures. In addition to these objective ways of looking at consulting activity, the Director will make an effort to assess the quality of the consultations of individual faculty members. That inquiry may include a review of:

- Client evaluations
- Peer reviews (if available)
- Emulation by others of the methods, materials, or approaches taken in the consultations
- Special innovations in the manner or approach taken to providing consulting services
- The extent to which the clients served or their colleagues return to the faculty member for future consultations, measured over a substantial period of time.
- Any awards or other recognition received by the project as a result of the consulting effort

IV. Writing and Publishing

Writing and publishing activities will be considered in salary decisions by the Director. In considering the writing activities of a particular faculty member, both work on writings in progress and the publication of a completed work (in many cases, some of the research and writing on the completed work will have been done in earlier years) will be considered, but emphasis will be placed on works completed in the year for which the salary decision is being made. The range of writing and publishing activities that Institute faculty members engage in is very broad. Writing activities may involve publishing of a substantial book in which the faculty member is the sole author. Sometimes such books involve research and writing by two or more faculty members or other authors. Writing activities may also involve issuance of memoranda, bulletins, or monographs.

Sometimes the writing involves work which is not formally attributed to the faculty member. Examples of that kind of writing include bench books, reports of committees or commissions, substantial revisions to General Statutes, local ordinances or policies, and similar kinds of writing. This kind of writing can also be characterized as consulting. The designation is not as important as the quality and scope of the effort required to produce the work product.

Objective measures. In assessing a faculty member's contribution to the writing and publishing function of the Institute, the Director will consider objective measures such as:

- The number and scope of publications and other writings produced in the year in which the salary decision is to be made
- Published evaluations of written work

- The extent to which the written work is reproduced or cited in other published works or other public records
- Works that are in progress
- Works in which the faculty member serves as editor

Qualitative measures. In addition to these objective ways of looking at writing and publishing activity, the Director will make an effort to assess the quality of the writing of individual faculty members. That inquiry may include a review of :

- The coherence, clarity, and relevance of the written works
- Awards and recognition of the quality of the work by entities other than the Institute
- Special innovations in the presentation of material in published form
- The extent to which the written material reflects original research and creative approaches to existing issues
- The extent to which the written material reflects a careful, accurate and systematic analysis of the subject matter field in which the faculty member is writing

V. Service to the Institute of Government

All the activities of the faculty of the Institute of Government contribute to the improvement of public service in North Carolina. That is the context in which most departments assess an individual faculty member's "service". This category deals with the kinds of service that contribute to the improvement of this institution. The work described here is generally not related to the person's substantive fields of work. Later categories deal with similar efforts to improve the university or one's profession as a whole.

In assessing the degree to which an individual has "served" the Institute of Government, the Director will consider the extent to which the individual participates in the following kinds of activities and the extent to which that participation contributes to the Institute:

- Editing a regular publication of interest to readers in fields other than the faculty member's substantive field(s) (*Popular Government/LRS* are examples)
- Administration of, or assisting the administration of, a program for traditional students unrelated to the faculty member's substantive fields (e.g. intern program)
- Assumption of responsibility for a major course that includes areas outside the faculty member's substantive fields (e.g., municipal/county administration)
- Chairing or serving on a committee that takes a substantial commitment of time and effort
- Assuming responsibility for multi-author publications that serve several client groups
- Assuming responsibility for other administrative projects or assuming general management responsibilities within the Institute
- Any other similar service to the Institute

VI. University Service or Service to the Profession

In the same way that service within the Institute contributes to the effective functioning of the Institute, service to the University and to one's profession also contributes to the improvement of public service in this state and elsewhere.

In assessing the degree to which an individual has "served" the University of North Carolina or one's profession, the Director will consider the extent to which the individual participates in the following kinds of activities and the extent to which that participation contributes to the improvement of the institutions served. That inquiry may include a review of:

- Service as chair or member of committees on this campus or within one's professional organizations
- Working on projects sponsored by the University administration, either on this campus or in General Administration, which are not otherwise a part of the Institute's responsibilities
- Any other service that is relevant to the work of the University or to one's profession
- Service in a leadership role in a professional organization

VII. Significant Career Markers

The Director will consider significant career markers in making salary decisions. Those significant markers include but are not limited to reappointments, promotions, tenure, professional honors or awards that reflect either career or specific achievements, university-wide awards, or election to boards of, or other leadership roles in, national associations.

IX. Impact

Finally, the director will, to the extent that such information is available, consider evidence of any impact the faculty member's work has on the subsequent professional conduct of the clients served. In making this assessment, the Director must assess the extent to which the particular circumstances of a faculty member's relationship to the clients make that kind of evidence likely to be available. It is recognized that this is the most difficult kind of assessment to make, since the work of the faculty member is at best one factor in the determination of how adult learners will conduct themselves. This assessment is complicated further by the Institute's principle of nonadvocacy, since the role of the Institute faculty member is often not to suggest that a particular course of action is to be taken, but is instead to provide an improved basis for the public official to make his or her own judgment.

The fact that impact is difficult to assess and that the information to do so is not always available does not diminish its importance as the highest indicator of the effectiveness of Institute work. Each faculty member should assess whether it is possible to determine the impact of his or her professional activities. A discussion of that assessment should be included in any regular meetings with the Director.

X. Other Factors considered in setting salaries

In addition to the factors already listed, in some instances adjustments need to be made for other purposes. These adjustments are most often made after tentative decisions have been made using the criteria already listed. The factors that most often fall into this category are:

- Equity (some examples are salary differentials that are otherwise difficult to explain that may be the result of discrimination, changing market conditions, or unusually low funding in previous years that worked to the disadvantage of individual faculty members at times of unusual productivity, publications of major works or significant career markers)
- Salary compression
- Impacts of market pressures

XI. Factors not considered

The following factors have no relevance to one's fitness to receive a salary increase, and accordingly are not considered by the Director in making salary decisions:

- Whether the person's Institute work generates revenue
- Personal income, family income, or resources from sources other than the Institute
- Family and other personal obligations or needs
- Leaves of absence
- The source of funding for a person's salary

XII. Annual Reports

Comprehensive Activity Report. To assist the Director in making informed decisions, each faculty member must annually prepare a comprehensive faculty activity report. This comprehensive report must cover the activities developed and listed in this policy (Section II through VII) and the report must be submitted at a time and in a format to be prescribed by the Director. This report should provide a reasonably comprehensive view of individual faculty activities—collectively the reports provide the best information about the total work of the Institute.

Summary Assessment. Each faculty member must also submit a separate report no longer than two pages that assesses the impact of his or her work during the last year. The summary assessment should describe what a faculty member was trying to accomplish (either broadly or in a field or with a particular activity) and then speculate about his or her level of success. It should offer a critical evaluation of a person's work and its impact. The summary assessment may also describe the relationship between past work and future plans. The reports should not summarize the activities contained in the comprehensive faculty activities report.

The Director will then make salary decisions in the short time typically allowed for such decisions based on these reports and all other relevant information, available at the time the decision must be made. That information may include reports of advisory committees appointed for junior faculty members, ad hoc promotion review committees, as well as other sources of information to which the Director may have access.

XIII. Role of Faculty Salary Committee

The Faculty Salary Committee was elected to implement the May 1, 1996 directive of Chancellor Hooker that a committee consisting of faculty members elected by their colleagues be established to "share with you (deans, directors, etc.) responsibility for seeing that each officer of administration who initiates salary recommendations has on file faculty salary policies that are consistent with the Council's recommended principles and implementing mechanisms." The Chancellor's directive also provides that each committee is:

to hear issues concerning the policies or their implementation. I ask that in establishing its committee, your faculty clearly specify the jurisdiction to be assigned to the committee and how it may be invoked, bearing in mind the . . . jurisdiction of the Faculty Grievance Committee.

In accordance with those directives, the committee will meet with the Director annually shortly after salary decisions are made to review the policies and the extent to which they continue to provide appropriate guidance to the Director. In addition, the committee is available to meet with the Director or any faculty member to discuss interpretations of the existing policy, or proposed changes to the policy.

The committee does not have jurisdiction over disputes about an individual's salary. Those disputes are to be handled by the individual involved and the Director. If the dispute cannot be satisfactorily resolved at that level, the appropriate remedy is for the individual to file a grievance with the Faculty Grievance Committee.

If as a result of its annual meeting with the Director, or as a result of a special meeting with the Director or an individual faculty member, or on its own motion, the committee believes that amendments to the policy are appropriate, the committee may propose the amendments to the faculty for discussion and possible adoption.

No amendment to the policy is effective until approved by majority vote of the faculty, and the faculty may vote to amend the policy at any time, on motion of any member of the faculty.

XIV. Election procedures

The faculty salary committee as initially constituted has two members serving two year terms which will expire on November 30, 1998 and two members serving three year terms expiring November 30, 1999. At the expiration of those terms successors will be elected to serve three year terms.

The secretary of the faculty is responsible for insuring that elections are held in the month before the terms of office expire. Notice must be given to all eligible faculty members that they may nominate themselves or another faculty member (whose willingness to serve the nominator has been previously confirmed) for the committee. The secretary must specify a time period during which the nominations are open, and that period must be at least six business days. The secretary must send a ballot by e-mail no later than two business days after the nominations are closed, and allow at least six business days for ballots to be returned.

Each faculty member may cast two votes, and may cast no more than one vote per named candidate. The secretary and the Associate Director for Programs shall count the ballots. The two candidates with the highest vote totals are elected. If three or more candidates tie with the highest number of votes or if there is a tie for the second slot, the secretary shall conduct a runoff election following these procedures as closely as is practicable. The secretary shall announce the winners as soon as possible.

Only faculty members who are classified as voting faculty by the Faculty Code and the Institute Librarian may vote in this election or on adoption of, and subsequent changes to, the salary policy.

XV. Effective date

This policy is effective June 11, 1997 and remains in effect until amended as provided by Section XIII of this policy.

FACULTY SALARY POLICY

1. The Dean determines the faculty salaries in the School of Information and Library Science by taking into account the following factors:
 - a. both long- and short-term indicators of merit;
 - b. multiple criteria of merit, including teaching, research, service, and participation in the life of the School. The Dean's request for documentation for the annual review will be made in early April. Evidence will be provided by the faculty members' curriculum vitae, annual report, and teaching evaluations; following the request and due at an appropriate time specified by the Dean.
 - c. attention to actual salary levels, not only percentage amounts of increases;
 - d. inequities resulting from changing market conditions, inadequate funding, compression due to disparity between internal rates of increase and competing offers, and any other inappropriate disparities;
 - e. for faculty members who also serve as administrators, excellence in performance of administrative duties, with regard to the portion of salary not attributable to regular faculty duties.
2. The faculty will elect a committee of four, one from each rank of assistant, associate, and full professor, and one from the fixed-term faculty. Each member shall serve three years. The terms of appointment are such that each year at least one member of the committee rotates off. In the event that a member goes on leave, receives a promotion, or is otherwise unable to finish his or her term, a special election shall be held to fill the unexpired term. For all elections, the continuing members of the committee will call for nominations by the faculty. The two faculty members receiving the most nominations will be the candidates for the election.
3. The committee:
 - a. shall ensure that the written salary policy is on file and is available for convenient review by the faculty;
 - b. will receive from the Dean normally by October 1 of each year a list of all faculty members, their salary increases and percentage increases for the current fiscal year;
 - c. may review salary increases and may consult the Dean about any trends that do not appear to follow the written salary policy;
 - d. may indicate to the Dean any perceived inconsistencies;
 - e. will appraise the Dean's performance in implementing salary policies for which she/he has direct administrative responsibility as part of the regular evaluation of the Dean.
 - f. will report to the faculty the results of their review.

4. The committee and the Dean invite faculty members to submit at any time comments and recommendations on the overall salary policy. Formal and informal discussion are appropriate in regard to development and refinement of the School's faculty salary policy.
5. At a faculty meeting every other year, the faculty will review the written faculty salary policy to determine whether revisions in the policy are needed. In the interim the Dean and the committee may consult to determine whether changes in the School policy are needed. Suggestions will be brought to the faculty. Any revisions in the policy will be voted on by the faculty.
6. Each faculty member is encouraged to discuss with the Dean on an individual basis his or her progress relating to merit factors. Junior faculty shall meet with the Dean semi-annually to discuss performance expectations and goals. All faculty shall meet with the Dean during the academic year for an annual review. A portion of the annual review should be devoted to the discussion of progress relating to merit factors. Any faculty member who has a specific complaint about his/her salary adjustment should follow the established University grievance procedure.

Passed unanimously, without dissent, at the School's general faculty meeting on Sept. 20, 1996:

School of Journalism and Mass Communication Faculty Salary Policy

The School is committed to conducting fair evaluations of faculty members with criteria applied evenly and to ensure that salary allocations are justified on the grounds of merit and/or equity.

1. The dean determines faculty salaries in the UNC-CH School of Journalism and Mass Communication by taking into account the following factors:
 - a. Both long- and short-term indicators of merit;
 - b. Multiple criteria of merit, including scholarship, teaching, service, innovation, creativity and participation in the life of the School as evidenced in materials such as the faculty members' curriculum vitae, the School's annual report and teaching evaluations ;
 - c. Attention to actual salary levels, not only percentage amounts of increases;
 - d. Inequities resulting from changing market conditions, inadequate funding, discrimination (if any), compression because of disparity between internal rates of increase and competing offers, and inappropriate disparities arising from other sources;
 - e. For faculty members who also serve as administrators, such as associate deans or chairs of special programs, excellence in performance of administrative duties with regard to the portion of salary not attributable to regular faculty duties;
 - f. No discrimination on the basis of tenure track, be it professional or research.
2. The faculty will elect a committee of four faculty members at a regularly scheduled faculty meeting in spring 1997 to serve as the first committee. The first year two members will serve one year and two members two years. Every year after the first year, two new members will be elected. Each member will serve two years; the term will begin July 1 each year. The committee will elect its own chair.
3. The committee:
 - shall ensure that the written salary policy is on file and is available for convenient review by the faculty.
 - will receive from the dean by Oct. 1 of each year a list of all faculty members, their salary increases and percentage increases for the current fiscal year.
 - may review salary increases and may consult the dean about any trends that do not appear to follow the written salary policy.
 - after consultation with the dean may indicate to the dean any perceived inconsistencies but will not serve as an inhouse grievance committee.
 - will keep on file up-to-date information about salaries at peer universities and in Arts and Sciences and in other professional schools on the University campus.
4. The committee and the dean invite faculty members to submit at any time comments and recommendations on the overall salary policy. Formal and informal discussion are appropriate in regard to development and refinement of the School's faculty salary policy.
5. At the faculty meeting where committee members are elected each year, the faculty will review the written faculty salary policy to determine whether revisions in the policy are needed to ensure that it remains consistent with general faculty salary principles in effect within the University as a whole. In the interim the dean and the committee may

consult to determine whether changes in the School policy are needed. Suggestions will be brought to the faculty. Any revisions in the policy will be voted on by the faculty.

6. Each faculty member is encouraged to discuss with the dean on an individual basis his or her progress relating to merit factors. Any faculty member who has a specific complaint about his/her salary adjustment should follow the established University grievance procedure.



UNC
KENAN-FLAGLER
BUSINESS SCHOOL

Memo To: Stephanie Thurman, Office of the Provost, CB 3000
From: John P. Evans, Interim Dean *John P. Evans*
Date: December 10, 2013
Subject: Faculty Salary Policy for Kenan-Flagler Business School

The purpose of this memorandum is to describe the procedures and processes that Kenan-Flagler Business School uses to establish faculty salaries.

Initial Salary

For a new hire faculty member the initial salary is based on the individual's qualifications (e.g. educational preparation, productivity and accomplishments in research, teaching, and service, professional experience, and national or international standing), the rank at initial hiring (e.g., holding a named professorship), administrative load, teaching load, equity considerations within the School, market conditions, and other relevant factors. The Senior Associate Dean leads all salary negotiation efforts for the school.

Annual Reviews

Kenan-Flagler Business School assesses all salaries during the annual review process, which occurs in May and June of each year. The school uses a standard format for annual reporting of performance on areas of research, teaching and service. Materials are submitted to the Senior Associate Dean's Office and include: a vita and a summary of his/her activities over the last two years; a list of courses s/he will teach during the upcoming academic year, and specific research and teaching goals for the next year. The Senior Associate Dean meets with area chairs in an overview meeting to review faculty performance in their area. The Senior Associate Dean and the area chair meet with each faculty member to discuss the assessment of his/her performance. The Senior Associate Dean then prepares a written evaluation and sends to the area chairs for input. Once finalized, the written evaluation is sent out to each faculty member.

Salary Adjustments

An annual performance assessment is a key factor in salary setting considerations. Other factors include, but are not limited to, the following: retention concerns, changes in either teaching or administrative responsibilities, salary compression/area equity, promotions, and market changes at peer institutions. The school uses AACSB survey data as a source of market data for comparative salary information at peer institutions. These survey data include the distribution of salaries by

academic area and rank, and can be obtained for groups of business schools that also differ in ranking. These data change each year.

Contingent on the availability of funds and based on the applicable salary setting guidelines/requirements for that year, the Senior Associate Dean develops salary recommendations considering all factors specified above, along with input from the Area Chairs. The Senior Associate Dean presents these recommendations to the Dean, and works with the Associate Dean of Business and Operations to implement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Each faculty member receives his/her new salary amount in writing.

UNC Law School Faculty Salary Policy

1. Faculty salaries at the UNC School of Law are set by taking into account *inter alia* the following factors:
 - a. Both long and short term indicators of merit
 - b. Multiple criteria of merit (including scholarship, teaching and service)
 - c. Attention to actual salary levels, not only percentage amount of increases
 - d. Inequities resulting from changing market conditions, inadequate funding, discrimination (if any), compression due to disparity between internal rates of increase and competing offers, and inappropriate disparities arising from other sources.
 - e. For faculty members who also serve as administrators, excellence in performance of administrative duties with regard to the portion of salary not attributable to regular faculty duties.
2. Salaries are set by the dean, at his or her discretion, taking into account the factors identified in paragraph one of this policy. The dean periodically invites faculty members to submit comments and recommendations concerning the overall salary structure and strategies for appropriate allocating of available salary funds. The dean also encourages each faculty member to discuss on an individual basis the progress of the faculty member relating to merit factors and the mission of the law school during annual meetings between faculty members and the dean held each spring and summer.
3. Each fall, following authorization by University authorities, the dean distributes information to all permanent members of the law faculty about the general basis on which salary increases were allocated and a list of faculty salaries for the coming academic year. The dean also entertains comments and questions from faculty members about this information upon request.
4. The dean, in consultation with the faculty, is responsible for formulating a written policy to guide recommendations for faculty salaries and salary increases. Consultation between the dean and the faculty regarding the development of law school salary policy takes place through both formal and informal meetings with individual faculty, and on a group basis through discussion without formal voting at such faculty meeting as are considered appropriate by the dean and the faculty.

**Faculty Salary Policy
UNC-Chapel Hill School of Medicine
April 2004**

GENERAL. The School of Medicine philosophy towards setting faculty salaries is grounded in the concept of reward for meritorious service, in all aspects of the School's mission. Factors such as longevity (time in rank) play a relatively minor role, and impermissible factors such as gender, ethnicity, age, or marital status, are viewed as having no role to play in salary determinations. To the extent permitted by available financial resources, all Departments are expected to work towards or maintain average salary profiles by academic rank that approximate mean salaries by rank and discipline at all U.S. medical schools. This in no way implies, however, that individual faculty have an entitlement to any given salary level.

PROCESS. Establishing the salary level of newly hired faculty and recommending salary adjustments in subsequent years is a core responsibility of Department Chairs in the School of Medicine. Financial resources permitting, Chairs are expected to maintain salary patterns that are sensitive to the discipline-specific labor market; enable the recruitment and retention of high quality faculty; and promote good morale and sense of fair treatment amongst the faculty. The Chairs annually recommend salary levels for their faculty to the Dean for review and endorsement. Following annual approval of faculty salary recommendations by the UNC Board of Governors, Chairs are expected to formally notify faculty individually of their total annual salary for the fiscal year in question. Faculty members who may have concern about their salary level are encouraged first to seek clarification from their Division Chief and/or Chair; if unsatisfied with this step, continuing concerns may be communicated to the Dean for further consideration. Faculty also may communicate salary concerns to the School's faculty salary equity review committee (see below).

CRITERIA. The factors to be considered by Chairs in making faculty salary recommendations are expected to vary according to the primary duties assigned to the faculty member. These performance expectations are outlined at the time of initial faculty appointment, and are adjusted periodically thereafter to reflect both the changing interests of the faculty member and the programmatic needs of the Department. Chairs are expected to objectively assess each faculty member's actual accomplishments/productivity against each individual's performance expectations not less often than annually, and to provide direct feedback to each faculty member in conjunction with salary adjustment recommendations. Where applicable, Chairs' salary recommendations will include consideration of teaching effectiveness; scholarly accomplishments as measured by peer review processes (i.e., extramurally-funded grants and contracts, publications in refereed journals); success in securing extramural support via grants, contracts, and/or clinical service receipts; professional recognition via election or appointment to recognized national or international organizations; exemplary clinical services activity; good citizenship through service to the Department, School, or University; salary adjustments necessary to assure desired retention of faculty members under recruitment by others; and internal equity among groups of otherwise similarly-situated individuals in the Department.

SALARY EQUITY REVIEW. For over twenty years the School of Medicine has employed a faculty-led process for the annual review of the salaries paid to all full-time and part-time faculty. Recently modified in form, the School's current committee is comprised of six non-Chair senior faculty (four female, two male). Using comprehensive internal salary data and published external benchmarking data, the committee scrutinizes the salaries of all faculty in all 27 Departments with the aim of identifying instances of potential salary inequity amongst like subsets of faculty (e.g., assistant professors with M.D. degree, associate professors with other doctoral degrees). Should such cases arise in a particular Department, they are brought in writing to the attention of the concerned Department Chair and the Dean. The Chair is required in turn to respond in writing to the Dean, providing explanation/justification for the salary in question or the Department's plan for remedying any instance of salary inequity. Any such salary adjustments must be reflected in the Department's financial planning for the following fiscal year.

UNC-Chapel Hill School of Medicine CLINICAL FACULTY COMPENSATION PLAN

January 1996

Revised - January 2001, June 2006, July 2008, April, 2009

I. Introduction

Because academic health centers and the US health care system continue to evolve in complex and often contradictory ways, more than ever a flexible clinician faculty compensation methodology is essential. An effective Clinical Faculty Compensation Plan (“the Plan”) requires flexible implementation of remuneration, allowing for timely alterations in the form of both increased and decreased compensation as changing financial conditions dictate or allow.

Since the prevailing salary levels of clinical faculty result from the unique clinical earning capacity of physicians and other clinicians, such salaries must be responsive in turn to the current revenues available to the clinical departments of the School of Medicine. In order to cope with existing and anticipated changes in reimbursement, it is essential that alterations be made in the way in which clinical faculty salaries are paid within the School. A system must be instituted which allows the School to alter salaries sufficiently to respond to changing economic conditions. Of equal importance, since most of the income in the School of Medicine is based on clinical receipts and research grant and contract awards rather than on appropriated state dollars, there must be an ability within the faculty compensation system to reward adequately the most highly productive members of a department.

This Plan updates and refines the Clinical Faculty Compensation Plan approved by the Board of Governors in January 1996, and revised in 2001. The Plan’s goal is to maintain the long term financial solvency of the UNC School of Medicine while encouraging excellence in teaching, research, clinical service and administration through incentive mechanisms. Recognizing that the departments within the School of Medicine may vary both in culture and in the type of health care services provided, the Plan allows an individual department to choose from a menu of clinical compensation strategies the approach that works best for that department.

II. Plan Summary

Each clinical faculty member will have a guaranteed base salary, set as described below. The faculty member will have total compensation that will consist of (1) the base salary and (2) a productivity component. The productivity component will be derived based as applicable on consideration of historical personal clinical productivity and on productivity in non-clinical duties such as research, teaching, administration and service. The total compensation may be increased or decreased from year to year based on either the individual's personal clinical productivity, on the individual's performance in teaching, research, clinical service and administration, and on the overall financial status of the department, and shall be consistent with the Board of Governors salary policies.

III. Faculty Covered by Plan

This Plan is designed to apply to all faculty members in School of Medicine clinical departments who are engaged in patient care, including fixed-term clinical faculty where consistent with the terms of their letters of appointment.¹ Compensation for non-clinical faculty appointed to clinical departments who are not covered by this Plan shall be determined as provided by the School of Medicine Basic Science Faculty Compensation Plan. However, for special categories of faculty employee, including but not limited to visiting faculty, part-time faculty, and faculty who are hired on the assumption that their employment will be temporary, a Chair may, with approval of the Dean, determine at appointment that the faculty member's compensation will be determined independent of the provisions of this Plan or of the School of Medicine Basic Science Faculty Compensation Plan.

Where a faculty member's duties have changed sufficiently, he or she may with agreement of the Chair convert from this Plan to the School of Medicine Basic Science Faculty Compensation Plan, or from that plan to this Plan (subject to the foregoing provision regarding employees such as part-time, visiting and temporary faculty members). In addition, an individual department may provide that faculty members engaged in patient care at less than a minimum threshold over a specified period, as specified in the departmental implementation plan, may be removed from clinical assignments and declared ineligible for coverage by this Plan. In such cases the faculty member's base salary may be adjusted to reflect his or her assigned duties. He or she will otherwise be eligible for productivity-based compensation as determined under his or her home department implementation plan. Reinstatement of the faculty member to clinical duties and to coverage by this Plan shall be within the discretion of the Chair.

¹ Effective immediately, appointment letters for School of Medicine fixed term faculty shall include a statement that their compensation shall be set as provided by the applicable School of Medicine compensation plan.

IV. Plan Components

A. Overview of Components

Each clinical department faculty member subject to the Plan will have a total annual compensation for the fiscal year comprised of two components: the base salary and the productivity components.

The base salary will be effective for one fiscal year, will be determined during the annual budget process by Chairs (or their designees) with the agreement of the Dean, and will be established for the fiscal year subject to conformity with the University's Board of Governors salary policies.² The base salary will be based on the previous year's earnings and expenses of each department and/or division or other operating unit, and on the individual faculty members' productivity and excellence in teaching, clinical performance, research and administration. Information describing the charges for each covered faculty member will be supplied quarterly by the UNC P&A to the Chair of each department to aid in the determination of clinical productivity.

The Department Chair will inform the faculty member in writing of his or her base salary for the upcoming fiscal year once that salary has been approved in writing by the Dean. Changes in the base salary will not be processed without documentation that the Dean has approved the salary.

The base salary component may consist of any appropriate combination of state appropriations, income from contracts and grants, AHEC salary support, endowment or other trust fund income (including funds allocated for approved academic leave), and funds from clinical income and shall be calculated in accordance with the parameters set forth in Section IV B, below. The productivity component may consist of any appropriate combination of income from contracts and grants, AHEC salary support, endowment or other trust fund income (including funds allocated for approved academic leave), and funds from clinical income, but adjustments in the productivity cannot be based solely upon receipt of or termination of a federally sponsored research grant. The productivity component shall be calculated in accordance with the parameters set forth in Section IV. C., below. State appropriated funds generally will not be included in the productivity payment component.

In addition to the base salary and productivity components, where funds are available the School may award faculty members subject to this Plan an annual, non-recurring bonus. As determined by the Dean, such bonus compensation may be paid in equal amounts to all faculty members subject to this Plan, or it may be set by reference to

² The Board of Governors annually approves salary caps for School of Medicine clinical faculty, by department. Faculty salaries cannot exceed the stated caps without permission of the General Administration.

merit criteria defined at the beginning of the fiscal year by the Dean upon approval by the Office of University Counsel.

Total compensation to any faculty member in any fiscal year, including any supplements, will not exceed the salary ceilings approved by the Board of Governors of the UNC System. **In no event will any component of faculty compensation be set by taking into account the volume or value of referrals made by the individual faculty member to the University of North Carolina Hospitals or to the School of Medicine for ancillary services.**

B. Base Salary

The base salary can be increased or, with approval of the Dean, it can be adjusted downward, but it cannot be adjusted below the minimum base salary. The minimum level to which a base salary may be reduced will be set uniformly by academic rank throughout the clinical departments in the School of Medicine. When it is anticipated that a faculty member's base salary will be reduced, the chair will write the faculty member to inform him or her of the planned reduction and the basis for same, and the faculty member shall have a period of not more than twenty calendar days from the date of the chair's notice to submit a written response stating why the proposed reduction is unwarranted. The chair and Dean will consider information provided by the faculty member in making final base salary determinations.

This minimum salary level will be set uniformly by academic rank throughout the clinical department faculty, and will be adjusted at least every three years based in part on changes in state EPA salary dollars provided to the departments during that time. The minimum salary level will be prorated where a faculty member is appointed for less than full-time effort.³

C. Productivity Component

The productivity component should reflect an assessment of the faculty member's clinical productivity and as applicable his or her productivity in teaching, research, administration and service. Faculty who serve as directors of centers or institutes internal to the School, or as department chairs will be eligible for a variable component enhancement in their administrative supplements for such service, under separate criteria and procedures developed and administered by the Office of the Dean.

³ As of June, 2006, each faculty member already subject to this Plan was to receive his or her current minimum salary, which could not be increased until it was equaled by the minimum salary for faculty members of equivalent rank.

1. Initial Productivity Component

For faculty members hired following adoption of this Plan, the Department Chair will determine an initial productivity component based upon consideration of the faculty member's projected clinical productivity and of the availability of funds other than those allocated to paying base salary for the faculty member, such as sponsored research grants and contracts, start-up funds, endowed professorship funds, etc.

2. Subsequent Calculation of Productivity Component

Each departmental plan will provide for determination of the Productivity Component of a clinical faculty member's total annual compensation by adjusting the faculty member's Initial Productivity Component (and in subsequent years the faculty member's current Productivity Component) through:

(a) Calculation of a Non-Clinical Activities Productivity Component, taking into account the faculty member's productivity and merit, in the calendar year preceding the year during which the assessment is made, in research, teaching, administration⁴ and service, as applicable, as compared with past performance and in light of the standards of the department; and

(b) Calculation of a Clinical Productivity Component arrived at by consideration of the faculty member's clinical productivity based on measurable criteria. Such criteria may include increases in productivity compared with the last three years' average, on rank in productivity compared with peers, as set out in Appendix A to this Plan, or another methodology adopted in an approved departmental plan adopted pursuant to Article V below.

The Productivity Component will be paid not more frequently than quarterly, and may not be paid unless the individual faculty member has met or exceeded productivity goals defined in advance by the chair consistent with the departmental implementation plan. In all cases, the formula whereby the Productivity Component will be calculated must be set out in advance of the fiscal year for which such payments are to be made. Department Chairs' (or their designees') recommendations to provide productivity payments must be approved in advance by the Dean, taking into consideration the current overall financial condition of the department or other operating unit.

3. Reductions in Productivity Component

A faculty member's Productivity Component may be reduced where, under the methodologies adopted by his or her department, the faculty member's productivity in the period used by the Department or Division to evaluate productivity is determined to have decreased. A chair may, in his or her discretion, recommend that the Productivity Component not be reduced in light of mitigating circumstances to be set forth in detail

⁴ This productivity component shall not be based upon productivity in administrative duties as a chair or as a center or institute director, which are to be compensated through a separate policy and procedures.

in a memorandum to the Dean. In such cases the Dean shall make the final decision regarding whether to reduce the faculty member's Productivity Component.

D. Department- or Division-Wide Salary Reductions

Because of departmental or divisional financial conditions, the Department Chair with approval of the Dean may lower the total base salaries for all faculty members covered by the Plan in the department or in a specific division of the department by not more than fifteen percent (15%) of their then-current total base salaries. Such adjustments must be made at the same rate for all affected faculty members.

V. Departmental Implementation Plans

Each department of the School of Medicine having faculty subject to this Plan shall adopt a departmental implementation plan setting out the department's specific approach to implementing the compensation arrangements authorized by this plan. As appropriate, divisions within departments may adopt their own plans, subject to approval by the Chair. Each departmental or divisional implementation plan should spell out in reasonable detail the criteria to be followed in establishing individual faculty members' total annual salary. No departmental or divisional implementation plan, or any amendment of such a plan, may take effect unless first approved by the Office of University Counsel and the Dean. The Chair of each department shall be responsible for implementing the departmental and divisional implementation plans and shall inform the department's faculty in writing of these criteria and methodologies not less often than annually.

VI. Departmental Reserves

Departmental reserves are essential to the financial viability of the School of Medicine and it is the responsibility of the Dean of the School of Medicine and his designees to monitor departmental finances and intercede if a department appears at risk of financial insolvency.

As a general guideline, departments should strive to maintain reserve balances equal to three months of UNC P&A operating expenses, based on the most recent fiscal year, and it is the goal of institution that the average for all departments will be at this level. It is expected that reserve balances will be higher in some departments than others based on many factors, and that over time the relative levels of departmental balances may change.

There may also be circumstances in which a department uses its reserves to fund program development. It shall be the responsibility of the chair to report issues of financial concern to the Dean, when requested and as frequently as on a monthly basis. If a department is deemed to be in financial exigency, the Dean, or a committee he appoints, together with the President and COO of UNC P&A, will develop a plan for financial recovery, together with the chair of that department.

Under certain circumstances a Chair may determine that it is in the best interest of a department and the School to allow the department to operate for a limited period of time with a trust fund balance which is below the minimal desired reserve without adding funds to the reserve, or further depleting the reserve, or to run a deficit budget when there are adequate funds to support the deficit. This can be accomplished after a detailed budgetary justification including specific measures aimed at extricating the department from its deficit spending posture, has been presented to the President and COO of UNC P&A, and subsequently approved by the Dean.

VII. Special Situations

If there is disagreement between a faculty member and Chair regarding the annual salary established for that faculty member, and all reasonable efforts have been made by the faculty member to reconcile the difference of opinion within the department's or other operating unit's customary dispute resolution procedures, the faculty member can appeal to the Dean. At the Dean's discretion, appeals will be evaluated either personally by the Dean or by a committee established by, and advisory to, the Dean. However, disagreements between a faculty member and a Chair over across the board salary alterations within a department or division, which are based on overall departmental or divisional financial performance, cannot be appealed under these provisions. Nothing herein in any way deprives any faculty member of any grievance or appeal rights otherwise available to all faculty members under University faculty policies, including the Trustees Policies and Regulations Governing Academic Tenure at UNC-CH.

VIII. Salary Adjustment Procedures

Approval of this Plan by University authorities signifies explicit authorization for adjustment of individual faculty members' total compensation payments by Department Chairs (or their designees) as described above, if and as warranted. No separate process shall be required for advance approval by the University or the Board of Governors of downward salary adjustments, either individually or on a departmental or divisional basis. Upward adjustments will be congruent with the Board of Governors salary policies, but otherwise shall not require advance approval. Any salary adjustments as may be implemented shall be reported annually to the Chancellor and the President following the close of the fiscal year. All aspects of clinician faculty salary administration in the School of Medicine shall be fully in accordance with the Rules, Regulations, and Policies of the Division of Health Affairs of UNC-Chapel Hill ("Health Affairs Code").

Each year during the budget planning process for the following fiscal year, each chair will make a projection of the total funds expected to be available for faculty salary compensation in the coming fiscal year. The chair will recommend to the Dean a proposed split of salary for faculty subject to the Plan between base salary and productivity component payments.

SAMPLE METHODS FOR EVALUATING CLINICAL PRODUCTIVITY

(i) **WRVU Production-Based Methodology.** This methodology compares work relative value units (WRVU) generated by the faculty member for the Index Year, which shall be the calendar year preceding the year during which the computation is made, with an average of the preceding three years' WRVU for the faculty member. By way of illustration, a faculty member's WRVU data for the period January 1—December 31, 2007 would be compared with the average of his or her WRVUs for the calendar years 2004, 2005 and 2006 to determine the clinical portion of his or her Productivity Component for the Fiscal Year beginning July 1, 2008.

A grouping and dollar paid for the variance are assigned as follows (Clinicians with 0-100 WRVU production in the most recent fiscal year are excluded from the guideline):

Grouping	Index Year WRVUs variance	Dollar paid per WRVU
1	<500	\$5
2	500-999	\$10
3	1,000-1,999	\$15
4	>2,000	\$20

To calculate the clinical portion of the Productivity Component, the dollar value per WRVU is multiplied by the variance between the Index Year and the three-year average of WRVUs. Clinicians who demonstrate no increase in the Index Year do not qualify for an increase in the clinical portion of the Productivity Component and may be subject to salary reduction (see below). Only increases over \$1,000 will be awarded because of the administrative cost of processing small dollar increases. The maximum possible increase will be \$50,000, in order (1) to offset the effect of high production augmented by output from residents or physician assistants or of billing issues that inflate the production of the clinician and (2) to avoid undue financial hardship for departments.

Clinical productivity of clinicians with less than three years of WRVU data will be assessed by other mechanisms consistent with this Plan.

(ii) **Medical Group Management Association (“MGMA”) Comparison Methodology.** This methodology compares the clinician to his/her peers through a calculation of performance compared to maximum performance reported in the MGMA data (90th percentile.) The percentage that the individual clinician achieved is then compared to the scale below, resulting in an adjustment to the clinical portion of the Productivity Component.

% of maximum MGMA RVUs	Dollar paid per WRVU above % of maximum MGMA RVUs
>50%	\$25
Btw 45% and 50%	\$20
Btw 40% and 45%	\$15
Btw 35% and 40%	\$10
Btw 30% and 35%	\$5
<30%	\$0

Clinicians who demonstrate no increase in the Index Year do not qualify for an increase in the clinical portion of the Productivity Component and may be subject to salary reduction (see below). Only increases over \$1,000 will be awarded because of the administrative cost of processing small dollar increases. The maximum possible increase will be \$50,000, in order (1) to offset the effect of high production augmented by output from residents or physician assistants or of billing issues that inflate the production of the clinician and (2) to avoid undue financial hardship for departments.

UNC-CH School of Medicine
BASIC SCIENCE FACULTY COMPENSATION PLAN

2009 Revision

(Originally Submitted to UNC Board of Governors Nov. 11, 2006)

Compensation of basic science department faculty in the School of Medicine at the University of North Carolina at Chapel Hill was previously defined as a single component annual salary. Salary modifications were implemented only on an annual basis, and although warranted salary adjustments were possible as funding sources changed, they were accomplished with difficulty. Although this compensation approach may be appropriate in much of the state system where the bulk of the compensation comes from state-appropriated funds, a large fraction of the salary for basic science department faculty in the School of Medicine is derived from alternative sources, primarily extramural research grants. The goal of this plan is to allow faculty members to be appropriately rewarded for their activities using a multi-component system, while maintaining fiscally sound policies in their respective departments. Similarly, this plan should serve as a tool to encourage faculty productivity by allowing for decreases in compensation where faculty members fall short of stated expectations.

The outstanding faculty of the School of Medicine is a significant asset to the State of North Carolina. They educate our future physicians, researchers and teachers. They bring luster to the State and international recognition through their work. This plan provides a tangible mechanism for recognizing and rewarding the extra efforts they contribute to all of the School's missions.

Faculty covered by this plan include all tenure-track and tenured faculty in the basic science departments, as well as tenure-track and tenured basic science faculty in clinical departments who are not otherwise covered by the School of Medicine Clinical Faculty Compensation Plan. Compensation for faculty appointed in a basic science department who are engaged in patient care may be set pursuant to the School of Medicine Clinical Faculty Compensation Plan in the discretion of the Chair and as set out in a written departmental implementation plan adopted as specified below and approved by the Dean and Office of University Counsel.. This plan also covers fixed term faculty members except where such coverage is inconsistent with a faculty member's letter of appointment to University employment.¹

SUMMARY

Each faculty member will have a total annual salary recommended by the department chair to the Dean of the School of Medicine each fiscal year. It will consist of (1) the base salary and (2) a variable component, which together comprise the total annual salary. The total annual salary may increase or decrease from year to year based on the individual's productivity and excellence in teaching, research, and service, and shall be consistent with Board of Governor's salary policies. The actual funding sources used to pay these components of a faculty member's total compensation in any given year may vary over time.

¹ Effective immediately, appointment letters for School of Medicine fixed term faculty shall include a statement that their compensation shall be set as provided by the applicable School of Medicine compensation plan.

Base salary. The base salary will be set by the Chair annually or when a faculty member is hired. There is a floor base salary below which no faculty member's compensation can fall. This floor base salary will be set uniformly by academic rank throughout the basic science faculty, and will be adjusted not more frequently than annually but at least every three years based in part on changes in state EPA salary dollars provided to the departments during that time. Recommended adjustments will be forwarded by the Dean, School of Medicine, through the University and UNC System leadership to the Board of Governors for approval.

Increases in this salary component for an entire department in any given fiscal year will not exceed the amount of increase in state EPA salary funds for that year. As is currently the case, the increase in EPA state funds can be allocated by the chair in the best interests of the department and consistent with sound fiscal policy. Faculty can also expect an increase in their base salary following promotion to the rank of Associate Professor and to Professor, subject to availability of funds.

Variable Component. Excellence in teaching, research, and service (at the University, state and national level) is expected from all faculty members. However, in recognition of exceptional performance in these areas, faculty can be further rewarded by a variable salary component. The amount of the variable component will take into account the overall excellence of the faculty member in teaching, research, and service as well as the financial circumstances of the department. Excellence in teaching or service can take many different forms; for example in recognition of teaching awards, outstanding service as course director, director of graduate studies, director of core facilities, or distinction at the state and national level. Faculty who serve as directors of centers or institutes internal to the School, division chiefs, or department chairs will be eligible for a variable component enhancement in their administrative supplements for such service, under criteria and procedures developed and administered by the Office of the Dean.

To be eligible for a variable component based on research, the faculty member will be evaluated by criteria that include: quality of research publications, national and international recognition, extramural funding to support the research program, and other criteria individual departments wish to include. One component of eligibility for a variable component based on excellence in research is that faculty would be expected to exceed the target for percent of salary earned from external sources, set by their department for their rank. The target level for participation is expected to increase with faculty rank. For faculty whose salary is above the NIH cap, the target salary percentage will be calculated against total salary from all sources.

Salary Adjustments:

As with all salary adjustments, the Department Chair determines the salary adjustment each year, based on available funds and the performance of the faculty member. Annual adjustments to the salary will be recommended by the chair in consultation with the faculty member. The total annual salary can be adjusted upward reflecting changes in grant funding, teaching performance, and other responsibilities.

The base salary is expected to be a relatively stable component of the total annual salary, with annual adjustments to participating faculty salaries largely occurring in the variable component. The variable component of the total salary can be adjusted either upward or downward each year. In addition, the base salary can be adjusted downward, with approval of the Dean, but cannot be adjusted below the minimum base salary. When it is anticipated that a faculty member's base salary will be reduced, the chair will write the faculty member to inform him or her of the planned reduction and the basis for same, and the faculty member shall have a period of not more than twenty calendar days from the date of the chair's notice to submit a written response stating why the proposed reduction is unwarranted. The chair and Dean will consider information provided by the faculty member in making final base salary determinations. Increases to the base salary will generally reflect increases in state EPA funds available to the department each year, although such adjustments will be distributed by the chair based on faculty performance and promotion, rather than "across the board" distributions unless otherwise stipulated by the Board of Governors.

Because of departmental or divisional financial conditions, the Department Chair with approval of the Dean may lower the total base salaries for all faculty members covered by the Plan in the department or in a specific division of the department by not more than fifteen percent (15%) of their then-current total base salaries. Such adjustments must be made at the same rate for all affected faculty members.

Both the base salary and the variable component should be adjusted annually. However, mid-year adjustments in the variable component will be allowed if deemed necessary and appropriate by the department chair and approved in advance by the Dean, but salary cannot be adjusted solely based upon receipt of or termination of a federally sponsored research grant. Mid-year adjustments are also subject to approval by the Provost, and generally are permitted only on grounds of salary inequity corrections, retention, or change in duties.

All faculty members will have the right to appeal salary decisions to the School of Medicine Faculty Salary Equity Committee, as well as access to all generally available University faculty grievance mechanisms.

Departmental Implementation Plans:

The Chair will be responsible for filing with the Dean in advance of the beginning of each fiscal year the current version of the department's specific approach to implementing the compensation arrangements authorized by this plan. Each departmental implementation plan will spell out in reasonable detail the criteria, including targets for external salary support, to be followed in establishing individual faculty members' total projected annual salary. The Chair will inform the department's faculty in writing of these criteria and methodologies on an annual basis.

Definitions:

Base salary: salary that will be considered the "set salary," guaranteed for a fiscal year. Increases in the base salary for an entire department will be limited by the amount of the increases in state funds received by the department each year.

Variable component: component of salary that can vary from year to year; the amount of this component will be negotiated with the chair each year, based on performance.

Annual total salary: The sum of the base salary and the variable component.

Floor base salary: The minimum salary for each rank.

University of North Carolina at Chapel Hill
School of Nursing

Salary Policies: Initial Determination of Salary,
Market Salary Increases and Merit Awards

Benchmark Nursing Faculty Salaries

School of Nursing salary goals are derived from benchmarks with peer schools of nursing. The American Association of Colleges of Nursing (AACN) publishes an annual report on faculty salaries based on a yearly survey of all schools of nursing with baccalaureate and higher degree programs. Faculty salary data is reported for regions of the country and types of institution, and by faculty rank, credentials, and tenure vs. fixed term track status.

Among the AACN categories, we use, when available, data that is segmented for Research I public universities and schools of nursing with doctoral programs. In these categories, we use the 75th percentile as the benchmark salary for tenure track faculty. Salary data for fixed term faculty are not included in those classifications; thus, salaries reported at the 75th percentile in a general classification, "All Schools," is the benchmark salary for fixed term faculty.

Benchmark salaries are described at three levels (beginning, mid/majority and exceptional) to establish a range by rank, track, and degree status. The mid/majority salary level is the 75th percentile salary reported by AACN as described above. The beginning salary level is computed at 10% below and the exceptional salary level is computed at 10% above the 75th percentile salary reported by AACN.

Periodically, other markets are surveyed for comparison with faculty salaries and AACN benchmark salaries. Other markets may include the University (Academic Affairs and Health Affairs), other universities considered peer institutions by UNC-Chapel Hill, and the clinical and administrative salaries for equivalently prepared nurses in non-university settings

It is important to note that benchmark salaries are targets or salary levels the School aspires for its faculty. The extent to which actual salaries reach benchmark salaries is dependent on the amount of salary increase funds appropriated by the legislature each year. However, over time, the goal is to bring faculty salaries to benchmark levels. Benchmark salaries are used to determine salary offers for new faculty and annual market increases and merit awards (including promotions in rank) for current faculty.

Salary Offers to New Faculty

New salary offers are based on consideration of multiple factors: individual qualifications, including educational preparation, years and type of experience, and cumulative record of productivity and accomplishment in the areas of teaching, research and service relative to rank, appointment type and/or position; and market factors which include scarcity of needed specialty, minority status and prevailing salary scales. Based on the above factors and rank at initial appointment, the dean, assistant dean for administrative services, and the division chair identify the salary offer. If current faculty salaries in a given rank are at benchmark levels, then a new faculty member being appointed to the same rank is offered a benchmark salary at the appropriate range for that rank. If current faculty salaries in a given rank fall short of benchmark salaries, then a new faculty member being appointed to the same rank is offered a salary comparable to current faculty salaries.

The latter approach is taken to minimize the phenomenon of salary compression. Salary compression occurs when new faculty are hired at higher salaries than current faculty, given equivalent qualifications

and records of accomplishment. There are, however, instances when it is necessary to bring in new faculty at salary levels higher than those of current faculty. Whenever this occurs, market salary increases (as described below) are given high priority in the following years in order to reduce the disparity in salaries between newly hired and longer-term faculty with equivalent qualifications and records of accomplishment.

Annual Salary Increases for Faculty

Merit Awards

Faculty members are reviewed annually for merit awards according to the "Guidelines for Annual Faculty Evaluation." Faculty members submit up-dated curriculum vitae, other supporting materials and a self-assessment to division heads, who review the materials submitted and make a recommendation for non-meritorious, meritorious and exceptionally meritorious awards. Factors considered in evaluations include teaching evaluations, peer review of teaching, research, grant awards, and other scholarly productivity, and service to the school, university, profession, and lay communities. For faculty with practice contracts, evaluations from their practice setting supervisors are considered as well. The division heads' recommendations regarding merit level are discussed with faculty members during face-to-face annual performance reviews.

Upon completion of all annual performance reviews, division heads meet with the dean to discuss merit award recommendations for all faculty members to assure consistency across departments in the recommendation for merit salary increases. Final decisions about merit level are made at this time and, if the merit level is changed from the division head's initial recommendation, this decision is communicated to the faculty member.

Market Increases

Market salary increases are awarded to bring faculty salaries to or closer to benchmark salaries and to minimize salary compression. Each faculty member is assessed annually to determine the need for a market salary increase. For each faculty member, the following question is asked: "if we were hiring this faculty member today, given the person's cumulative record of performance and other market factors, would we hire this faculty at the beginning, mid/majority or exceptional benchmark salary level for his or her rank and degree status?"

The benchmark salary and level rating (beginning, mid/majority and exceptional) is then compared to each faculty member's current salary. If a faculty member's current salary falls below the benchmark but their cumulative performance assessment rating was for a beginning, mid/majority or exceptional benchmark salary level, a recommendation for a market salary increase is made. Thus, each faculty member's actual salary is compared annually to the School's benchmark salaries and, based on the faculty member's cumulative performance assessment, a market salary increase is recommended when realignment is needed. Determinations in favor of market adjustments are also made in the annual meeting of division heads with the dean.

Distribution of Market Salary Increase and Merit Award Funds

Funds appropriated by the legislature for salary increases are rarely sufficient to make all deserved market increases and merit awards. The policy of the faculty is that there should, at a minimum, be a \$500 differential among levels of merit award. Beyond that consideration, the funds available are allocated for both market increases and merit awards. Because sustained productivity and accomplishment are markers of leading universities, priority of remaining funds is given to market increases. The dean makes the final decision about how money will be allotted to market and merit

adjustments and communicates the amounts of salary increases in merit and market categories to individual faculty members by letter, once approval to release the information is obtained from the university.

Faculty members may express concern regarding the level of salary increase with division heads and/or with the dean directly. An elected Faculty Salary Policy Committee, chaired by the Faculty Chair, is available to faculty members who believe the above processes were not applied fairly in determination of their raises.

P:SALARYPL, 3/96

Updated: 9/03, Executive Group

The University of North Carolina at Chapel Hill
School of Pharmacy
Faculty Salary Policy
(Updated 3/20/2013)

The UNC Eshelman School of Pharmacy Faculty Salary Policy provides a framework from which an employee's job performance is reviewed and salary decisions and increases are determined. This Salary Policy helps the School attract the best-qualified people, provide compensation in accordance with assigned duties and responsibilities, and encourage retention and a high level of performance.

Initial Salary Negotiated with New Faculty

A new faculty member's initial salary is based on the individual's qualifications (educational preparation, years and type of experience, productivity and accomplishments in teaching, research and service, and national or international standing), named professorships, administrative workload, equity within the School, and market conditions. The Division Chair discusses these qualifications with the Dean and the agreed salary is incorporated into the offer letter to the new faculty member.

Annual Salary Increases and Adjustments

Division Chairs conduct annual performance evaluations (Annual Faculty Merit Review) focusing on teaching responsibilities, student evaluations, new teaching innovations, mentoring of graduate students, research activities and publications, staff management, service activities, and special awards and recognitions.

As an extension to the Merit Review, an *Impact Review Process* is subsequently conducted. The *Impact Review Process* was first implemented by the School in the spring of 2005 and utilized since to guide School administrators on issues of merit- and impact-based annual salary increases, faculty retention decisions, and Academic Excellence Awards decisions. The "Policy and Procedure for the Annual Faculty Merit and Impact Review Process" was approved by the Executive Committee of the School on 12/15/2011 and states the following:

The UNC Eshelman School of Pharmacy espouses a philosophy to acknowledge and reward exceptional faculty performance in the three primary areas of the mission of the School: Research, Education, and Service. The "Impact" the School has on the state, nation, and world and the reputation that follows is based on the constant pursuit of excellence in these three areas. This is consistent with our School's mission and recognized within our Appointment, Reappointment, Promotion, and Tenure (ARPT) document that acknowledges the Scholarship of Discovery, Education, and Application as critical elements of the promotion process. This process provides the School with a "near 360-degree" performance-based evaluation of faculty. The process also facilitates the recognition of faculty that contribute to the broad missions of the School in potentially very different ways, as well as allowing leadership of the School to appreciate the richness of the talent of the faculty. Special consideration should be given to the faculty member's contribution to all Strategic Initiatives in the School's Strategic Plan.

Based on the review process stated above, annual salary increases and adjustments for individual faculty members are recommended by their respective Division Chairs. These recommendations are forwarded to the Dean for final approval. The Dean administers salary increases and adjustments for Division Chairs and administrators. Salary allocations and increases are based on availability of funds, Merit and Impact Reviews, competitiveness with peer institutions, internal equity considerations, recruitment

experience, and opportunities for career advancement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Other Annual Salary Adjustments

Annual salary adjustments may be given (contingent upon the availability of funds) when:

1. The faculty member has accepted additional and/or different responsibilities to those previously agreed to by the faculty member, Chair and Dean in an offer letter or annual performance review process.
2. There is a faculty retention situation (pre-emptive as well as a firm offer).
3. A promotion has been granted.

Communicate Salary Increases and Adjustments

Each faculty member must be advised in writing of the dollar amount and percentage of his/her salary increase/adjustment as well as the total salary for the year.

Grievance Procedure

A faculty member who is dissatisfied with the School's Faculty Salary Policy, his/her salary increase/adjustment or his/her current salary level may discuss these concerns with the Dean of the UNC Eshelman School of Pharmacy. If the faculty member fails to find satisfaction, he/she is then advised to appeal, using the University's established grievance procedures.



Salary Policy

December 2013

Faculty salaries are set by the chair of each department in consultation with leaders of central administrative units, with the advice and consent of the dean of the School of Public Health. The focus of this policy is on faculty salary increases.

Annual Increases

Each year, when funds are available, the dean and associate dean for business and administration provide chairs and unit heads with the expected amount of budget available for EPA salary increases for the coming year. Chairs and unit leaders develop merit-based salary increase recommendations for their units and review these recommendations with dean and associate dean. Equity of salaries among faculty of the same rank is reviewed in these yearly meetings, and special increases related to equity or retention issues are discussed. Merit-based increases are determined by each chair with some variation in approach and methodology. For example, some departments have highly quantitative algorithms for raises while others use more qualitative methods. In all cases, there are opportunities to discuss special circumstances that characterize particular faculty members.

Several factors are common to all departments. Each department bases merit increases on assessments of teaching, research productivity, advising, publications and service. Additionally, chairs consider equity when making salary increase decisions.

Initial Salaries

Initial salaries offered at the time of hire for new faculty are based on the candidate's background and experience, equity within departmental faculty of equivalent rank, experience, and stature in the field. Particular fields and sub-fields also may be relevant to discussion, along with yearly data from the Association of Schools and Programs of Public Health (ASPPH) regarding salaries for faculty members in different fields of public health and at various ranks. We strongly discourage initial salaries that are less than the 50th percentile of ASPPH rates.

Promotional Increases

Promotional salary increases can be given as part of the annual raise process or as an out-of-cycle increase (determined by the department chair). The promotional increase is based upon the faculty member's stature in his/her field, internal equity and ASPPH data.

Retention Increases

When it is necessary and appropriate to make retention offers based on the judgment of chairs, in consultation with dean and associate dean, a variety of factors are considered, including current salary, ASPPH data, internal equity data, criticality of the faculty member and his/her field, and offer or likely offer from competing institution/organization. The process is not formulaic, but it is critical that it be fair. Retention offers are not pro forma. There are times when a retention offer is not appropriate.

SCHOOL OF SOCIAL WORK
SALARY REVIEW POLICY
April 6, 2004

Procedure:

1. The Dean will request that each faculty member complete a *Faculty Activity Report* (FAR) in the spring semester of each year. The FAR is a written compilation of teaching, research, external funding, and service activities undertaken during the academic year by each faculty member. The FAR also contains a faculty goal statement for the following year. Each semester the Dean is also provided with a summary of all faculty member's teaching evaluations as reported by the graduate students. These evaluations are reviewed and comparisons are made among other faculty who teach in similar curricula areas or teach the same courses.
2. An annual review is then conducted between the Dean of the School of Social Work and each member of the faculty. The Dean meets with each faculty member individually and reviews his or her accomplishments as described in the FAR for the previous academic year. The faculty member's goal statements are also reviewed and discussed at the meeting.
3. When the state provides salary appropriations that allow for differential salary adjustment, the Dean reviews all current salaries, taking into account merit, market, equity, gender, and racial and ethnicity issues. The Dean may solicit input from members of the full professors, and then will meet with the Associate Dean for Finance, Administration and Technology to complete the recommendations.
4. Salary increase recommendations begin with the actions of the state. If dollars are appropriated for faculty salary increases and a mandate is not imposed that directs the Dean to distribute the funds "across the board" by percentage or dollar amount, but instead to allocate funds according to merit, then the Dean will recommend salary increases based upon faculty merit. Factors considered in deciding faculty merit include teaching (e.g., course evaluations, supervising independent study courses, serving on Ph.D. dissertation committees) scholarship (e.g., publications [number and quality] and external funding), and service (e.g., school, university, professional, national, and international). At the School of Social Work all three areas are important and considered in making salary adjustments. However, each area has a differential weight, with scholarship being granted the most weight, teaching given the next greatest weight, and service the next greatest weight.
5. Materials that document performance and achievement include the *Faculty Activity Report*, faculty teaching evaluations, and the annual interview with the Dean.
6. The Dean submits the recommended salary adjustments to the Office of the Provost, and when these are approved, individual letters are prepared and sent to each faculty member outlining the salary provisions provided by the State and the specific salary increase allocated.
7. If a faculty member wishes to discuss the salary increase provided, he or she can request to meet with the Dean to discuss any concerns. If these discussions prove insufficient, a faculty member may take his or her concerns to the Office of the Provost and may also avail themselves of the University grievance procedures.

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

11. Recruitment, Promotion, and Compensation Policies

Please provide URL links to your campus policies and dates of the most recent revisions for the following items.

If your campus has multiple links for these policies, please include them in the additional spaces provided. Not all campuses will have more than one URL.

	URL #1	Date of Revision (mm/dd/yyyy)	URL #2	Date of Revision (mm/dd/yyyy)	URL #3	Date of Revision (mm/dd/yyyy)
Recruitment and Selection of Senior Academic and Administrative Officers (600.3.4 B.1)	https://equaloppd	09/23/2014				
Promotion and Tenure that complies with UNC Code and current federal law (600.3.4 B.1)	http://policy.sites	07/24/2014				
Compensation of faculty and non-faculty EPA from non-state sources (600.3.4 B.5)						
Any non-salary compensation of faculty and non-faculty EPA (600.3.4 B.6)	http://hr.unc.edu/	05/13/2013				

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

Compensation of faculty and non-faculty EPA from non-state sources: UNC-CH does not maintain a separate policy for compensating faculty and non-faculty EPA from non-state sources. If a grant is applied to cover a faculty salary, the University is required to, and does, follow the guidelines of the grant with respect to use of the funding. If the North Carolina legislative body issues directives or guidance as to how state and non-state funds are to be applied with respect to salaries, the University complies. However, we do not have a specific policy on the use of non-state sources to compensate faculty and non-faculty EPA.

Recruitment and Selection of Senior Academic and Administrative Officers University of North Carolina at Chapel Hill

The University of North Carolina at Chapel Hill is committed to providing equal access to our employment environment; and ensures that all employment-related decisions are in accordance with the principles of equal opportunity. The normal recruitment process is to conduct an open search that allows us to attract a diverse pool of qualified candidates and then select the best candidate from that applicant pool.

The Equal Opportunity and Compliance Office is responsible for monitoring the university's equal opportunity and affirmative action efforts; and the recruitment and search process for EPA Faculty and Non-Faculty positions.

The following procedures are designed to provide guidance to the university

INITIAL APPOINTMENTS

1. Once a vacancy for an EPA Faculty or Non-Faculty position occurs, a Recruitment Requisition should be created and routed through the PeopleAdmin Recruitment System for approval. Proposed advertisement(s) need to be attached when the department/unit will advertise in additional venues beyond the UNC-CH and Inside Higher Ed (IHE) websites.
2. Search procedures apply to all EPA Faculty and Non-Faculty recruitments when there is an intent to pay

Multiple positions with the same qualifications/requirements can be recruited for on the same requisition. For EPA Faculty and Non-Faculty jobs, only 1 position number from ConnectCarolina is needed to initiate a requisition.

Use of Search Firms for EPA Faculty and Non-Faculty Positions

It is acceptable to use search firms when conducting an open search to fill an EPA Faculty or an executive Non-Faculty position at the University of North Carolina at Chapel Hill. It will be the responsibility of the hiring department to familiarize the search firm with the University's hiring policies and practices. It will also be the department's responsibility to cover any fees associated with the search firms.

Departments utilizing search firms will need to ensure the requisitions are processed in the PeopleAdmin System.

EPA Non-Faculty Positions

EPA Non-Faculty positions must be created in ConnectCarolina and approved by the Office of Human Resources prior to initiating a recruitment requisition.

Posting Periods

- ◇ **Tenured/Tenure Track positions** – must be advertised ***nationally*** for a minimum of **30** days.

- ◇ **Administrative Appointment with Faculty Rank** (Example: Provost, Deans, Chair) – must be advertised ***nationally*** for a minimum of **30** days.
- ◇ **Fixed-Term Faculty** – must be advertised ***locally and regionally*** for a minimum of **14** days. The automatic posting to the Inside Higher Education website meets the regional requirement.
- ◇ **EPA Non-Faculty** positions including Research Assistant and Research Associate positions must be advertised for a minimum of **14 days** and must appear in UNC-CH Employment Opportunities, unless the Equal Opportunity and Compliance Office approves a request for a shorter advertising period.
- ◇ **Senior level positions** (Example: Vice Chancellor's, Directors, and Deans) must be advertised regionally with selected positions advertised nationally for a minimum of 30 days. Requests for a posting period less than the default minimum must be soundly justified and approved by the Equal Opportunity and Compliance Office.

Positions will either be open until filled or have an application deadline. If open until filled, the job will be advertised until the position is filled.

Maximum Requisition Period - 1 year from the initial posting date

Advertisements

Advertisement(s) need to be attached to the Recruitment Requisition action when the dept/unit will advertise in additional venues beyond the UNC-CH and IHE websites.

Information to include in external advertisements:

- ◇ Name of the University, College and Department
- ◇ Title of the position
- ◇ Responsibilities of the position (position summary)
- ◇ Minimum and preferred education, experience and skills
- ◇ Specific applicant instructions for submitting additional materials should be included when applicable.
- ◇ Application deadline

Advertisements should always include the EEO statement for the University:

"The University of North Carolina at Chapel Hill is an equal opportunity employer that welcomes all to apply, including protected veterans and individuals with disabilities."

The advertisement should include the Quick Link Posting:

<http://unc.peopleadmin.com/postings/XXXXX>

Advertisement Sources

- ◇ National professional journals and newspapers
- ◇ Regional journals and newspapers
- ◇ Letters and announcements to schools
- ◇ Professional meetings

- ◇ Other recruitment methods (provide the name & addresses for listserv's and web sites)

The Equal Opportunity and Compliance Office has purchased a membership subscription to the National Registry of Diverse & Strategic Faculty. Please contact the EOC office for login and password.

Reminder: Check publication dates for National and Professional journals to ensure the application deadline is 14 to 30 days after the print advertisement appears. If position is "open until filled" this is not an issue.

Recruitment Efforts

Special efforts to identify minority and female candidates. (Examples: list professional caucuses, organizations and universities). Identify efforts the department will undertake to reach minority and female populations.

List any special recruitment activities that will be a part of this search. (Example: interviewing at professional meetings)

Visit the Equal Opportunity and Compliance website for a list of Diversity Recruitment Sources: <http://eoc.unc.edu/recruitment/recruitmentresources/>.

Search Committee Appointments

A minimum of 3 search committee members is required (internal & external combined).

A Search Committee Chair must be identified – you may have 1 or 2 individuals assigned as chairs (internal & external combined).

Search Committee Appointments (Con't)

Every effort should be made to include female and minorities on the search committee. Department are required to provide an explanation/justification if no females and no minorities are included on the search committee. Recruiting members from other departments or including members who may not specialize in the technical area, but who understand the search process, can add diversity to the committee and valuable feedback on candidate selection.

Internal search committee members – When the system displays the Primary Rank/Title as "Other", departments must provide the appropriate primary rank/title in the comments box.

SPA employees may serve on EPA search committees.

External search committee members will require an onyen to access the applicant data related to searches. External members who do not have an active onyen may be assigned one through the affiliate system.

All hiring supervisors, search committee chairs and members should complete the Online Training Module before beginning the search process. The module can be accessed at: <http://www.unc.edu/depts/eoada/sct/index.htm>

EPA Recruitment & Selection: Nepotism

- ◇ No family member may occupy a position that has influence over another's employment, transfer, promotion, salary administration, or other related management or personnel

consideration. If relatives are considered for employment, it is necessary for the department head to complete a certification form verifying that such action will not violate the UNC-CH policy on Nepotism.

- ◇ Hiring units are required to submit a completed Nepotism Certificate stating that the University's Nepotism Policy has not been violated whenever related individuals are considered for employment in the same unit. The certification form can be attached to the EPA Web New Employment Action.
- ◇ The policy may be viewed on the UNC Policy Manual website under the Employment of Related Persons (Anti-Nepotism Policy) section:

<http://www.northcarolina.edu/apps/policy/index.php?pg=vs&id=s328>

Waiver of Recruitment

A Waiver of Recruitment is used in cases where the department has a reason or need to hire outside of the formal recruitment process. Waivers are considered and approved as *exceptions* when the absence of a search does not impact equity; and the search request meets the following requirements:

- ◇ Under special circumstances, when it can be demonstrated that the absence of advertisements and a regular search do not conflict with achieving equity and locating the person who best meets the University's standards, provided certain conditions are met, advertisements may be omitted.
- ◇ Advertising and search requirements may be waived in the case of individuals who possess credentials that the recruiting unit believes makes them best qualified for a particular position and whose appointment would bring unique skills, perspectives, and experience to the University not currently available and unlikely to be available in a timely way following normal advertising and search procedures.
- ◇ Individuals whose appointments "would bring unique skills to the University" as noted above can include the following: (1) outstanding professional achievement or (2) women and minorities where there is under-representation in the department and the appointment would add to the diversity of the department; (3) spouses of successfully recruited candidates, where the timing of the negotiations with the successfully recruited candidate requires the immediate ability to respond to the candidacy of the spouse for the position in question.
- ◇ Advertising and search requirements may be waived in the case of emergency appointments, where academic departments and administrative units need to make an appointment to meet an unforeseen personnel emergency, for example, death, medical incapacitation, or immediate resignation of a current employee.



Trustee Policies and Regulations Governing Academic Tenure in the University of North Carolina at Chapel Hill

These policies and regulations were adopted by the Board of Trustees of The University of North Carolina at Chapel Hill on April 9, 1976, were approved by the President and the Board of Governors of The University of North Carolina on May 14, 1976; and became effective on June 18, 1976. They have been amended December 1978, June 1980, June 1982, January 1987, June 1987, February 1994, April 9, 1998, September 9, 2000, January 2004, May 2004, October 20, 2009, May 26, 2011, and July 24, 2014.

They were adopted by the Board of Trustees pursuant to and in subordination to Chapter Six of The Code of The University of North Carolina, which is set forth in the Appendix hereto. References in this document to any decision or action as being "final," or "without further recourse," or as being terminal by any other form of words, are made in relation to the processes of The University of North Carolina at Chapel Hill. Each is subject to any further review procedures which may be provided by law or by The Code of The University of North Carolina.

Section 1. Academic Freedom

Academic freedom is the right of a faculty member to be responsibly engaged in efforts to discover, speak and teach the truth. It is the policy of the University to maintain and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication and to protect any member of the faculty against influences, from within or without the University, which would restrict the faculty member in the exercise of these freedoms in his or her area of scholarly interest.

The University recognizes that in his or her role as citizen, as to matters outside the area of his or her scholarly interest, the faculty member has the right to enjoy the same freedoms as other citizens, without institutional censorship or discipline, though he or she should avoid abuse of these freedoms. The faculty member should recognize that accuracy, forthrightness, and dignity befit his or her association with the University and his or her position as a person of learning. Except when officially authorized, a faculty member should not represent himself or herself as a spokesman for the University.

Section 2. Academic Tenure

a. In general

Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. More specifically, it refers to the protection of a faculty member against involuntary suspension, demotion, discharge, or termination from employment by the University except upon specified grounds and in accordance with specified procedures. Those grounds and procedures are exclusively as provided in Section 3 (suspension, demotion, and discharge) and Section 6 (termination for financial exigency or elimination or major curtailment of a program) hereof.

The purposes intended to be served by according the protections of academic tenure to faculty members are to secure their freedom and to aid this University in attracting and retaining faculty members of the high quality it seeks. While academic tenure may be withheld on any grounds other than those specifically stated to be impermissible under Section 4 hereof, its conferral requires an assessment of institutional needs and resources and evidence of service to the academic community, potential for future contribution, commitment to the welfare of the University, and demonstrated professional competence, including consideration of commitment to effective teaching, research, or public service.

b. In relation to faculty ranks

Academic tenure, as herein defined, pertains exclusively to the employment of members of the faculty by appointment to specified faculty ranks. Such appointments may be for fixed terms of employment, automatically terminable upon their expirations; or they may be for renewable probationary terms ("probationary term appointment"); or they may be continuous until retirement or earlier resignation or death ("tenured appointment" or "appointment with permanent tenure").

The faculty ranks to which appointments may be made, and the incidents of academic tenure applicable to each, are as follows:

1. **Professor.** Either promotion or initial appointment to the rank of professor confers permanent tenure from the effective date of the promotion or appointment.
2. **Associate Professor.** A promotion at any time to the rank of associate professor confers permanent tenure from the effective date of the promotion.

Initial appointment to the rank of associate professor is ordinarily for a probationary term of five years. With the written approval of the immediate supervisor of the department¹ chair obtained in advance of the initiation of formal

¹ "Department" is used herein as a generic term for departments, professional schools, and any other academic units to which faculty appointments are made; "chair," as a generic term for department chairs, deans of professional schools, and any other heads of academic units to which faculty appointments are made.

appointment procedures, an initial appointment to the rank of associate professor with permanent tenure may be initiated and made effective upon subsequent approval of the appointment by the regularly prescribed procedures for initiation, review and final approval.

No less than 12 months before the end of a five year probationary term appointment as associate professor, a decision shall be made and communicated in writing to the associate professor as to whether he or she will be reappointed upon expiration of the current term. This decision shall be made and communicated as provided in Section 2.c. hereof. No decision need then be made as to the rank to be had upon reappointment. If a decision is made to reappoint and no promotion has been made prior to expiration of the five year term, the associate professor is thereupon reappointed at the rank of associate professor, with permanent tenure.

3. **Assistant Professor.** Initial appointment to the rank of assistant professor is for a probationary term of four years. No less than 12 months before the end of this term a decision shall be made and communicated in writing to the assistant professor as to whether he or she will be reappointed upon expiration of the current term. The decision shall be made and communicated in the manner provided in Section 2.c. hereof. No decision need then be made as to the rank to be had upon reappointment. If a decision to reappoint is made and no promotion is then made prior to the expiration of the current term, the assistant professor is thereupon reappointed for a second probationary term of three years at the rank of assistant professor.

No less than 12 months before the end of such a second term, a decision shall be made and communicated in writing to the assistant professor as to whether he or she will be reappointed upon expiration of the current term. The decision shall be made and communicated as provided in Section 2.c. hereof. If the decision is to reappoint, the notice thereof shall also inform the faculty member whether reappointment will be at the same rank or with promotion to the rank of associate professor; and a faculty member given notice that reappointment will be at the same rank shall be then informed by his or her chair whether he or she will be reconsidered for promotion prior to the effective date of the reappointment. If a decision to reappoint is made and no promotion is then made prior to the expiration of the current term, the assistant professor is thereupon reappointed at the rank of assistant professor with permanent tenure. Reappointment at the rank of assistant professor following expiration of the second probationary term should be made only in clearly exceptional circumstances.

4. **Instructor.** This rank is appropriate for one appointed to the faculty with the expectation that in normal course he or she will progress to the professional ranks in this or another institution.

Initial appointment to the rank of instructor is for a probationary term of one year. The instructor may be reappointed successively for three further one year terms, a total of four such terms. At least 90 calendar days before the end of the first term, 180 calendar days before the end of the second term, and 12 months before the end of the third term, a decision shall be made and communicated in writing to the instructor as to whether upon expiration of that term he or she will be reappointed at the rank of instructor for another term, promoted to the rank of assistant professor, or not reappointed. At least 12 months before the end of a fourth successive term a decision shall be made and communicated in writing to the instructor as to whether upon expiration of that term he or she will be promoted to the rank of assistant professor, or not reappointed. No reappointment to the rank of instructor may be made after four years' employment at that rank. The decisions herein required and the communication thereof shall be made as provided in Section 2.c.

Promotion at any time from the rank of instructor to that of assistant professor constitutes an initial appointment at the latter rank, with the incidents described in Section 2.b.(3) hereof. An appointment or reappointment at the rank of instructor may be made on the specified condition that automatically upon the conferral of a specified academic degree the instructor shall be reappointed at the rank of assistant professor. In such cases the effective date of the appointment at the rank of assistant professor shall be retroactive to the effective date of the current appointment as instructor, or to the July 1st or January 1st immediately preceding the conferral of the specified academic degree, whichever is nearest in point of time.

5. **Fixed-term faculty and other special faculty ranks:** Appointments may be made to fixed-term faculty and other special faculty ranks with title designations "Professor of the Practice," "Lecturer," "Senior Lecturer," "Teaching Professor," "Artist in Residence," "Writer in Residence," and any of the faculty rank designations provided in paragraphs (1) through (4) of this subsection with the prefix-qualifier "Adjunct," "Clinical," or "Research," under the conditions and with the incidents herein provided. Such an appointment, utilizing any of the foregoing title designations, is appropriate for one who possesses unusual qualifications for teaching, research, academic administration, or public service from an academic base, but for whom none of the professorial ranks nor the instructor rank is appropriate because of the limited duration of the mission for which appointed, or because of concern for continued availability of special funding for the position, or for other valid institutional reasons.
 - (i) Fixed-term faculty: Faculty members covered by this paragraph 2.b.5. who are appointed to full-time salaried positions shall be appointed for a fixed term of not less than one nor more than five years. Subsequent appointments for fixed terms of up to five years' duration may be made either in direct succession or at intervals. Faculty members covered by this paragraph 2.b.5. who are appointed to part-time or intermittent

salaried positions shall be appointed for a specified term of service, as set out in the letter of appointment. All faculty appointed pursuant to this subparagraph 2.b.5.(i) shall be referred to as “fixed-term faculty.”

- (ii) Special faculty members who are unpaid may be appointed for a specified term of service or at will.

The term of appointment of any faculty member covered by this paragraph 2.b.5. who has been appointed for a specified term of service ends when that term expires, and the appointment letter constitutes full and timely notice that a new appointment will not be offered when that term expires. The term of appointment of a faculty member covered by this paragraph 2.b.5. who has been appointed to serve at will may be terminated at any time without prior notice and shall be reviewed no less frequently than every five years.

The pay, if any, and appointment status of a faculty member covered by this paragraph 2.b.5. shall be described in the letter of appointment.

No obligation exists on the part of the University to give any notice in advance of expiration of a current term as to whether appointment will be offered for a succeeding term. But upon request of the faculty member made in writing to the chair of the department concerned not earlier than 180 calendar days nor later than 90 calendar days before the expiration of a current term, the department chair shall within 20 calendar days thereafter communicate in writing to the faculty member a decision whether such an offer will be made, and if so, its terms. Failure to communicate a decision constitutes notice that no offer will be made.

Faculty members covered by this paragraph 2.b.5. may seek recourse to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment. Faculty members covered by paragraph 2.b.5. who are paid may be suspended, demoted, discharged, or terminated during the term of their appointment only in compliance with Sections 3 or 6 hereof. However, such faculty members do not have any rights to review of a University decision not to grant a new appointment at the end of a specified fixed term, and they are not covered by Section 4 hereof.

Except as otherwise provided and modified hereinabove, the decisions herein required shall be made as provided in Section 2.c. hereof. [Amended 5/20/2004, 10/20/2009, 5/26/2011, 7/24/2014]

c. General provisions

(1) Initiation, review, and approval of appointments, promotions, and reappointments

Each initial appointment with permanent tenure or for a fixed or probationary term longer than one year, each promotion in rank, and each reappointment of an instructor, assistant professor or associate professor shall be initiated by

recommendation of the chair of the department concerned after consultation with the assembled full professors of that department. Each such recommendation shall be based upon considerations of the demonstrated professional competence and the potential for future contribution of the faculty member, and of the needs and resources of the institution. Initial appointments to terms not exceeding one year may be initiated by the department chair acting on his or her own initiative. Each such recommendation shall then be reviewed in accordance with prescribed procedures for the particular action, which procedures shall provide for final approval by a designated authority. Final authority for approving any action which confers permanent tenure is in the President and Board of Governors unless by that Board delegated. Final authority for approving all other actions above enumerated is in the Board of Trustees unless delegated.

(2) Decisions not to reappoint upon expiration of probationary terms

A decision not to reappoint upon expiration of a probationary term at the rank of instructor, assistant professor or associate professor may be made in the first instance by the chair of the department after consultation with the assembled full professors of the department; or it may be made, following a recommendation to reappoint by the department chair, by any other officer of administration² charged with reviewing such a recommendation. By whatever officer of administration made, a decision not to reappoint is final except as it may subsequently be reviewed in accordance with the provisions of Sections 4 and 8. Permissible and impermissible grounds for making a decision not to reappoint are as provided in Section 4.a. hereof. Each decision not to reappoint shall be communicated for information through the administrative channels prescribed for review of a recommendation to reappoint; and notice thereof shall be communicated in writing to the faculty member by the department chair within the times prescribed by Sections 2.b.(2), (3), and (4) hereof. [Amended 6/20/80]

(3) Failure to give timely notice

- i. If a decision not to reappoint is timely made but not timely communicated as herein required, a one year terminal appointment commencing on the date of expiration of the current term of appointment shall be offered in writing. This offer shall serve as timely notice of nonreappointment upon expiration of the terminal year appointment.
- ii. If no decision whether to reappoint has been made at the time notice thereof is required, the Chancellor (or his or her delegate) shall, immediately upon discovery of the failure, direct the department chair concerned to initiate the consultation procedure required to make the decision. The decision shall be made within 60 calendar days after the date

² "Officer of administration," as used herein, includes department chair.

of direction. If the decision is to recommend reappointment the department chair shall forward the recommendation through the channels provided for review of such a recommendation. If the decision is not to reappoint, the department chair shall forward notice thereof for information through the channels for review and shall forthwith give written notice of nonreappointment to the faculty member. If a recommendation to reappoint is given final approval, it operates with the same effect as would have a decision to reappoint timely made and communicated. If a final decision not to reappoint is made at any level, written notice thereof shall forthwith be given to the faculty member by the department chair. Such notice operates as an offer of a terminal appointment, commencing at the expiration of the current term of appointment and running for one year or, if the most recent term of appointment has expired, commencing with the giving of the notice and expiring one year from the beginning of the regular semester which next follows the giving of notice.

(4) Timing of permanent tenure actions

No recommendation for a promotion or reappointment which under the provisions hereof will confer permanent tenure may be initiated until the faculty member has been in the active employment of the University for at least 18 months. No such recommendation may be initiated which would have an effective date more than 18 months after its initiation. Except as thus expressly limited, promotions in rank may be made at any time during a faculty member's employment.

(5) Visiting faculty members

Persons other than regular members of the faculty may be appointed as visiting members of the faculty with rank designations, prefixed by the word "Visiting," appropriate to their status in their regular employment. Such appointments shall be for a term of not more than one year. One successive appointment for a term of not more than one year may be made. Appointments are made in accordance with the procedures for appointment of an instructor. During such terms of appointment the visiting faculty member may not be suspended, demoted, discharged, or terminated except upon the grounds and by the procedures provided respectively in Sections 3 and 6 hereof.

(6) Terms and conditions of appointments

The terms and conditions of each initial appointment and of each reappointment to the faculty shall be set out in writing. A copy thereof, signed by the Chancellor (or his or her delegate), shall be delivered to the faculty member and a copy shall be retained for the Chancellor. The general terms and conditions of such appointments, including those provided herein, shall either be set out in the

document of appointment or incorporated therein by clear reference to specified documents which shall be readily available to the faculty member.

Except as may be otherwise expressly provided in the documents of appointment, all appointments to any faculty rank are on the basis of a full-time employment obligation and confer the full incidents of academic tenure pertinent to the particular appointment. [Amended 2/18/94]

Any special terms and conditions shall be clearly stated in the written appointment. Special terms and conditions added by memorandum of amendment must be approved by signature of the Chancellor (or his or her delegate) and the faculty member, with a copy to be retained by each. Except as herein provided, no special terms or conditions may be included which vary the general terms and conditions stated herein. The responsibility for initiating the inclusion of special terms and conditions in documents of appointment is with the chair or dean recommending the appointment. [Amended 2/18/94]

(i) Continued availability of special funding

The appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing State budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether on tenured, probationary or fixed term appointment, shall be contingent upon the continuing availability of funds from sources other than continuing State budget funds or permanent trust funds. Such contingency shall not be included in a promotion to a higher rank if, before the effective date of the promotion, the faculty member had permanent tenure with no such condition attached to his or her tenure; nor shall such a contingency be attached to the appointment of a faculty member if he or she held permanent tenure in the institution on July 1, 1975, and his or her appointment was not then contingent upon the continuing availability of funds from sources other than continuing State budget funds or permanent trust funds.

Further exceptions to this requirement may be made with respect to faculty members in the Division of Health Affairs in accordance with the following policies and procedures. Each year there shall be established for each School in the Division of Health Affairs a maximum amount of funds from sources other than continuing State budget funds, permanent trust funds, and clinical income (treated for this purpose as though it were income from permanent trust funds) which may be used in compensating faculty members without including contingency clauses in their appointments. This maximum amount shall be established for each School in consultations among the Executive Vice Chancellor and Provost, the Vice Chancellor for Finance and Administration, and the dean of that School, with the approval of the Chancellor. The dean of each School may recommend that an individual appointment be made without

inclusion of a contingency clause notwithstanding it is funded in whole or in part from sources other than continuing State budget funds, permanent trust funds, or clinical income, and though it is not covered by either of the exceptions stated in the preceding paragraph, if the amount of funding from such other sources does not cause the agreed maximum for the School to be exceeded. Approval of such recommendation may be declined on any grounds deemed appropriate by the reviewing officers of administration, but in no event shall it be given if the proposed funding of the appointment would cause the maximum applicable to the School to be exceeded.

(ii) Provisions for less than full-time employment

Special terms for less than full-time employment with commensurate compensation, or for relief from all employment obligations for a specified period, may be included in an appointment or reappointment to any faculty rank, or may be added by written memorandum of amendment during the term of an appointment. For reasons of health, requirements of childbirth or child care, or similar compelling circumstances, such terms may, with the concurrence of the faculty member, include extensions of the period of a current probationary term of appointment at the rank of assistant professor or associate professor, and thereby the maximum probationary period, to coincide with the extent and duration of the relief from employment obligations. Extensions under this subsection (ii) may be granted in increments not to exceed 12 months, up to a maximum of 24 months (including any extensions that may have been granted under subsection (iii), below). [Amended 5/20/2004]

(iii) Special provisions for extending the maximum probationary period

For reasons of health, requirements of childbirth or child care, or similar compelling circumstances, a faculty member holding a probationary term of appointment at the rank of assistant professor or associate professor may request a written memorandum of amendment extending the term of the current appointment and thereby the maximum probationary period with no resulting change in normal employment obligations, in order to provide the faculty member additional time to demonstrate fully his or her professional qualifications for reappointment or permanent tenure. Extensions under this subsection (iii) may be granted in increments not to exceed 12 months, up to a maximum of 24 months (including any extensions that may have been granted under subsection (ii), above). [Amended 5/20 2004.]

(iv) Extensions and special assignment

If possible under the circumstances, any request made pursuant to subsection (ii) or (iii) above should be initiated not later than 24 months before the end of the term to which it is to apply and must be initiated before the process for

evaluating the faculty member for reappointment has begun. All such extensions must be approved by the Chancellor (or his or her delegate) before becoming effective. The total of all extensions granted under subsection (ii) and subsection (iii) above cannot exceed 24 months. [Amended 5/20/2004]

The provisions of subsections (ii) and (iii) above do not apply to informal temporary adjustments of the regularly assigned duties of faculty members by the department chair who is responsible for their direct supervision; nor to the granting by the University of extended leaves of absence with or without compensation. [Amended 2/18/94]

(7) Joint appointments

A faculty member may at one time hold but one faculty appointment at the rank of professor, associate professor, or assistant professor. This appointment may be held in a single department, or, by joint appointment, in more than one department.

Joint appointments may be made in which the appointee holds in addition to a professorial rank in one department a fixed-term rank in another department, or different fixed-term ranks in different departments. A joint appointment to the faculties of more than one department may be made in accordance with the provisions of this subsection. When an initial joint appointment is to be made, the regular procedures prescribed herein for initial appointment to the rank proposed shall be followed simultaneously by the departments involved in making a joint recommendation for appointment. The joint recommendation shall designate one of the departments as the unit of base appointment, and shall set forth as special terms and conditions for inclusion in the appointing document: the basis of initial funding of the appointment; the procedures agreed to be followed by the departments in making joint decisions respecting promotion, reappointment, and tenure of the joint appointee; and the procedures to be followed by the chairs in respect of salary adjustments for the joint appointee. If the joint appointment is approved, thereafter the base department is responsible for processing personnel actions affecting the joint appointee, but in respect of each such action the recommendation put forward shall be one jointly concurred in by the departments concerned as required by their agreed procedures for joint consultation and decision.

An appointment to a single department may be converted into a joint appointment. The department chairs concerned shall jointly put forward through the regular channels for review of initial appointments a recommendation that the existing appointment be converted into a joint appointment. The joint recommendation shall include the same elements required in respect of a recommendation for initial joint appointment. Upon approval of such a recommendation, the joint appointee retains the single rank with the same incidents of academic tenure already possessed. Thereafter, all personnel actions

affecting his or her academic tenure shall be processed as provided in the case of an initial joint appointment.

(8) Post-tenure review

The chair of the department shall conduct periodic reviews of each tenured faculty member's performance in accordance with the requirements of the University's Post-Tenure Review Policy. Reviews must involve faculty peers, examine all aspects of the faculty member's academic performance, and be conducted no less often than every five years. The goal of the review is to promote faculty development, ensure faculty productivity and provide accountability.

Comprehensive reviews conducted for other purposes, such as consideration for promotion, may constitute a review under this Section. On petition of the chair, the Provost may grant permission to delay a review if the number of reviews to be conducted by a department during a given year would create a burden that would impair the department's educational mission, or for other compelling cause.

Faculty members may grieve matters related to post-tenure review to the Faculty Grievance Committee under Section 607 of the Code of the University of North Carolina during their term of employment. [Amended 9/29/00 and 10/20/2009]

(9) Resignations

A faculty member shall give prompt written notice of his or her resignation, with its effective date, to the chair of his or her department.

Section 3. Suspension, Demotion, and Discharge of Faculty Members

During any fixed or probationary term appointment and while on permanent tenure, a faculty member may be suspended, demoted, or discharged from employment only on the grounds and in accordance with the procedures herein provided.

a. Grounds for suspension, demotion, or discharge

As specified in Section 603 of the Code of the University of North Carolina, the permissible grounds for suspension, demotion, or discharge are:

1. misconduct of such a nature as to indicate that the faculty member is unfit to continue as a member of the faculty, including, but not limited to, violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, inappropriate or unethical conduct. To justify serious disciplinary action, such misconduct should be either (i) sufficiently related to a faculty member's academic responsibilities as to disqualify the individual from effective performance of university duties, or (ii) sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member;

2. incompetence, including, but not limited to, significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time; and
3. neglect of duty, including, but not limited to, sustained failure to meet assigned classes or to perform other significant faculty professional obligations.

b. Procedures for discharge, demotion or suspension

1. The Provost or his or her delegate shall send the faculty member a written notice of intention to suspend, demote, or discharge the faculty member together with a written specification of the reasons. The notice and specification of reasons shall be sent by a method of mail or delivery that requires a signature for delivery. The statement shall include notice of the faculty member's right, upon request, to a hearing by an elected standing faculty committee on hearings.
2. If, within fourteen calendar days³ after he or she receives the notice and specifications referred to in paragraph (1) above, the faculty member makes no written request for a hearing, he or she may be suspended, demoted, or discharged without recourse to any further institutional procedure by a written letter from the Provost.
3. Repealed.
4. If the faculty member makes a timely written request for a hearing, the Chancellor or his or her delegate shall insure a process is in place so that the hearing is accorded before a standing committee of the faculty composed of at least five faculty members who had permanent tenure when elected by the voting members of the general faculty. The hearing shall be on the written specification of reasons for the intended discharge, suspension, or demotion. The hearing committee shall accord the faculty member thirty calendar days from the time it receives his or her written request for a hearing to prepare his or her defense. The hearing committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The hearing committee will ordinarily endeavor to complete the hearing within ninety calendar days except under unusual circumstances such as when a hearing request is received during official university breaks and holidays and

³ As used in Sections 3, 4, and 6, except when calendar day is specified, the word "day" shall mean any day except Saturday, Sunday, or an institutional holiday. In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

despite reasonable efforts the hearing committee cannot be assembled.⁴
[Amended 6/20/80 and 10/20/09]

5. The hearing shall be closed to the public unless the faculty member and the hearing committee agree that it may be open. The faculty member shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, to examine all documents and other adverse demonstrative evidence, and to make argument. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the University's expense.
6. The Provost, or his or her delegate and/or counsel, may participate in the hearing to present evidence, cross-examine witnesses, to examine all documents and other evidence, and to make argument.
7. In reaching decisions on which its written recommendations to the Chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written and oral arguments as the committee, in its discretion, may allow. The University has the burden of proof. In evaluating the evidence, the committee shall use the standard of "clear and convincing" evidence in determining whether the University has met its burden of showing that permissible grounds for serious sanction exist and are the basis for the recommended action. The committee shall make its written recommendations to the Chancellor within fourteen calendar days after its hearing concludes or after the full transcript is received, whichever is later.
8. In reaching a decision, the Chancellor shall consider only the written transcript of the hearing and the report of the hearing committee. If the Chancellor intends to reject the recommendation of the hearing committee, the Chancellor shall communicate that intention to the affected faculty member and to the committee along with his or her reasons and provide an opportunity for committee response before taking final action. In such a case the committee shall reconsider its recommendation, taking account of the Chancellor's stated objections and receiving new evidence if the committee deems it necessary. The committee shall transmit its response to the Chancellor within ten days of the committee's receipt of the Chancellor's communication. After considering the committee response, the Chancellor shall issue a decision either concurring in or declining to accept the committee's recommendation. The Chancellor's decision shall be conveyed in writing to the affected faculty member and to the hearing

⁴ To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days be established for the hearing when scheduling the first day, for the eventuality that the hearing may take two or more sessions.

committee. If the Chancellor concurs in a recommendation of the hearing committee that is favorable to the faculty member, his or her decision shall be final. If the Chancellor either declines to accept a hearing committee recommendation that is favorable to the faculty member or concurs in a hearing committee recommendation that is unfavorable to the faculty member, the faculty member may seek review of the Chancellor's decision by the Board of Trustees, as provided in Section 8. [Amended 6/20/80; 1/9/87; 4/9/98; 10/20/2009]

9. When a faculty member has been notified of the University's intention to discharge him or her, the Chancellor may reassign the individual to other duties or suspend him or her at any time and continue the suspension until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

Section 4. Nonreappointment of Tenure Track Faculty Members

a. Permissible and impermissible grounds for nonreappointment

Except as herein provided, the decision not to reappoint a tenure track faculty member upon expiration of a probationary term of appointment is committed, without further recourse, to the judgment of the officers of administration authorized to make it, acting in accordance with prescribed procedures. In exercise of their judgment, whether in the first instance or in review of a recommendation to reappoint, such officers may take into account and use as the basis of decision, in whole or in part, any factors deemed relevant to total institutional interests; except that the decision may not be based upon: (1) exercise by the faculty member of rights guaranteed by the First Amendment to the Constitution of the United States or by Article I of the Constitution of North Carolina; or (2) discrimination based upon the race, color, sex, sexual orientation, religion, creed, national origin, age, disability, or veteran status of the faculty member, or upon other forms of discrimination prohibited under policies adopted by the Board of Trustees; or (3) personal malice. For purposes of this section, the term "personal malice" means dislike, animosity, ill-will or hatred based on personal characteristics, traits, or circumstances of an individual that are not relevant to valid University decision making.⁵ [Amended 7/1/2004; 10/20/2009.]

b. Administrative conferences following decision not to reappoint

Within 14 calendar days after receiving written notice of nonreappointment, a faculty member may in writing request a private conference with the officer of administration who made the decision, to discuss the reasons for nonreappointment. If the identity of the

⁵ See section 101.3.1.II.B of the UNC Policy Manual for details.

officer is not known to the faculty member, the department chair shall provide the information forthwith upon request of the faculty member. The request for conference shall be granted and the conference held forthwith, within 7 calendar days after receipt of the request if possible. Within 7 calendar days after completion of the conference the officer of administration shall give a simple unelaborated written notice to the faculty member as to whether the original decision remains in effect.

If the notice is that the original decision remains in effect, the faculty member may proceed as follows. When the decision not to reappoint was made by an officer of administration in review of the recommendation of a department chair to reappoint, the faculty member may thereupon proceed, in accordance with succeeding subsections, to request review by the standing committee of the faculty charged with reviewing discharges under Section 3 hereof.

When the decision was made in the first instance by the department chair, the faculty member may, within 7 calendar days after receipt of the notice, in writing request a conference with the officer of administration in immediate supervision of the department chair. This request shall be granted and the conference held forthwith, within 7 calendar days after receipt of the request if possible. Within 14 calendar days after completion of the conference, the reviewing officer of administration shall in writing communicate his or her evaluation of the matter to the faculty member and to the department chair.

The evaluation may be in the form of an unelaborated concurrence with the decision; an expression of disagreement with the decision, with or without supporting reasons; or a recommendation for reconsideration of the decision, with or without suggestions for specific procedures to be followed upon reconsideration. Whatever form the evaluation may take, it is merely recommendatory and not binding upon the department chair, nor final as to the faculty member.

Within 7 calendar days after receipt of an evaluation which involves disagreement with the decision or recommendation for its reconsideration, the department chair shall in writing notify the faculty member and his or her immediate supervisor of his or her response.

A faculty member's failure to abide by the timelines specified herein shall finalize the reappointment decision and terminate the faculty member's otherwise available recourse to further review by the hearing committee, the Chancellor, and/or the Board of Governors.

c. Request for review by hearing committee; scope of review

If the faculty member has timely requested and participated in the administrative conferences provided in subsection b. and has received notice of unfavorable action resulting therefrom, the faculty member may within 14 calendar days after receipt of such notice request a review of the decision by the standing committee of the faculty charged (under Section 3 hereof) with conducting hearings on faculty discharges. Such review

may be had solely to determine whether the decision not to reappoint was (1) based upon any of the grounds stated to be impermissible in subsection a. of this Section 4, or (2) affected by material procedural irregularities. Whether procedural irregularities occurred shall be determined by reference to those procedures which were in effect when the initial decision not to reappoint was made and communicated. The hearing committee shall ask the Chancellor to certify what procedures were then in effect if that is a matter of dispute. For purposes of this Section 4, "material procedural irregularities" means departures from prescribed procedures governing reappointment that cast doubt upon the integrity of the original decision not to reappoint.

The request for review shall be in writing and addressed to the chair of the hearing committee. It shall specify the grounds upon which it is contended that the decision was impermissibly based or affected by material procedural irregularities, and shall include a short and plain statement of facts which the faculty member believes support the contention.

Submission of such a request constitutes on the part of the faculty member: (1) a representation that he or she can support his or her contention by factual proof, and (2) an agreement that the institution may offer in rebuttal of his or her contention any relevant data within its possession.

The hearing committee shall consider the request and shall grant a hearing if it determines after a preliminary review that the request contains a contention that the decision was impermissibly based or affected by material procedural irregularities and that the facts suggested, if established, might support the contention. If the request is not granted, the committee shall make a recommendation to the Chancellor to uphold the decision not to reappoint. If the request is granted, a hearing shall be held within 14 calendar days after receipt of the request, provided that the faculty member shall be given at least 7 calendar days' notice of the hearing. [Amended 6/20/80; 1/9/87; 10/20/09]

d. Conduct of hearing

The question before the committee shall be decided by the committee. However, the committee may delegate the duty of conducting a hearing to a panel of at least three members. The hearing shall be conducted informally and in private; only the members of the committee, the faculty member, the officer of administration who made the decision, and such witnesses as may be called shall attend except that the faculty member and the officer of administration may each be assisted or, in their absence, represented by a spokesman designated in writing so to act. Committee members who hold appointments in the faculty member's department or school or who will testify as witnesses, or who have any other conflict of interest are disqualified. A professional court reporter, or similarly reliable means, shall be used to enable the production of a verbatim written transcript of the hearing and to maintain a record of the documents received by the committee. Upon the request of the faculty member, a transcript of the proceedings shall be made and provided to the faculty member at the University's expense. The committee may consider only such evidence and such written and oral arguments as is presented at

the hearing, and need consider only such evidence or argument offered which it considers fair and reliable. All witnesses may be questioned by members of the committee, the faculty member, and the officer of administration or the respective spokesmen of the faculty member and the officer of administration. Except as herein provided, the conduct of the hearing is under the control of the committee chair or the member designated by the chair for this purpose. [Amended 6/20/80, 10/20/2009]

e. Hearing procedure

The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof as he or she desires to offer. When he or she has concluded this presentation, the hearing committee shall recess to consider whether the proof offered in support of the contention establishes the contention unless it be now rebutted or unless the decision not to reappoint be now otherwise explained. If it determines that the contention has not been so established, it shall so notify the parties to the hearing, terminate the proceedings, and make a recommendation to the Chancellor to uphold the decision not to reappoint. If it determines that rebuttal or explanation is desirable, it shall so notify the parties and the hearing shall proceed. The officer of administration may then present in rebuttal of the faculty member's contentions, or in general support of the decision not to reappoint, such testimonial or documentary proofs as he or she desires to offer, including his or her own testimony. [Amended 6/20/80, 10/20/2009]

At the end of such presentation, the hearing committee shall consider the matter in executive session. The burden of proof is upon the aggrieved faculty member to satisfy the committee by the preponderance of the evidence (which is the same as the greater weight of the evidence) that his or her contention is true. [Amended 6/20/80, 10/20/2009]

f. Procedure after the committee reaches a decision.

If the hearing committee determines not to grant the faculty member a hearing or determines, following a hearing, that the contention of the faculty member has not been established, it shall make a recommendation to the Chancellor to uphold the decision not to reappoint.

If the hearing committee determines that the contention of the faculty member has been satisfactorily established, it shall so notify him or her and the officer of administration by a written notice that shall also include a recommendation for corrective action by the officer of administration.

Within seven calendar days after receiving the recommendation, the officer of administration shall notify the faculty member and the chair of the hearing committee what modification, if any, he or she will make with respect to the original decision not to reappoint.

If the officer of administration fails to make a recommended modification in the original decision, the hearing committee shall submit a report to the Chancellor containing the committee's findings and recommendation and what it considers to be appropriate action by the Chancellor to resolve the matter satisfactorily.

The Chancellor shall make a determination based on a thorough review of (1) the record evidence from the hearing, if a hearing was held, and (2) the report of the hearing committee. The Chancellor shall notify the faculty member and the officer of administration of the decision and, if the decision is adverse to the faculty member, shall inform the faculty member of the faculty member's right to request review of the decision by the Board of Governors, as provided in Section 9. The notice of decision shall be conveyed to the faculty member by a method that produces adequate evidence of delivery.

[Amended 6/20/80; 1/1/04, 10/20/09]

Section 5. Retirement Policy for Members of the Faculty

Each member of the faculty may retire in accordance with the provisions of Chapter 135 of the General Statutes of North Carolina.

Section 6. Termination of Faculty Employment for Reasons of Financial Exigency or Program Change

a. Definitions

Within this Section 6 the following terms have the meanings indicated:

1. "Termination" means the termination of employment of a faculty member during the course of a tenured, probationary, or fixed term appointment for reasons of financial exigency or program change.
2. "Financial exigency" means a significant decline in the financial resources of the University that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in its current operations budget.
3. "Program change" means elimination or major curtailment of a teaching, research, or public service program.
4. "Faculty committee" or "committee" means a committee to be constituted by the faculty of the University which shall consist of not fewer than twelve members of the faculty holding tenured or probationary appointments when elected by the faculty on a basis broadly representative of the various divisions and sub-units of

the University, and which is empowered hereby to discharge the functions prescribed for it in this Section 6. [Amended 9/9/00]

b. General grounds for termination

Termination of faculty employment may be effected because of (i) demonstrable, bona fide financial exigency, or (ii) program change for demonstrable, bona fide institutional reasons, on the basis of a decision by the Chancellor, concurred in by the President and approved by the Board of Governors, that for either cause the University's contractual obligation to one or more faculty members cannot be further met. Such a decision by the Chancellor may be made, and any resulting termination effected, only in accordance with the procedure provided in this Section 6.

c. Chancellor's preliminary determination and statement

If it should appear to the Chancellor that a state of financial exigency exists or is imminent, or a program change has occurred or should seriously be considered, and that termination of the employment of one or more faculty members may be a required consequence of either circumstance, he or she shall forthwith prepare a statement which identifies with reasonable particularity the state of financial exigency or the program change, and which outlines in terms as specific as the circumstances permit the options for institutional response readily apparent to the Chancellor at the time, including any options which would or might involve terminations of faculty employment. This statement shall be transmitted forthwith to the faculty committee, with request for its action in accordance with the provisions of subsection d. hereof. Simultaneously, a summary of the statement shall be published by any means reasonably calculated to bring it to the attention of all members of the faculty in residence, together with a statement that the subject has been referred to the faculty committee for action. Pending committee action, the Chancellor shall undertake, either directly or by delegate, to obtain advice and recommendations in respect of the matters addressed in the statement from all those officers of administration and faculty whose units might reasonably be expected to be affected by the adoption of any identified option involving terminations.

d. Committee action

Acting in accordance with procedures which may be prescribed for it by the faculty, the committee shall address the matters identified in the Chancellor's statement with a view to giving its advice and recommendations thereon to the Chancellor. In this function the committee acts as representative of the interests of the faculty at large in both its individual concerns and its concerns for the educational program of the University. The committee may obtain further information reasonably available to the Chancellor and any clarifications of the situation by the Chancellor which are reasonably possible in the light of information then available. Not later than 30 calendar days after receipt of the statement, the committee shall submit to the Chancellor its written report. The report shall contain advice and recommendations addressed to the precise circumstance and optional responses identified in the Chancellor's statement and may suggest other

responses or courses of action for consideration or adoption by the Chancellor. The report may be accompanied by any communications and other data considered by the committee.

e. Chancellor's decision

Within 30 calendar days after receipt of the report, and having due regard for the advice and recommendations received from the committee and from the officers of administration, the Chancellor shall determine whether any option involving terminations must be retained as a possible institutional response. If he or she determines that it is not necessary, in view of other available options, to give further consideration to any option involving terminations, he or she shall so notify the committee and the faculty. If he or she determines that, on the basis of all information then available, it will be necessary to take action which will or reasonably might involve terminations, he or she shall request concurrence in that decision by the President and approval by the Board of Governors to take such action, and shall notify the committee and the faculty of this decision.

f. Chancellor's proposal for action following Board of Governors' approval of terminations

Within 30 calendar days after receipt of notice of approval of his or her request by the Board of Governors, if the Chancellor still considers that action involving terminations is or may be required, he or she shall transmit to the faculty committee a statement which (i) designates the particular departments in which terminations are to be effected and the factors which are to be used by each of the designated departments in determining the number, and (ii) suggests the criteria to be used by the designated departments in selecting individual faculty members for termination of employment. Simultaneously, the Chancellor shall publish by any means reasonably calculated to bring it to the attention of all members of the faculty in residence a notice that a proposed course of action involving terminations of faculty employment has been referred to the faculty committee for action.

g. Committee action

Acting in accordance with procedures which may be prescribed for it by the faculty, the committee shall address the proposal contained in the Chancellor's statement with a view to giving its advice and recommendations thereon. Not later than 30 calendar days after receipt of the statement, the committee shall submit to the Chancellor its written report containing advice and recommendations addressed to the proposed course of action and to the criteria for determining individual faculty members for terminations of employment. It may concur in whole or in part, suggest other courses of action for consideration, or advise modifications in the proposed course of action or in the criteria for individual faculty member selection.

h. Chancellor's action following committee report

If following receipt of the committee's report, and having due regard for its contents, the Chancellor still considers that action involving terminations is required, he or she shall not later than 30 calendar days after receipt of the report so notify the committee, the chief officers of administration in the affected departments, and, by general notice, the faculty of the University. The notice to the committee and to the officers of administration shall prescribe the specific action required of each department and the criteria to be used by each in initiating termination procedures for individual faculty members. The criteria specified by the Chancellor shall include as the primary consideration the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the University, and shall also include tenure status, length of service in the University, and any other factors deemed relevant by the Chancellor. No final action affecting departments not previously designated for terminations shall be directed until the modified proposal shall have been re-referred to the faculty committee for its response as in the case of the original referral.

i. Individual terminations

Within 60 calendar days after receipt of notice from the Chancellor that terminations are to be effected within a department, the chair of the department, after consultation with the assembled full professors of the department and after taking such other procedures as may have been provided by the faculty of the University, shall initiate the required terminations by recommendations with respect to particular faculty members. These recommendations shall then be reviewed in accordance with the administrative procedures within the institution for reviewing appointments to the respective ranks held by the particular faculty members.

j. Notice to individual faculty members

1. **Contents.** Upon approval by the Chancellor of a recommendation for termination of employment, the faculty member shall be notified in writing of the termination. The notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.
2. **Timeliness.** When termination is based upon program change unrelated to financial exigency, a faculty member on tenured appointment shall be given not less than twelve months notice in advance of its effective date, and a faculty member on probationary or fixed term appointment shall be given not less than 90 calendar days notice during the first year of service, not less than 180 calendar days notice during the second year of service, and not less than twelve months notice after two or more years of continuous service.

When termination is based upon financial exigency, the University shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limit of available resources, to give the same advance notice as is required for terminations based upon program change alone.

k. Obligations with respect to reemployment or other employment

For a period of two years after the effective date of a termination pursuant to the provisions of this Section 6, the University shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by registered mail, return receipt requested, and shall provide a period for acceptance of 30 calendar days following attempted delivery. When requested by the person whose employment has been terminated, the University shall give reasonable assistance in finding other employment for him or her.

1. Review of individual terminations

1. Request for hearing

Within 30 calendar days after receipt of a notice of termination, a faculty member may request a review of the action by the standing committee of the faculty charged with conducting hearings on discharges of faculty members (under Section 3 hereof). Review may be had solely to determine whether the decision to terminate was arbitrary or capricious.

The request for review shall be in writing, addressed to the chair of the hearing committee. It shall specify the grounds upon which it is contended that the decision was arbitrary or capricious, and shall include a short and plain statement of facts which the faculty member believes support the contention.

Submission of such a request constitutes on the part of the faculty member (i) a representation that he or she can support his or her contention by factual proof, and (ii) an agreement that the University may offer in rebuttal of his or her contention any relevant data within its possession.

The hearing committee shall consider the request and shall grant a hearing if it determines that the request contains a bona fide contention that the decision to terminate was arbitrary or capricious, and that the facts suggested, if established, might support the contention. A decision not to grant the request is not subject to review, except as provided in Section 8. If the request is granted, a hearing shall be held within 14 calendar days after receipt of the request, provided that the faculty member shall be given at least 7 calendar days' notice of the hearing. [Amended 6/20/80]

2. Conduct of hearing

The question before the committee shall be decided by the committee. However, the committee may delegate the duty of conducting a hearing to a panel of at least three members. The hearing shall be conducted informally and in private; only the members of the committee, the faculty member, an officer of administration designated by the Chancellor, and such witnesses as may be called shall attend, except that the faculty member and the Chancellor's delegate may each be assisted or, in their absence, represented by a spokesman designated in writing so to act. Hearing committee members who hold appointment in the department of the faculty member, or who will testify as witnesses or who have any other conflict of interest are disqualified. Upon request of the faculty member, a transcript of the proceeding shall be made and provided to the faculty member at University expense. The hearing committee may consider only such evidence as is presented at the hearing, and need consider only that offered which it considers fair and reliable. All witnesses may be questioned by the members of the committee, the faculty member, and the Chancellor's delegate, or the respective spokesmen of the faculty member and the Chancellor's delegate. Except as herein provided, the conduct of the hearing is under the control of the chair of the hearings committee or the member designated by the chair for this purpose. [Amended 6/20/80]

The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof as he or she desires to offer. When this presentation is concluded, the hearing committee shall recess to consider whether the proof offered in support of the contention establishes the contention unless it be now rebutted. If it determines that the contention has not been so established, it shall so notify the parties and conclude the proceedings, which action is not subject to review except as provided in Section 8. If it determines that rebuttal is desirable, it shall so notify the parties and the hearing shall proceed. The Chancellor's delegate may then present, in rebuttal of the faculty member's contention or in general support of the decision to terminate, such testimonial or documentary proofs as he or she desires to offer, including his or her own testimony. [Amended 6/20/80]

At the conclusion of the presentation by the Chancellor's delegate the hearing committee shall consider the matter in executive session. The burden is upon the faculty member to satisfy the committee by clear, cogent, and convincing evidence that his or her contention is true. [Amended 6/20/80]

3. Procedure after hearing

If the hearing committee determines that the contention of the faculty member has not been established, it shall, by a simple unelaborated

statement, so notify the faculty member and the Chancellor. Such a determination is not subject to review, except as provided in Section 8. If the hearing committee determines that the contention of the faculty member has been established, it shall so notify the faculty member and the Chancellor by a written notice which shall also include a recommendation for corrective action to be taken by the Chancellor. [Amended 6/20/80]

Section 7. Effectiveness

Except as otherwise provided below, all provisions of these policies and regulations shall become operative (with respect to all existing as well as future faculty appointments) on the effective date, which shall be the date 35 calendar days after the day on which these policies and regulations shall have been approved by the President of The University of North Carolina:

The policies and regulations herein set forth shall not be applied to alter existing incidents of academic tenure⁶ to the disadvantage of any person who shall have been a member of the faculty immediately prior to the effective date.

Section 8. Review by the Board of Trustees

This section shall apply to review by the Board of Trustees of the following decisions made pursuant to these policies and regulations:

- (1) A decision by the Chancellor under §3.b.8. declining to accept a recommendation of the hearings committee favorable to the faculty member.
- (2) A decision by the Chancellor under §3.b.8. concurring in a hearings committee recommendation unfavorable to the faculty member.
- (3) A decision by the hearings committee under §6.l.1. rejecting a request for a hearing.
- (4) A decision by the hearings committee under §6.l.2. terminating a hearing at the conclusion of the faculty member's proof.

⁶ As used here, the phrase "existing incidents of academic tenure" means those characteristics of academic ranks set out in Section 4-2(b) of the "Code Provisions Governing The University of North Carolina, Bylaws of the Board of Trustees, and Duties of the University Officers—1970."

EDITOR'S NOTE: This footnote references a document that appears to have been revoked or substantially revised between the restructuring of The University of North Carolina in 1972 and adoption of the current edition of The Code of the Board of Governors of The University of North Carolina in 1988. A currently effective counterpart has not been identified.

- (5) A decision by the hearings committee under §6.l.3. determining that the faculty member has not established his or her contention.
- (6) A decision by the Chancellor under §6.l.3. declining to take corrective action recommended by the hearings committee in connection with a decision favorable to the faculty member.

Requests for review by the Board of Trustees of the decisions enumerated above shall be transmitted through the Chancellor and addressed to the Chair of the Board of Trustees. The request must be filed within fourteen calendar days after the date of communication to the faculty member of notice of the decision sought to be reviewed. The question under review shall be decided by the full Board of Trustees. However, the Board may delegate the duty of conducting a hearing to a committee of at least three members. The Board of Trustees, or its committee, will conduct its review on the written transcript of the hearing, the report of the hearing committee, and the decision of the Chancellor, but it may, in its discretion, hear such other evidence as it deems necessary. In all cases, review shall be limited to the question of whether the Chancellor or the hearings committee, as the case may be, committed clear and material error in reaching the decision under review. The Board shall make its decision as soon as reasonably possible after receipt of the request for review by the Chair of the Board. This decision shall be final, except that, with respect to a decision by the Chancellor under § 3.b.8 declining to accept a recommendation of the hearings committee favorable to the faculty member or a decision by the Chancellor under § 3.b.8. concurring in a hearings committee recommendation unfavorable to the faculty member, the faculty member may, within fourteen calendar days after receiving notice of the decision, file a written notice of appeal with The Board of Governors alleging with particularity the specific provisions of The Code of The University of North Carolina which the faculty member alleges to have been violated. All such appeals shall be transmitted to The Board of Governors by certified mail, return receipt requested, or by another means that provides proof of delivery, through the President. [Amended 6/20/80; 1/9/87; 1/1/04; 10/20/09]

Section 9. Review by the Board of Governors

In addition to appeals to the Board of Governors provided for in Section 8 hereof, a decision by the Chancellor not to reappoint a faculty member may be reviewed by The Board of Governors. Review by the Board of Governors is intended only to determine if the campus-based process or decision had material procedural errors, was clearly erroneous, or was contrary to controlling law or policy. Requests for review by The Board of Governors shall be made in accordance with the requirements of The Code of The Board of Governors of The University of North Carolina and the UNC Policy Manual, including the requirement that the request be submitted to the President by certified mail, return receipt requested, or by other method that produces adequate evidence of delivery, within 14 calendar days after the faculty member's receipt of the adverse decision. [Added 1/1/04, Amended 10/20/2009]

Appendix

Provisions of The Code of the Board of Governors of The University of North Carolina Pertaining to Academic Tenure

CHAPTER VI ACADEMIC FREEDOM AND TENURE

SECTION 600 FREEDOM AND RESPONSIBILITY IN THE UNIVERSITY COMMUNITY.

(1) The University of North Carolina is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. The University therefore supports and encourages freedom of inquiry for faculty members and students, to the end that they may responsibly pursue these goals through teaching, learning, research, discussion, and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors

(2) The University and each constituent institution shall protect faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth.

(3) Faculty and students of the University of North Carolina shall share in the responsibility for maintaining an environment in which academic freedom flourishes and in which the rights of each member of the academic community are respected.

SECTION 601. ACADEMIC FREEDOM AND RESPONSIBILITY OF FACULTY.

(1) It is the policy of the University of North Carolina to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of the academic staffs of the constituent institutions. Members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with the University and their position as men and women of learning. They should not represent themselves, without authorization, as spokespersons for the University of North Carolina or any of its constituent institutions.

(2) The University and its constituent institutions shall not penalize or discipline members of its faculties because of the exercise of academic freedom in the lawful pursuit of their respective areas of scholarly and professional interest and responsibility.

SECTION 602.

ACADEMIC TENURE.⁷

(1) To promote and protect the academic freedom of its faculty, the board of trustees of each constituent institution shall adopt policies and regulations governing academic tenure. Policies adopted by a board of trustees regarding academic tenure and promotion shall be effective upon review by the senior vice president for academic affairs and the vice president and general counsel, and approved by the president. The chancellor shall review the constituent institution's tenure policies periodically, but at least every five years, and shall report to the president whether or not amendments or revisions are appropriate. The chancellor shall involve the faculty in this review.

(2) In all instances, the tenure conferred on a faculty member is held with reference to employment by a constituent institution, rather than to employment by the University of North Carolina.

(3) The tenure policies and regulations of each constituent institution⁸ shall prescribe the procedures by which decisions concerning appointment, reappointment, promotion, and the conferral of permanent tenure shall be made. The length of terms of appointment that do not carry permanent tenure and those faculty ranks or titles whose holders shall be eligible for permanent tenure shall be prescribed. The institutional policies and regulations also shall prescribe the intervals at which the review of candidates for reappointment and promotion, including the conferral of permanent tenure, shall occur. The tenure policies and regulations of each institution, which shall include the complete text of Chapter VI of *The Code*, shall be published by the institution and distributed to its faculty members.

(4) The tenure policies and regulations of each institution shall set forth the general considerations upon which appointment, reappointment, promotion, and permanent tenure are to be recommended. The institutional regulations shall provide that these considerations shall include an assessment of at least the following: the faculty member's demonstrated professional competence, the faculty member's potential for future contribution, and institutional needs and resources.

⁷Pursuant to NCGS §116-11(13), and notwithstanding *The Code* or any other Board of Governors policy, the Board of Governors delegates certain authorities to the President of the University. See Policy 200.6, *Delegation Authority to the President of the University*, adopted 11/13/06, amended 06/08/07.

⁸Because of the unique character and mission of the University of North Carolina School of the Arts and of the North Carolina School of Science and Mathematics, the requirement that the institution adopt tenure policies will be satisfied at those institutions by an employment system based on renewable contracts, which system need not provide for the traditional faculty ranks. Wherever the phrase "tenure policies and regulations" is used in this chapter, it shall mean, for the School of the Arts and for the School of Science and Mathematics, the faculty employment policies of those schools. Wherever the phrase "tenured faculty" is used in this chapter and in the Policies of the Board of Governors, it shall mean, for those schools, a faculty member holding a fixed-term contract.

(5) The institutional policies and regulations shall specify that permanent tenure may be conferred only by action of the president and the Board of Governors, or by such other agencies or officers as may be delegated such authority by the Board of Governors.⁹

(6) Institutional tenure policies and regulations shall distinguish among the following:

(a) the nonreappointment (or nonrenewal) of a faculty member at the expiration of a specified term of service;

(b) the discharge from employment of a faculty member with permanent tenure or of a faculty member appointed to a specified term of service before that term expires only for reasons of (i) incompetence, (ii) neglect of duty, or (iii) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, as specified in Code Section 603;

(c) the termination of employment for reasons of institutional financial exigency or major curtailment or elimination of a teaching, research, or public-service program of a faculty member who has permanent tenure, or of a faculty member who has been appointed to a specified term of service before that term expires; and

(d) retirement.

(7) Institutional tenure policies and regulations shall provide that the appointment, reappointment, or promotion of a faculty member to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether for a specified term or for permanent tenure, shall be contingent upon the continuing availability of such funds. The institutional tenure policies and regulations may make one or more of the following exceptions to the foregoing contingency requirement:

(a) That such a contingency shall not be included in a promotion to a higher rank if, before the effective date of that promotion, the faculty member had permanent tenure and no such condition is attached to the tenure.

(b) That such a contingency shall not be attached to the faculty member's contract if the faculty member held permanent tenure in that institution on July 1, 1975, and the contract was not contingent upon the continuing availability of sources other than continuing state budget or

⁹See Footnote 8 on previous page.

permanent trust funds.

(c) That such a contingency may be waived for health affairs faculties because of the unusual dependence of programs in the health professions on income from sources such as clinical receipts.

If a faculty member's appointment is terminated because of the nonavailability of these funds, the institution will make every reasonable effort to give the same notice as set forth in Section 605 B (1). This notice shall include the pertinent data upon which the termination is based.

(8) The tenure policies and regulations of each institution shall be subject to approval by the president. The president periodically shall review and re-evaluate these policies and regulations and report findings and recommendations, if any, to the Committee on Personnel and Tenure and through the committee to the Board of Governors.

SECTION 603. DUE PROCESS BEFORE DISCHARGE OR THE IMPOSITION OF SERIOUS SANCTIONS.

(1) A faculty member who is the beneficiary of institutional guarantees of tenure shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged from employment, suspended, or demoted in rank for reasons of:

(a) incompetence, including significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time;

(b) neglect of duty, including sustained failure to meet assigned classes or to perform other significant faculty professional obligations; or

(c) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, including violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, inappropriate or unethical conduct. To justify serious disciplinary action, such misconduct should be either (i) sufficiently related to a faculty member's academic responsibilities as to disqualify the individual from effective performance of university duties, or (ii) sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member.

These sanctions may be imposed only in accordance with the procedures prescribed in this section. For purposes of this Code, a faculty member serving a stated term shall be regarded as having tenure until the end of that term. These procedures shall not apply to nonreappointment (Section 604) or termination of employment (Section 605).

(2) The chief academic officer of the institution, however titled, shall send the

faculty member a written notice of intention to discharge the faculty member or impose a serious sanction together with a written specification of the reasons. The notice and specification of reasons shall be sent by a method of mail or delivery that requires a signature for delivery. The statement shall include notice of the faculty member's right, upon request, to a hearing by an elected standing faculty committee on hearings.

(3) If, within 14 calendar days after receiving the notice and written specifications referred to in paragraph (2) above, the faculty member makes no written request for a hearing, the faculty member may be discharged or serious sanction imposed without recourse to any institutional grievance or appellate procedure.¹⁰

(4) Repealed.

(5) If the faculty member makes a timely written request for a hearing, the chancellor shall ensure a process is in place so that the hearing is timely accorded before an elected standing committee of the institution's faculty. The hearing shall be on the written specification of reasons for the intended discharge or imposition of a serious sanction. The hearing committee shall accord the faculty member 30 calendar days from the time it receives the faculty member's written request for a hearing to prepare a defense. The hearing committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The hearing committee will ordinarily endeavor to complete the hearing within 90 calendar days except under unusual circumstances such as when a hearing request is received during official university breaks and holidays and despite reasonable efforts the hearing committee cannot be assembled.¹¹

(6) The hearing shall be closed to the public unless the faculty member and the hearing committee agree that it may be open. The faculty member shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, to examine all documents and other adverse demonstrative evidence, and to make argument. A written transcript of all proceedings shall be kept; upon request, a copy thereof shall be furnished to the faculty member at the institution's expense.

(7) The chief academic officer, or designee, and/or counsel, may participate in the hearing to present testimony of witnesses and other evidence, to cross-

¹⁰In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

¹¹To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days and times be established for the hearing when scheduling the first day, for the eventuality that they hearing may take two or more sessions.

examine witnesses, to examine all documents and other evidence, and to make argument.

(8) In reaching decisions on which its written recommendations to the chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The university has the burden of proof. In evaluating the evidence, the committee shall use the standard of “clear and convincing” evidence in determining whether the institution has met its burden of showing that permissible grounds for serious sanction exist and are the basis for the recommended action. The committee shall make its written recommendations to the chancellor within 14 calendar days after its hearing concludes or after the full transcript is received, whichever is later.

(9) If the chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the chancellor’s decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal the chancellor's decision to the board of trustees. This appeal shall be transmitted through the chancellor and be addressed to the chair of the board. Notice of appeal shall be filed within 14 calendar days after the faculty member receives the chancellor's decision. The appeal to the board of trustees shall be decided by the full board of trustees. However, the board may delegate the duty of conducting a hearing to a standing or ad hoc committee of at least three members. The board of trustees, or its committee, shall consider the appeal on the written transcript of hearings held by the faculty hearing committee, but it may, in its discretion, hear such other evidence as it deems necessary. The board of trustees' decision shall be made as soon as reasonably possible after the chancellor has received the faculty member’s request for an appeal to the trustees. This decision shall be final except that the faculty member may, within 14 calendar days after receiving the trustees' decision, file a written notice of appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, with the Board of Governors if the faculty member alleges that one or more specified provisions of the *Code of the University of North Carolina* have been violated. Any such appeal to the Board of Governors shall be transmitted through the president.

(10) When a faculty member has been notified of the institution's intention to discharge the faculty member, the chancellor may reassign the individual to other duties or suspend the individual at any time until a final decision concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

SECTION 604. APPOINTMENT, NONREAPPOINTMENT AND REQUIREMENTS OF NOTICE AND REVIEW FOR TENURE TRACK FACULTY.^{12.1}

604 A. Notice of Reappointment or Nonreappointment.^{12.2}

(1) The decision not to reappoint a faculty member at the expiration of a fixed term of service shall be made by the appropriate institutional faculty and administrative officers early enough to permit timely notice to be given.^{12.3} For full-time faculty at the rank of instructor, assistant professor, associate professor, or professor, the minimum requirement for timely notice shall be as follows:

- (a) during the first year of service at the institution, the faculty member shall be given not less than 90 calendar days' notice before the employment contract expires; and
- (b) during the second year of continuous service at the institution, the faculty member shall be given not less than 180 calendar days' notice before the employment contract expires; and
- (c) after two or more years of continuous service at the institution, the faculty member shall be given not less than 12 months' notice before the employment contract expires.

^{12.1}Because of the unique character and mission of the University of North Carolina School of the Arts and of the North Carolina School of Science and mathematics, regular faculty holding fixed-term contracts at those institutions are entitled to the rights afforded in this Section.

^{12.2}***Prior to January 1, 2004, Section 604 A read as follows:***

(1) The decision not to reappoint a faculty member at the expiration of a fixed term of service shall be made by the appropriate institutional faculty and administrative officers early enough to permit timely notice to be given. For full-time faculty at the rank of instructor, assistant professor, associate professor, or professor, the minimum requirement for timely notice shall be as follows:

- (a) during the first year of service at the institution, the faculty member shall be given not less than 90 calendar days' notice before the employment contract expires;
- (b) during the second year of continuous service at the institution, the faculty member shall be given not less than 180 calendar days' notice before the employment contract expires; and
- (c) after two or more years of continuous service at the institution, the faculty member shall be given not less than twelve months' notice before the employment contract expires.

(2) Notice of reappointment or nonreappointment shall be written. If the decision is not to reappoint, then failure to give timely notice of nonreappointment will oblige the chancellor thereafter to offer a terminal appointment of one academic year.

^{12.3}Faculty at North Carolina School of Science and Mathematics shall be given notice no later than January 15 during the first year of continuous regular service and no later than December 15 during the second or any subsequent year of continuous regular service.

(2) Notice of reappointment or nonreappointment shall be written. If the decision is not to reappoint, then failure to give timely notice of nonreappointment will oblige the chancellor thereafter to offer a terminal appointment of one academic year.

604 B. Impermissible Reasons for Nonreappointment.

In no event shall a decision not to reappoint a faculty member be based upon (a) the exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution, or (b) the faculty member's race, color, sex, religion, creed, national origin, age, disability, veteran's status, or other forms of discrimination prohibited under policies adopted by campus Boards of Trustees, or (c) personal malice. For purposes of this section, the term "personal malice" means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual. See Policy 101.3.1 II.B. for details.

604 C. Repealed.

604 D. Review of Nonreappointment Decisions.

(1) Campus Based Review. Subject to limitations contained in this Code and the Policies of the Board of Governors, each constituent institution shall have a procedure whereby a tenure track faculty member may seek review of the decision of the constituent institution not to reappoint the faculty member. Such procedures shall at a minimum provide for the following:

(a) A reasonable time of no less than 14 calendar days within which after receiving the notice of nonreappointment, the faculty member may request review of the decision by appropriate faculty committee and administrative officers. If the faculty member does not request review of the notice of non-reappointment in a timely fashion as specified by campus tenure policies, the nonreappointment is final without recourse to any further review by faculty committees, the institution, or the Board of Governors.

(b) If the faculty member files a request for review in a timely fashion, the chancellor shall ensure a process is in place so that a hearing is timely accorded before an elected standing committee of the institution's faculty.

(c) In reaching decisions on which its written recommendations to the chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The faculty member shall have the burden of proof. In evaluating the evidence the committee shall use the standard of preponderance of the evidence (which is the same as the greater weight of the evidence.)

(d) The purpose of the campus based review process is to determine (1) whether the decision was based on considerations that *The Code* provides are impermissible; and (2) whether the procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint.

(2) Appeal to the Board of Governors. If the chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the chancellor's decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal by filing a written notice of appeal with the Board of Governors, by submitting such notice to the President, by certified mail, return receipt requested, or by another means that provides proof of delivery, with 14 calendar days after the faculty member's receipt of the chancellor's decision. The notice must contain a brief statement of the basis for the appeal. The purpose of appeal to the Board of Governors is to assure (1) that the campus-based process for reviewing the decision was not materially flawed, so as to raise questions about whether the faculty member's contentions were fairly and reliably considered, (2) that the result reached by the chancellor was not clearly erroneous, and (3) that the decision was not contrary to controlling law or policy.^{12.4}

SECTION 605. TERMINATION OF FACULTY EMPLOYMENT.

605 A. Definition.

The tenure policies and regulations of each institution shall provide that the employment of faculty members with permanent tenure or of faculty members appointed to a fixed term may be terminated by the institution because of (1) demonstrable, bona fide institutional financial exigency or (2) major curtailment or elimination of a teaching, research, or public-service program. "Financial exigency" is defined as a significant decline in the financial resources of the institution that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in the institution's current operations budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of a teaching, research, or public-service program shall be made by the chancellor, after consulting with the academic administrative officers and faculties as required by Section 605C (1), subject to the concurrence by the President and then approval by the Board of Governors. If the financial exigency or curtailment or elimination of program is such that the institution's contractual obligation to a faculty member may not be met, the employment of the faculty member may be terminated in accordance with institutional procedures that afford the faculty member a fair hearing on that decision.¹³

^{12.4} See Policy 101.3.1 for additional information

¹³ Because of the unique character and mission of the North Carolina School of Science and Mathematics, when the employment of a faculty member is to be terminated during or at the conclusion of a fixed-term contract because of

605 B. Timely Notice of Termination.

(1) When a faculty member's employment is to be terminated because of major curtailment or elimination of a teaching, research, or public-service program and such curtailment or elimination of program is not founded upon financial exigency, the faculty member shall be given timely notice as follows:

(a) one who has permanent tenure shall be given not less than 12 months' notice; and

(b) one who was appointed to a fixed term and does not have permanent tenure shall be given notice in accordance with the requirements specified in Section 604 A(1).

(2) When a faculty member's employment is to be terminated because of financial exigency, the institution will make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give the same notice as set forth in Section 605 B(1).

(3) For a period of two years after the effective date of termination of a faculty member's contract for any of the reasons specified in Section 605 A, the institution shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by a method of delivery that requires a signature for delivery, and the faculty member will be given 30 calendar days after attempted delivery of the notice to accept or reject the offer.

major curtailment or elimination of a teaching, research, or public-service program that is not founded upon financial exigency, written notice shall be given no later than the November 1 prior to termination. When faculty employment is to be terminated during or at the conclusion of a fixed-term contract because of financial exigency, the School shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources, to give notice no later than the November 1 prior to termination. Terminations at the end of a fixed term contract for the reasons stated above in this footnote are not subject to Section 604 of *The Code*, but instead are subject to Section 605.

605 C. Institutional Procedures.^{13.1}

The institution shall establish regulations governing termination procedures. These regulations shall include provisions incorporating the following requirements:

(1) If it appears that the institution will experience an institutional financial exigency or needs seriously to consider a major curtailment or elimination of a teaching, research, or public-service program, the chancellor or chancellor's delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

(2) In determining which faculty member's employment is to be terminated for reasons set forth in Section 605 A, the chancellor shall give consideration to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

(3) An individual faculty member whose employment is to be terminated shall be notified of this fact in writing. This notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.

(4) A reconsideration procedure shall be provided that affords the faculty member whose employment is to be terminated a fair hearing on the termination if the faculty member alleges that the decision to terminate was arbitrary or capricious.

^{13.1} Prior to January 1, 2004, Section 605 C read as follows:

(1) If it appears that the institution will experience an institutional financial exigency or needs seriously to consider a major curtailment or elimination of a teaching, research, or public-service program, the chancellor or chancellor's delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected.

(2) In determining which faculty member's employment is to be terminated for reasons set forth in Section 605A, the chancellor shall give consideration to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

(3) An individual faculty member whose employment is to be terminated shall be notified of this fact in writing. This notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.

(4) A reconsideration procedure shall be provided that affords the faculty member whose employment is to be terminated a fair hearing on the termination if the faculty member alleges that the decision to terminate was arbitrary or capricious.

(5) The institution, when requested by the faculty member, shall give reasonable assistance in finding other employment for a faculty member whose employment has been terminated.

(6) The faculty member may appeal the reconsideration decision in the manner provided by Section 501C (4).

(5) The institution, when requested by the faculty member, shall give reasonable assistance in finding other employment for a faculty member whose employment has been terminated.

(6) A faculty member whose employment is terminated pursuant to this Section 605 may appeal the reconsideration decision to the board of trustees of the constituent institution.

SECTION 606. RETIREMENT OF FACULTY.

Faculty may retire in accordance with the provisions of Chapter 135 of the North Carolina General Statutes.

SECTION 607. FACULTY GRIEVANCE COMMITTEE FOR CONSTITUENT INSTITUTIONS.^{13.2}

(1) The chancellor of each constituent institution shall provide for the establishment of a faculty grievance committee. The faculty grievance committee shall be elected by the faculty with members elected from each professorial rank. No officer of administration shall serve on the committee. For purposes of this

^{13.2}Prior to January 1, 2004 Section 607 read as below:

(1)The chancellor of each constituent institution shall provide for the establishment of a faculty grievance committee. The faculty grievance committee shall be elected by the faculty with members elected from each professorial rank. No officer of administration shall serve on the committee. For purposes of this section, "officer of administration" shall be deemed to include department chairs and department heads.

(2)The committee shall be authorized to hear, mediate, and advise with respect to the adjustment of grievances of members of the faculty. The power of the committee shall be solely to hear representations by the persons directly involved in a grievance, to mediate voluntary adjustment by the parties, and to advise adjustment by the administration when appropriate. Advice for adjustment in favor of an aggrieved faculty member may be given to the chancellor only after the dean, department head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

(3)"Grievances" within the province of the committee's power shall include matters directly related to a faculty member's employment status and institutional relationships within the constituent institution. However, no grievance that grows out of or involves matters related to a formal proceeding for the suspension, discharge or termination of a faculty member, or that is within the jurisdiction of another standing faculty committee, may be considered by the committee.

(4)If any faculty member has a grievance, the faculty member may petition the faculty grievance committee for redress. The petition shall be written and shall set for the in detail the nature of the grievance and against whom the grievance is directed. It shall contain any information that the petitioner considers pertinent to the case. The committee shall decide whether the facts merit a detailed investigation so that submission of a petition shall not result automatically in an investigation or detailed consideration of the petition.

(5)If, before this section is established, the faculty of an institution has adopted a faculty grievance procedure that in its judgment is adequate to its needs, it may retain that procedure in place of the one specified above. [This section became effective July 1, 1975.]

section, "officer of administration" shall be deemed to include department chairs and department heads.

(2) The committee shall be authorized to hear and advise with respect to the adjustment of grievances of members of the faculty. The power of the committee shall be solely to hear representations by the persons directly involved in a grievance, to facilitate voluntary adjustment by the parties, and to advise adjustment by the administration when appropriate. Advice for adjustment in favor of an aggrieved faculty member may be given to the chancellor only after the dean, department head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

(3) "Grievances" within the province of the committee's power shall include matters directly related to a faculty member's employment status and institutional relationships within the constituent institution, including matters related to post-tenure review. However, no grievance that grows out of or involves matters related to a formal proceeding for the suspension, discharge or termination of a faculty member, or that is within the jurisdiction of another standing faculty committee, may be considered by the committee.

(4) If any faculty member has a grievance, the faculty member may petition the faculty grievance committee for redress. The petition shall be written and shall set forth in detail the nature of the grievance and against whom the grievance is directed. It shall contain any information that the petitioner considers pertinent to the case. The committee shall decide whether the facts merit a detailed investigation so that submission of a petition shall not result automatically in an investigation or detailed consideration of the petition.

(5) If, before this section is established, the faculty of an institution has adopted a faculty grievance procedure that in its judgment is adequate to its needs, it may retain that procedure in place of the one specified above.

(6) If neither the relevant administrative official nor the chancellor makes an adjustment that is advised by the faculty grievance committee in favor of the aggrieved faculty member, then the faculty member may appeal to the board of trustees of the constituent institution. The decision of the board of trustees is final.

SECTION 608. STUDENTS' RIGHTS AND RESPONSIBILITIES.

(1) The University of North Carolina affirms that the first goal of each constituent institution is to educate the students admitted to its programs. The freedom of students to learn is an integral and necessary part of the academic freedom to which the University and its constituent institutions are dedicated. Each constituent institution shall provide, within allotted functions and available resources, opportunity for its students to derive educational benefits through developing their intellectual capabilities, encouraging their increased wisdom and understanding, and enhancing their knowledge and experience applicable to the

effective discharge of civic, professional, and social responsibilities. No constituent institution shall abridge either the freedom of students engaged in the responsible pursuit of knowledge or their right to fair and impartial evaluation of their academic performance.

(2) All students shall be responsible for conducting themselves in a manner that helps to enhance an environment of learning in which the rights, dignity, worth, and freedom of each member of the academic community are respected.

(3) In applying regulations in the area of student discipline, each constituent institution shall adhere to the requirements of due process as set forth in Section 502 D(3) of this *Code*.

SECTION 609. APPELLATE JURISDICTION OF THE BOARD OF GOVERNORS.

609 A. Discretionary Review.

Nothing contained in Chapter VI, or any other chapter of the *Code*, shall be construed to limit the right of the Board of Governors to make such inquiry and review into personnel actions as it may from time to time deem appropriate.

609 B. Hearings.

The Board of Governors may in its sole discretion conduct hearings. Any hearing, whether before the full board or a designated standing or special committee of the board, shall be limited to such matters as the Board of Governors shall deem appropriate.

609 C. Repealed.

609 D. Transmission of Appeals

All appeals addressed to or requests for hearings by the Board of Governors, from whatever source, shall be transmitted through the president.

SECTION 610. RIGHTS OF SPECIAL FACULTY MEMBERS

(1) Faculty members who are appointed as visiting faculty members, adjunct faculty, lecturers, artists-in-residence, writers-in-residence or other special categories are regarded as “special faculty members” for purposes of the University Code. Special faculty members may be paid or unpaid.

(2) Special faculty members who are paid shall be appointed for a specified term of service, as set out in writing in the letter of appointment. The term of appointment of any paid special faculty member concludes at the end of the specified period set forth in the letter of appointment, and the letter of appointment constitutes full and timely notice that a new term will not be granted when that term expires.

(3) Special faculty members who are not paid may be appointed for a specified term of service or at will. Their pay and appointment status should be set out in the letter of appointment.

(4) During the term of their employment, special faculty members are entitled to seek recourse under Section 607 of the University Code (relating to faculty grievances).

(5) Special faculty members, whether paid or unpaid, are not covered by Section 604 of the University Code, and that section does not accord them rights to additional review of a decision by a constituent institution not to grant a new appointment at the end of a specified fixed term.

**SECTION 611. REVIEW OF PERSONNEL ACTIONS AFFECTING
SPECIFIED EMPLOYEES EXEMPT FROM THE STATE
PERSONNEL ACT (EPA)**

(1) Review Processes. Certain non-faculty employees, as described in subsection (1)(b) below, who are exempt from the State Personnel Act, may seek review under procedures provided for by this section in the event that the employee is discontinued, terminated, or discharged from employment, suffers other adverse personnel action, or is not appointed following the end of a term appointment. Each constituent institution shall develop procedures applicable to employees of the constituent institution, and General Administration shall develop procedures applicable to those of its employees who are covered by this section. Such procedures shall, at a minimum, provide for the following:

(a) A reasonable time within which a covered employee or former employee may file a request for review, after receiving notice of a personnel action covered by this section. If a covered person does not timely file a written request for review, then the personnel action is final without recourse to any institutional review, appeal or grievance procedure.

(b) Covered persons may seek review of personnel actions based on allegations that:

(i) Notice

(A) For Senior Academic and Administration Officers defined only in UNC Policy 300.1.1 I.B., for discontinuations, expiration of term appointments, or terminations of employment with notice, such review may be sought only upon allegations of violations of applicable notice requirements set out in policies 300.1.1. III.B. 1., 2., and 3. of the University Policy Manual; and

(B) For other employees exempt from the State Personnel Act, as described only in UNC Policy 300.2.1, for discontinuations, expiration of term appointments, or terminations of employment with notice, such review may be sought only upon allegations of violations of applicable notice requirements set out in policies 300.2.1 III. A., B., and C. of the University Policy Manual; or

(ii) Equal Employment Opportunity and Protected Activity

(A) For the Senior Academic and Administrative Officers defined in sub-section (i) above, for violations of any provision of sub-sections III.D. or E. of Policy 300.1.1 of the University Policy Manual, and

(B) For the other employees exempt from the State Personnel Act defined directly above in sub-section (ii), for violations of any provision of sections V. or VI. of Policy 300.2.1 of the University Policy Manual; or

(iii) Discharge for Cause, Other Discipline, Policy Interpretation/Application

(A) For the Senior Academic and Administrative Officers defined in sub-section (i) above, for discharge for cause or other disciplinary action, or for interpretation and application of a policy provision, all pursuant to and limited by policy 300.1.1 III.C. of the University Policy Manual, and

(B) For the other employees exempt from the State Personnel Act defined above in sub-section (ii), for discharge for cause or other disciplinary action, or for interpretation and application of a policy provision, all pursuant to and limited by policy 300.2.1 IV. of the University Policy Manual; or

except that for both groups such review may be sought only if the employee alleges the discharge, discipline, or policy interpretation or application was illegal or violated a policy of the Board of Governors.

(c) If the employee or former employee timely files a written request for review, the president (as to an employee of General Administration) or chancellor (as to an employee of a constituent institution), shall ensure a process is in place so that a hearing is timely accorded before a hearing committee.

(d) In reaching decisions on which its written recommendations to the president (as to an employee of General Administration) or chancellor (as to an employee of a constituent institution), as appropriate, shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The employee or former employee has the burden of proof. In evaluating the evidence, the committee shall use the standard of preponderance of the evidence (which is the same as the “greater weight of the evidence.”)

(2) Appeal to the Board of Trustees or Board of Governors.

(a) For employees of a constituent institution, if the chancellor concurs in a recommendation of the committee that is favorable to the employee, the chancellor’s decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the employee or concurs in a committee recommendation that is unfavorable to the employee, the employee may appeal within 14 calendar days after receiving the chancellor’s written decision, by filing with the chancellor for transmission to the Board of Trustees a written notice of appeal, including a brief statement of the basis for the appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, and alleges as set out in sub-section (1)(b) above. The decision of the Board of Trustees is final with no further appeal.

(b) For employees of General Administration, if the president concurs in a recommendation of the committee that is favorable to the employee, the president’s decision shall be final. If the president either declines to accept a committee recommendation that is favorable to the employee or concurs in a committee recommendation that is unfavorable to the employee, the employee may appeal within 14 calendar days after receiving the president’s written decision, by filing with the president for transmission to the Board of Governors a written notice of appeal, including a brief statement of the basis for appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, and alleges as set out in sub-section (1)(b) above. The decision of the Board of Governors is final with no further appeal.

Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees

POLICY STATEMENT

This policy sets forth specific definitions and procedures for the payment of non-salary and deferred compensation to Faculty and EPA Non-Faculty employees of the University of North Carolina at Chapel Hill. Any such compensation may only be paid in accordance with the provisions of this Policy and only after receiving the approvals specified herein.

Responsible University Officer: Vice Chancellor for Human Resources

Responsible University Office: Office of Human Resources

I. DEFINITIONS AND EXCLUSIONS

1. Non-Salary Compensation: Non-salary compensation includes, but is not limited to, payment of moving expenses, provision of a motor vehicle or motor vehicle allowance, provision of housing or housing allowance, club memberships, or any other special benefit of monetary value provided to employees for job-related reasons.

2. Deferred or Delayed Compensation: “Deferred” or “delayed” salary or compensation is defined broadly as including, but not limited to:

a. Any payment or contribution by UNC-Chapel Hill or one of its associated entities, whether paid directly to the employee, to the employee’s account or plan, or to a person acting in a capacity similar to a trustee for the employee, and which is paid later than the regular or next subsequent payment cycle.

b. Traditional 457 deferred compensation plans, retirement plans or accounts, annuities, and life insurance that accumulate cash value. This definition includes both tax-qualified and non-qualified plans, and any other similar form of payment, whether tax-sheltered or not.

3. Exclusions from the Definition of Non-Salary Compensation:

a. Non-salary compensation does not include:

- i. Base salary.
- ii. Salary supplements for additional temporary, acting, or interim responsibilities.
- iii. Lump sum payments for additional duties disbursed promptly upon completion of the work assignment.
- iv. Stipends associated with named or endowed professorships.
- v. Compensation to correct a payroll error that is promptly disbursed upon discovery.
- vi. One-time payment for awards related to recognition programs established and approved by the Chancellor, the Executive Vice Chancellor and Provost, or by the Vice Chancellor for Human Resources or his/her designee and included in the published Office of Human Resources Awards Registry.

b. Items that are required by the University for the express purpose of conducting University business are also **not** considered “non-salary compensation” and thus are **excluded** from this Policy. Examples include:

- i. Reimbursement of professional or work-related travel expenses, including mileage reimbursement for business use of a personal vehicle, and allowable per-diem meal expenditures.
- ii. Payment of required visa-related fees for work authorization of non-resident alien employees.
- iii. Provision of equipment to perform the work of the position (even if used at home) including computers, cellular phones, personal data assistants (PDA), pagers and similar work-related items.

II. AUDIENCE AND APPLICABILITY

This Policy applies to all EPA employees at UNC-Chapel Hill – except as noted below:

1. The Chancellor is exempt from this Policy. UNC Policy 300.2.14, Section C, addresses non-salary and deferred compensation for the Chancellor; UNC Policy 300.1.5 addresses the official residence provided to the Chancellor.

2. Compensation that is authorized by a faculty practice plan and/or faculty incentive pay plan, approved by the Chancellor and duly reported to the Board of Trustees and Board of Governors, are exempt from this Policy. Other forms of non-salary compensation provided to employees covered by these plans are subject to this Policy.
3. The Athletic Director and Head Coaches to whom individual employment contracts are issued and approved by the Board of Trustees and Board of Governors are exempt from this Policy, except that non-salary and/or deferred compensation that fall outside of the terms of such contracts are subject to this Policy. These employees are otherwise subject to UNC Policy 1100.3. All other Athletic Coaches are covered by this Policy, whether employed at-will or under term appointments.

III. REASON FOR POLICY

1. The Board of Governors of the University of North Carolina, through UNC Policy 300.2.14, requires each constituent institution to have a policy on non-salary and deferred compensation for employees who are exempt from the State Personnel Act ("EPA employees"). This Policy implements that mandate and establishes guidelines and procedures for non-salary and deferred compensation for EPA employees at The University of North Carolina at Chapel Hill ("UNC-Chapel Hill").
2. Within the parameters outlined below, non-salary compensation may be provided for reasons that are relevant to attracting or retaining faculty and staff of the highest possible quality.
3. Decisions concerning non-salary compensation shall be consistent with the University's Policy on Non-Discrimination and not be based in whole or in part on any EPA employee's protected status.
4. In accordance with UNC General Administration Policy 300.2.14, this Policy specifies non-salary compensation that is provided to defined categories of EPA employees at UNC-Chapel Hill.
5. Advance approval by the Board of Trustees is required for any non-salary compensation not specifically authorized in this Policy or that exceeds the specified compensation limits; approval for any deferred compensation not already permitted under UNC policies must be granted by the Board of Governors.

IV. FUNDING SOURCES AND TAX REPORTING

1. The funding source for non-salary compensation shall **not** be State-appropriated funds, unless either specifically noted in this Policy or separately approved by the Board of Trustees, and then only when permitted by guidelines issued by the Office of State Budget and Management.
2. Non-salary compensation may be funded by an associated entity of UNC-Chapel Hill only if permitted by that entity's policies and if the compensation meets all other requirements of this Policy. Such compensation remains subject to advance review and approval by the applicable University central offices per Section VII of this Policy.
3. To comply with Internal Revenue Service (IRS) regulations, certain forms of non-salary compensation may require individuals to maintain written records to document business and non-business (i.e., personal) use to ensure appropriate tax withholding and reporting by University Payroll Services. Such records shall be provided by the subject employee when requested by the University.
4. Employees receiving non-salary compensation are responsible for ensuring their individual compliance with any applicable State and Federal tax laws. Employees should consult with the relevant taxing authority or their personal tax advisor for more information regarding the applicable tax regulations.

V. TYPES OF NON-SALARY COMPENSATION

1. Household Moving Expenses

- a. Based on available resources, Department Heads have the option to include moving expenses as part of a hiring offer for relocating EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.
- b. In accordance with the State Budget Manual, moving expenses cannot be paid from State-appropriated funds for initial employment. Actual costs of moving standard household goods and personal effects may be paid from non-State-appropriated funds, and requires three estimates in accordance with the State Budget Manual.
- c. The Chancellor has issued a standing authorization to supervising Deans to provide moving expenses (up to a designated limit) as part of an initial

appointment offer for faculty and non-faculty employees serving within a School/College.

d. The Chancellor has issued a standing authorization to the Athletic Director for moving expenses (up to a designated limit) as part of an initial appointment offer for coaches, assistant/associate coaches, assistant/associate athletic directors, and other EPA instructional athletics staff.

e. Such delegations and authorization levels may be subsequently changed or updated outside of this Policy, as long as any such change remains in compliance with overarching UNC policy.

f. Household moving expenses for all other EPA employees or in amounts exceeding designated limits must be authorized in advance on a case-by-case basis by the Chancellor, Executive Vice Chancellor and Provost, or supervising Vice Chancellor.

2. House-Hunting

a. Based on available resources, Department Heads have the option to include house-hunting expenses as part of a hiring offer for relocating EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.

b. The inclusion of house-hunting expenses in a hiring offer must have the approval of the supervising Vice Chancellor, Dean or Athletic Director.

c. The State Budget Manual provides guidance for employee travel and subsistence for the purpose of house hunting with family. This Policy allows for up to three such two-day trips. Such house-hunting expenses related to initial employment cannot be paid from State-appropriated funds.

3. Temporary Housing as Part of Initial Hiring

a. Based on available resources, Department Heads have the option to include temporary housing assistance as part of a hiring offer for relocating

EPA employees. Not every offer is intended or required to include such provisions, and its inclusion should be based on business necessity to attract well-qualified candidates.

b. Positions categorized as faculty, senior academic and administrative officers, coaches, assistant/associate coaches, assistant/associate athletic directors, and other EPA instructional athletics personnel may be reimbursed for receipted temporary housing costs as part of the initial hire. This reimbursement cannot exceed \$2,500 per calendar month for up to six months, at the discretion of the supervising Vice Chancellor, Dean or Athletic Director.

c. All other categories of EPA employees may be authorized within these same limits on a case-by-case basis by the Chancellor, the Executive Vice Chancellor and Provost, or supervising Vice Chancellor.

d. An EPA employee who does not utilize the entire authorized housing allowance may be permitted (but is not required) by the supervising senior officer to utilize any remaining amount to extend the arrangement for a period not to exceed three additional months beyond their allotted duration. The total of all such expenditures, including any extension, may not exceed the total allowance authorized as part of the hiring offer, nor may any individual monthly reimbursement exceed \$2,500.

e. The Chancellor shall have the authority to authorize a housing allowance in an amount up to \$3,000 per calendar month and/or a total duration of up to one year under special circumstances, to attract unique or hard-to-recruit talent to the University.

f. Temporary housing costs that exceed the authorized amount or duration must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

4. Temporary Housing and Incidental Expenses as Part of a Remote Duty Assignment

a. Any EPA employee covered by this Policy may be reimbursed for receipted expenses, including temporary housing and other incidental living costs

necessary to facilitate a temporary out-of-state or foreign-duty work assignment (e.g., study abroad assignments, remote research stations, etc.), not to exceed \$2,500 per calendar month for a period not to exceed one year, with the approval of the Chancellor, the Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

b. The Chancellor shall have the authority to authorize temporary housing and other incidental living costs per item 4.a above in an amount not to exceed \$3,000 per calendar month and/or a total duration of up to 18 months, when deemed necessary to conduct legitimate University business that is out-of-state or related to a foreign-duty work assignment.

c. Any reimbursements that exceed these limits or duration must be authorized in advance on a case-by-case basis by the Board of Trustees.

d. The payment of any extraordinary dependent educational expenses must be authorized in advance on a case-by-case basis by the Board of Trustees.

5. Ongoing Housing Required by Job Assignment

Lodging or housing provided to an employee as a required condition of employment (e.g., a facility caretaker) or housing provided to resident staff employed by the Division of Student Affairs to work in University residence halls may be permitted with the approval of the Chancellor, the Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

6. Vehicle Allowances

a. The Chancellor is authorized (but not required) to provide the use of one leased vehicle, courtesy vehicle, or comparable vehicle allowance to the Executive Vice Chancellor and Provost, any of the Vice Chancellors, and the Director of State Relations for the primary purpose of conducting University business. The annual taxable income value for any non-business use of said vehicle and related operating expenses may not exceed \$7,500.

b. The Athletic Director is authorized (but not required) to provide the use of one leased vehicle, courtesy vehicle, or comparable vehicle allowance to the Assistant/Associate Athletic Directors, Head Coaches, Assistant/Associate

Coaches, and Head Trainers for the primary purpose of conducting University business. The annual taxable income value for any non-business use of said vehicle and related operating expenses may not exceed \$7,500.

c. Vehicle allowances for all categories of EPA employees except those listed above, or which exceed any of the specified limits above, must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

7. University-Affiliated Club Memberships

a. Positions categorized as Senior Academic and Administrative Officers (SAAO) Tier I, the University's Deputy Chief Advancement Officer, and the Chief Advancement Officer of each School/College may be provided with individual memberships at any on-campus University-affiliated club for job-related purposes. The Chancellor must approve all such memberships, with the exception of the Chief Advancement Officers of a School/College, which must be approved by the supervising Dean.

b. University departments may hold a "departmental" membership, in the name of the Department Head, for departmental business use only at the University's institution-affiliated clubs, if such memberships are allowed by club policy. Such departmental memberships must be approved in advance by the Chancellor and/or the applicable Vice Chancellor who oversees the department in question.

c. All personal use of departmental memberships is prohibited. In no case may the funding source for either individual or departmental memberships be State-appropriated funds.

8. External Club Memberships

a. The Executive Vice Chancellor and Provost and the Vice Chancellor for Advancement may be provided with one external club membership for job-related purposes.

b. Any such club must have a policy prohibiting discrimination against groups protected by federal and North Carolina law.

c. Any University-paid external club memberships provided to other EPA employees or additional University-paid external club memberships provided to the two senior officers noted above must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

9. Athletic Facility Memberships

a. The following EPA employees may (but are not required) to be provided paid membership or access to University athletic and physical fitness facilities (as appropriate) for job-related purposes by the supervising Vice Chancellor, Dean or Athletics Director:

i. Individuals who hold academic rank and a primary faculty appointment in the Department of Exercise and Sport Science, and whose primary role is to provide physical education instruction to students.

ii. EPA professionals in the Departments of Exercise and Sport Science, Campus Recreation, and Athletics, whose primary responsibilities involve providing direct physical training to students/athletes and/or ensuring the safety and maintenance of fitness and physical education equipment.

iii. In no case may the funding source be State-appropriated funds.

b. All other University-paid memberships in health clubs/fitness facilities for all other categories of EPA employees must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees.

10. Campus Athletic and Cultural Events

a. Positions categorized as Senior Academic and Administrative Officers (SAAO) Tier I as well as other EPA professionals whose primary responsibilities include solicitation of donors may be provided with complimentary admission to University-related athletic or cultural events for job-related purposes, including complimentary admission for an accompanying guest, such as a spouse/partner, if the guest is expected to assist in University-related hosting activities.

b. Complimentary athletics event tickets may be provided for coaches and athletics administrators in accordance with a standardized, position-based

schedule that is maintained by the Athletic Director and approved by the Chancellor.

c. Ongoing or routine athletics or cultural event complimentary admission provided to any individual or similarly situated group of EPA employees for discretionary (non-business-related) use must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees and must be reported for tax purposes.

i. An exception is permitted for excess single-use tickets to campus events that could not otherwise be sold (and as a result are deemed to have no market value) and will be distributed as occasional employee recognition/appreciation awards by the Chancellor, Executive Vice Chancellor and Provost, or the supervising Vice Chancellor or Dean.

11. Incentive-Based Compensation for Certain Athletics Employees

Incentive-based compensation beyond base salary provided to any EPA employee in the Department of Athletics (other than specific compensation for the Athletic Director and Head Coaches with individual contracts covered by UNC Policy 1100.3), for reasons including, but not limited to, reaching performance goals such as post-season playoffs or student-athlete academic achievement levels, must be approved by the Board of Trustees. Such approvals may be on a case-by-case basis or by a standard schedule proposed to the Board of Trustees by the Athletic Director with the Chancellor's concurrence.

12. Incentive-Based Compensation for Other Employees

Any form of incentive-based compensation beyond base salary to be paid to any EPA employee in recognition of performance or productivity, except as provided for in this Policy, must be expressly authorized by the Chancellor and the Board of Trustees and conform with any relevant policies and guidelines of the Board of Governors then in effect.

13. Educational Assistance, Dependent Care, and Related Benefits

Any employer-provided benefits in excess of current IRS limits for qualified educational assistance, dependent care, or similar benefit programs must be submitted on a case-by-case basis for advance review and approval by the Board of Trustees, and must be reported to Payroll as taxable compensation on a case-by-case basis.

VI. DEFERRED COMPENSATION

1. The State of North Carolina and UNC-Chapel Hill offer employees certain deferred compensation benefits, including voluntary (employee-paid) 457, 403(b), and 401(k) options. Employer contributions to these plans by UNC-Chapel Hill or its affiliated entities are not permitted under UNC policy for employees covered by this Policy.
2. This Policy does not prohibit regular employer contributions to the State of North Carolina Teachers and State Employee's Retirement System (TSERS) or the University of North Carolina Optional Retirement Program (ORP) as provided by State law or UNC policy.
3. Unless expressly approved by the Board of Governors, UNC-Chapel Hill or its associated entities may not provide any other employer-paid, entity-paid, or privately-paid options for deferred compensation to any employee covered by this Policy.



VII. ROLES AND RESPONSIBILITIES

1. All non-salary compensation for EPA employees shall be requested by the supervising Department Head using forms published for this purpose jointly by the Executive Vice Chancellor and Provost and the Vice Chancellor for Human Resources.
2. Any allowable non-salary compensation shall not be implemented or paid without final approval having been communicated by the Office of the Executive Vice Chancellor and Provost (for Faculty) or the Office of Human Resources (for EPA Non-Faculty) unless otherwise explicitly set forth in this Policy.
3. Any requests for non-salary compensation that require advance approval by the Board of Trustees or the Board of Governors under this Policy shall be transmitted to the applicable Board(s) with the Chancellor's concurrence.

VIII. RELATED REGULATIONS, STATUTES, AND RELATED POLICIES

[UNC General Administration Policy 300.2.14, Non-Salary and Deferred Compensation.](#)

IX. CONTACTS

Subject	Contact	Phone	Email
Faculty non-salary and deferred compensation matters	Academic Personnel Office, Office of the Executive Vice Chancellor and Provost	919-962-1091  919-962-1091	See Academic Personnel Office web site for specific e-mail contacts
EPA Non-Faculty non-salary and deferred compensation matters	EPA Non-Faculty Human Resources unit, Office of Human Resources	919-962-1456  919-962-1456	See OHR staff directory for specific e-mail contacts

X. DOCUMENT HISTORY

- Approved By UNC-Chapel Hill Board of Trustees: May 23, 2013
- Last Revised Date: May 13, 2013
- Effective Date: June 1, 2013

RELATED DOCUMENTS

[Request for Approval of Non-Salary Compensation](#)

[Memo from Chancellor Holden Thorp: Standing Authorization for Household Moving Expense Reimbursements](#)

12. Promotion and Tenure Review

Please prepare and upload a PDF document (or PDF documents if there are more than one) with a copy of your campus schedule and process for periodic review of promotion and tenure policies. The process should outline who is responsible for review, what is the time line of review process, and what are the mechanisms in place to make sure the review is completed. (600.3.4 B.2)

- Please name the uploaded file in the following manner: XXXX_promotion.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_promotion_1.pdf).

UNC-CH_promotion.pdf
108.6KB
application/pdf

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

Report of the UNC Task Force on Future Promotion and Tenure Policies and Practices

Introduction

The conferral of tenure at the University of North Carolina carries significant privileges as well as responsibilities on the part of both the university and the faculty member. For the faculty member, tenure grants the right to engage in free inquiry in both teaching and research without fear of reprisal. Tenure also provides job security. Tenured faculty provide the university a vigorous exchange of ideas in both scholarship and the classroom, and a stable, high quality professional staff loyal to the institution.

Given the value of tenure in the university community, it is important to ensure that the criteria used to confer tenure are up-to-date, clear and applied fairly. This report proceeds from the assumption that periodic reviews of tenure policies and practices are valuable for all involved. Three current trends in the mission and role of the public university have prompted the review and recommendations offered here: (1) calls for increased engagement with the public, (2) new forms of scholarly work, and (3) increased scholarly activity across disciplinary lines.

With these trends in mind, UNC-CH Provost Bernadette Gray-Little requested that a faculty Task Force investigate and make recommendations by May 2009. The Provost also asked the Task Force to consider the possibility of extending the probationary period before the tenure decision, and enhanced mentoring of faculty, as two mechanisms that might improve tenure and promotion processes and decisions in the future.

Process

A steering committee of ten faculty, chaired by Professor Jane D. Brown, was convened in November 2008. Two members of the steering committee were named as co-convenors for each of five subcommittees comprised of 38 faculty from across campus who were selected based on interest and expertise (see committee rosters in Appendix A). Each of the subcommittees met three or four times in Spring 2009, with oversight by the steering committee. Each subcommittee, with the assistance of William Nolan, a recent UNC-CH graduate, examined existing evidence as well as protocols at peer institutions. The subcommittees also looked at the practices and protocols of academic units at UNC-CH that have addressed similar issues, and consulted with experts on campus. Drafts of the report and recommendations were discussed with the Executive Committee of the Faculty Council (4-13-09), the Faculty Council (4-24-09), a group of junior faculty (4/21/09), and the Appointments, Promotion and Tenure committee (4-22-09). Their comments and suggestions were incorporated in the final report.

Overall, the Task Force recommends that:

1. *Faculty engagement* with the public outside the traditional scholarly community should be valued and evaluated during the tenure and promotion process. Faculty “engagement” refers to scholarly, creative or pedagogical activities for the public good, directed toward persons and groups outside UNC-CH.
2. *New forms of scholarly work and communication* made possible primarily by digital technology should be included in evaluations of scholarship.
3. *Work across disciplinary lines* should be supported. Expectations of all involved parties should be articulated at the outset, and referred to as tenure and promotion decisions are made.
4. The *expectations and procedures* of the tenure and promotion process should be as clear as possible, and tenure and promotion policies and procedures reviewed and revised at the unit level now and in the future whenever the unit is externally reviewed (at least every 10 years). Better data and further consideration is necessary before a recommendation can be made about extending the probationary period for tenure.
5. *Mentoring* of faculty should be seen as an important responsibility of chairs and senior faculty.

More specific recommendations are listed here. The rationale for each of the recommendations is provided in the body of the report.

1. Define, value, and evaluate faculty engagement with the public

- a. The University’s personnel reviews, at departmental, school and university levels, should include consideration of the faculty member’s interactions and engagement with communities outside the traditional scholarly community.
- b. A survey should be conducted of faculty to determine the nature and extent of ongoing engaged scholarship and engaged activities at the University of North Carolina-Chapel Hill.
- c. In the Provost’s document, “Dossier: Format for Tenure Track or Tenured Faculty Review,” the section that provides guidelines for the formatting of the *chair’s letter* should be revised to reflect the importance of faculty engagement to the University’s mission, and the guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing engaged faculty work that does not fit in already established categories.

- d. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* and the *faculty CV's* should be revised to clarify the importance and different types of work that count as *service*.

2. Recognize new forms of scholarly work and communication

- a. All academic units that grant tenure and promotion should revise their personnel documents to include guidelines for the evaluation of new forms of scholarly communication.
- b. Evaluations from scholarly peers are certainly appropriate, but units should also consider feedback from users, students, and other audiences for the new forms of scholarly work.
- c. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing scholarly work that does not fit in already established categories; the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address what measures have been taken to assess the faculty member's scholarly communications that fall outside of traditional, peer-reviewed publications.

3. Value interdisciplinary work

- a. All academic units that grant tenure and promotion should revise their personnel documents to ensure that they explicitly address questions of interdisciplinary research and teaching.
- b. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address the faculty member's interdisciplinary work as a contribution to one of the core values of the University's mission.
- c. Academic units involved in joint appointments should be *required* by the Provost to develop a MOU (Memorandum of Understanding) that is provided to the faculty member and filed with the Provost.
- d. Grounds for dissolving a faculty member's joint appointment in a particular unit should be articulated, and procedures to initiate the dissolution should be established by the Provost's office.
- e. The Provost's office should specify procedures for situations in which one unit denies tenure and/or promotion and the second unit approves.

- f. All joint appointments should be for fixed periods, ideally between appointment steps.
- g. New external letters should no longer be *required* for sequential joint appointments.

(See the body of the report for other specific recommendations to facilitate interdisciplinary work and joint appointments.)

4. Establish clear and realistic expectations for tenure and promotion

- a. All academic units that grant tenure and promotion should be directed to make periodic reviews of their hiring, promotion and tenure policies to ensure clear and reasonable expectations. The Executive Associate Provost should have responsibility for making sure tenure and promotion policies are up to date and accessible at the unit level.
- b. Data relating to tenure-track positions should be collected on a university-wide basis. These data should be collected to learn departmental and school approval rates for tenure and promotion as well as the manners in which tenure clocks begin, end and are extended or paused.
- c. When relevant data are available, further consideration should be given to extending the probationary period for tenure.

5. Ensure good mentoring of faculty

- a. All academic units that grant tenure and promotion should have a mentorship plan in place that is filed with the Provost's office. The plan should ensure that each junior faculty member has at least one senior faculty mentor.
- b. Mentorship training for promotion and tenure should be provided to all department chairs and school deans.
- c. Senior faculty should be provided regular university-wide workshops on mentoring.
- d. Mentorship should be part of the post-tenure review evaluation. In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the *chair's letter* should be revised to instruct the chair to address the faculty member's mentorship as part of his or her service to the academic unit or larger university community.
- e. Mentoring awards should be instituted by the University, College, schools and departments.

- f. A regular survey of junior faculty (perhaps in their fourth or fifth years) should be conducted to determine the state of mentorship on campus as well as the mentorship needs and expectations of junior faculty.

Note: Two important issues arose in our discussions but were beyond our purview: (1) the terminology of the categories of faculty employment (such as “professors of the practice” and “adjunct faculty”) and, (2) career trajectories of fixed-term faculty in the University.

We strongly recommend a more thorough examination of, and an attempt to regularize terminology practices across the university. We were also pleased to learn of the work of a Task Force in the College of Arts and Sciences that is focused on the issue of non-tenure track faculty. As the balance of tenured /tenure-track faculty to fixed-term faculty shifts, the university ought to develop career paths and clear expectations for rewarding these important members of our faculty.

1. Define, Value and Evaluate Faculty Engagement with the Public

Recommendation: The University's personnel reviews should include consideration of the faculty member's interactions and engagements with communities outside the traditional scholarly community.

Engagement is a core component of the University's mission. Such engagement has become important for the professional work of faculty in most units of the University, and exemplifies part of our commitment to the principles of the UNC Tomorrow initiative. Faculty engagement is also consistent with a national trend at peer institutions in higher education.

The meaning of faculty engagement

Faculty "engagement" refers to scholarly, creative or pedagogical activities for the public good, directed toward persons and groups outside the University of North Carolina at Chapel Hill. Such activities (in the form of research, teaching, and/or service) develop as collaborative interactions that respond to short and long-term societal needs. Engagement serves people in our state, nation, or the wider world through a continuum of academically informed activities. Although the spectrum of engaged scholarship and activities varies among disciplines, "engagement" is planned and carried out by University and community partners, and includes:

- *Engaged scholarship:* Scholarly efforts to expand multifaceted intellectual endeavor with a commitment to public practices and public consequences.
- *Engaged activities:* Artistic, critical, scientific and humanistic work that influences, enriches and improves the lives of people in the community.

Guidelines for evaluating faculty engagement in tenure and promotion reviews

Engagement will inevitably take different forms in the various schools, divisions and departments of the University. As a research-intensive university, UNC-CH will continue to require original scholarly research as a key criterion for tenure and promotion in rank. Faculty engagement can take the form of "engaged scholarship" and other "engaged activities."

- To satisfy the criterion for scholarly research, "engaged scholarship" must meet a rigorous standard such as external funding, peer reviewed publications and evaluations. As is the current practice for other kinds of scholarship, each school, department, and discipline should determine the criteria for evaluating the excellence of engaged scholarship.
- To define the criterion for "engaged activities," each school, department, and discipline should develop its own descriptions and examples of academically informed activities that constitute faculty engagement (For example, but not limited to: the Apples courses, outreach to public schools

and adult audiences re: North Carolina history, health and other academically-informed topics).

In establishing these criteria each unit should refer to the “The meaning of faculty engagement” paragraph above. The Center for Public Service is also available to work with schools and departments in developing guidelines and criteria for engagement. See: <http://www.unc.edu/pse/our-office-cps.php>; <http://www.unc.edu/cps/learn-more-about-engagement.php>.

Engagement should be recognized as a significant component of a faculty member’s professional achievements. Engagement may play a more prominent role at different phases of a faculty member’s career, and it should be supported at any phase if it is consistent with a unit’s practices and priorities. However, faculty whose work does not include engaged activities should not be penalized or denied tenure or promotion on those grounds unless such activities are part of the clearly articulated core mission of the hiring unit.

Guidelines for reporting faculty engagement

- Engagement may be embedded in one or more aspects of a faculty member’s work-- research, teaching, and service. Faculty should be asked to describe their “engaged scholarship” and “engaged activities” in their promotion/tenure statements about research, teaching, and service.
- “Engaged scholarship” and “engaged activities” should be included as categories within the dossiers faculty prepare for personnel reviews, similar to traditional categories such as “scholarly publications,” “course syllabi,” and “teaching evaluations.” Descriptions of engaged activities must be demonstrated with specific examples and should be evaluated with the usual attention to significance and influence in a professional field.
- In addition to the categories of Research, Teaching and Service, the Provost’s document, “Dossier: Format for Tenure Track or Tenured Faculty Review” should provide the department chair with the opportunity to assess the faculty member’s engagement as a fourth category of their academic work; the section that provides guidelines for the formatting of *faculty CVs* should designate a section of the CV for listing engaged faculty work that does not fit in already established categories.

Recommendation: The “service category” in the Provost’s current guidelines for tenure and promotion should be revised. This kind of service typically differs from “engaged activities” with communities outside the academic world, although there can be some overlap. Categories that might be included:

- Service on departmental, school and university committees;
- Service in professional scholarly organizations;
- Service for scholarly journals and presses;
- Service for international/national scholarly associations;
- Service provided in clinical or consultative settings

Recommendation: A survey should be conducted of faculty to determine the nature and extent of ongoing engaged scholarship and engaged activities at the University of North Carolina Chapel Hill.

2. Recognize New Forms of Scholarly Publication and Communication

The forms in which scholars do and disseminate their work will continue to multiply. It would be fruitless to try to list all the forms currently available and even more pointless to try to predict ones that will become available in the future. But the plurality of forms is already a fact.

Our overriding recommendation is that the university, in all its academic units, should demonstrate an openness to new forms of scholarly communication and to a diversity of activities and styles. Each unit should amend tenure and promotion procedures to make such openness a fact in faculty evaluation. The tenure and promotion process should encourage innovative and ambitious work, and academic units should develop appropriate evaluation procedures for such work.

Recommendations:

- A place on the standard format for *faculty CVs* should be clearly designated for listing scholarly work that does not fit in already established categories. The Provost’s document “Dossier: Format for Tenure Track or Tenured Faculty Review,” should be revised accordingly.
- *Chair’s letters* for Tenure and Promotion decisions should indicate what measures have been taken to assess the faculty member’s scholarly communications that do not fit in already established categories. The Provost’s document “Dossier: Format for Tenure Track or Tenured Faculty Review,” should be revised accordingly.

Academic units should recognize that evaluation of new forms of scholarship often will come after publication. Such work can come in the form of databases, blogs, web sites, and other forms that do not resemble traditional journal articles or monographs. Digitally published work is not always peer-reviewed prior to publication and dissemination. Academic units should also recognize that faculty often must devote considerable amounts of time to mastering new technologies and methods.

The importance of identifying and gathering responses from appropriate reviewers is increased when new forms of scholarly communication are included in the dossier. The faculty member him- or herself must accept some of the burden of (a) deciding which work s/he wants evaluated in a tenure or promotion case (most likely in consultation with the chair), and (b) providing a clear account in the research statement of the goals and significance of such work in terms of audience and contribution to the faculty member's overall career.

Recommendation: Evaluations from scholarly peers are certainly appropriate, but departments and units should also consider feedback from users, students, and other audiences for the work in question.

In developing tenure and promotion procedures for evaluating new forms of scholarly communication, departments and units may find it useful to pay heed to some of the following non-traditional features of some digital work:

- the frequency and depth of collaboration, even in fields where collaboration has not been the norm;
- a process-orientation that may, in the most extreme cases, never provide a final product since results are open to constant revision—and often revision by multiple users;
- expansion beyond the standard audience of one's academic peers, with the accompanying different strategies for presentation that entails;
- using multiple forms (audio, video, blogs) to supplement or disseminate work that has been, traditionally, written; and
- the creation of enabling software or databases that requires skill and time but which is more oriented to facilitating the work of others than in producing finished conclusions of one's own.

In sum, digitally disseminated work is often collaborative and, even in some cases, does not result in a stable, unchanging, product. Who gets to designate what counts as a “finished” product? How are such products to be archived? Are only works that aspire to some kind of permanence to be counted? Crucial issues of accessibility also arise here. How public must work be to count as scholarship? Answers to such questions have to be developed as departments and units create metrics by which to evaluate this work.

The UNC-CH Health Sciences Library maintains a web site promoting open access: <http://www.hsl.unc.edu/Collections/ScholCom/index.cfm>, and the UNC Libraries maintains web access to services and information from the University Committee on

Copyright <http://www.lib.unc.edu/copyright/>. Further, the libraries are creating the infrastructure to support an institutional repository for all kinds of scholarly work, thereby ensuring that such work will be preserved and will be made widely accessible by scholars everywhere. UNC-CH librarians also can advise faculty and P & T committees about tools that can help assess the impact of new forms of scholarship and online media, beyond those typically used.

For some examples of how other institutions are evaluating digital scholarship see the following sites from the University of Virginia and Mount Holyoke:

- http://artsandsciences.virginia.edu/dean/facultyemployment/evaluating_digital_scholarship.html
- <http://www.mtholyoke.edu/committees/facappoint/guidelines.shtml>

Collaborative work is already the rule in the natural and health sciences, and is expected to become more prevalent in the humanities and social sciences. In evaluating collaborative work, it is crucial that the faculty member be asked for a transparent account of his or her contribution to specific projects. It is also reasonable for the department or unit to solicit from the faculty member's collaborating colleagues similar information. Since types of collaboration vary widely, tenure and promotion procedures need to explicitly outline the responsibility on both sides—the faculty member's and the department's—for providing and/or gathering all information that will assure that the faculty member's work is understood and recognized.

Conclusion

The key is flexibility. New forms of scholarly communication will continue to emerge and those new forms will in some cases change the goals, methods, and effects of scholarship. We need tenure and promotion guidelines that encourage, rather than discourage, innovation and experimentation. We also must be flexible about how such encouragement, accompanied by fair and effective evaluation, is reflected in the tenure and promotion procedures of different academic units. But the mandate to all units to be open to new scholarly forms should be loud and clear.

3. Value Interdisciplinary Work

The pursuit of interdisciplinary scholarship is an issue of intellectual freedom. Policies, procedures, or academic cultures that discourage or interfere with the pursuit of interdisciplinary scholarship are inconsistent with the University's mission. Not only does interdisciplinary work provide opportunities for creating knowledge in new and unanticipated ways, University support for new work that crosses boundaries and brings together perspectives from new and traditional disciplines can be a factor in the recruitment and retention of the very best scholars and teachers. Interdisciplinary work often represents cutting-edge scholarship and teaching, but in UNC's department-oriented promotion and tenure process, questions often arise about how to evaluate interdisciplinary work.

We considered a variety of topics relating to opportunities and barriers to interdisciplinary work and compiled best practices for ensuring fair evaluation of that work in the tenure and promotion process. Although the issues are relevant to promotion from Associate Professor to Professor, we focused on promotion to Associate Professor with tenure, because Assistant Professors are most vulnerable to factors that can influence their ability to pursue interdisciplinary scholarship freely. We also recognized that some faculty members are hired explicitly to engage in interdisciplinary work, which is typically manifested by joint appointments between academic units or by hiring within an inherently interdisciplinary unit. In other cases, a faculty member's work can evolve to become more interdisciplinary over time.

Procedures and policies cannot by themselves create a welcoming environment for interdisciplinary scholars in traditional disciplinary departments. But much more can be done to provide structures to regularize expectations for faculty members whose work touches more than one department, or whose work presents a profile that is unusual in the department in which he/she finds a tenure home. The Office of the Provost can make it clear how departments and schools should report on the evaluation of interdisciplinary work as a part of the tenure and promotion process.

We have identified several points at which interdisciplinary work might be better recognized and make recommendations to improve policies and procedures to at least accommodate, if not promote, interdisciplinary scholarship at the University.

A. Departmental personnel documents

An academic unit's personnel documents typically state the unit's expectations for faculty excellence at different ranks, and they serve as a guideline for newly hired faculty looking ahead to tenure and promotion.

Recommendations:

- Each academic unit should review its personnel documents to ensure that they explicitly address questions of interdisciplinary research and teaching. Questions such as how review committees should be constituted in the case of jointly appointed faculty and in the case of interdisciplinary faculty whose work might involve publication and evaluation in venues different from those typically seen in that unit should be answered.
- For fields in which scholarly publications with multiple authors are atypical, the personnel documents should also address how multi-authored works are to be evaluated. For academic units in which scholarly publications are in different formats (e.g., some faculty members publish books and others journal articles), personnel documents should also address how these different formats will be evaluated. The continued emergence of new forms of scholarly communication as discussed above compounds the need for academic units to consider how interdisciplinary work will be evaluated.

B. Joint appointments

Joint appointments are common at the University and are a primary mechanism of promoting interdisciplinary scholarship. There are benefits to both the academic unit(s) making a joint appointment and the faculty member. Benefits to an academic unit include:

- funding, if specifically provided for joint hiring;
- addition of a new perspective to the unit's culture;
- and the ability to advertise that the faculty member is part of the unit

Benefits of joint appointments to the faculty member include:

- exposure to potential collaborators in multiple units;
- access to graduate students in multiple units;
- enhanced professional stature;
- and improved research funding opportunities.

Joint appointments can be made between several types of units, which has implications for the conduct of promotion and tenure decisions:

- between two academic departments; promotion and tenure decisions require votes in the two departments;
- between an academic department and a Curriculum, Institute or Center that does not have faculty lines; promotion and tenure decisions require a vote only in the home department;
- and between an academic department and a Curriculum, Institute or Center that *does* have faculty lines; promotion and tenure decisions require votes in two units.

There are two types of joint appointments: those that are made at the hiring stage, typically in response to the availability of special funding for that purpose (a “mutual-hiring” joint appointment), and those made at the request of a faculty member already holding an academic appointment (a “sequential” joint appointment). Mutual-hiring joint appointments typically involve a memorandum of understanding (MOU) between the appointing units. The MOU typically spells out the expectations for teaching and service, the salary split between departments, and the method for constituting review committees at the time of consideration for tenure and for promotion. Sequential joint appointments require completion of a “Recommendation of Joint Appointment” form that accompanies other paperwork provided to the Office of the Provost; this form requests minimal (albeit important) information and is signed by the heads of each appointing unit.

Situations have arisen in which joint appointments are no longer tenable for one of the originally appointing units, the faculty member, or both. One example is the denial of tenure in one unit and approval in another. Denial of tenure in one unit may be particularly egregious when the joint unit would have approved of tenure but does not hold faculty lines. Another example is when a jointly appointed faculty member becomes uninvolved in the joint unit. If the faculty member had teaching responsibilities in that unit, its teaching needs might go unmet; this is a particular problem for Curricula that do not hold faculty lines.

Finally, current University policy requires that, for sequential joint appointments, new external letters be obtained by the jointly appointing unit. This requirement places an undue administrative burden on the jointly appointing unit if it is satisfied with the letters that had been obtained in the most recent evaluation by the primary unit; it also can place a burden on the external reviewers, some of whom might be asked to re-write letters they had written only recently.

Recommendations:

- Grounds for dissolving a faculty member's joint appointment in a particular unit should be articulated (e.g., because that faculty member no longer contributes to the unit). Procedures to initiate the dissolution should also be established. We recommend that these grounds and procedures be articulated at the level of the Provost.
- Specific procedures should be established for situations in which one unit denies tenure and/or promotion and the second unit approves (or would approve if it could). For example, if the joint appointment is between units that both hold faculty lines, the joint appointment could be dissolved, leaving the candidate with promotion and tenure in the unit that made the affirmative decision. We recommend that general guidelines for these procedures be established at the level of the Provost.
- Academic units involved in joint appointments, whether a mutual-hiring appointment or a sequential joint appointment, should be *required* to develop an MOU. The currently required form for sequential joint appointments is a poor substitute for a well-conceived MOU. If adopted, this requirement would be implemented by placing appropriate language in the University's EPA Personnel Guidelines. It would be most helpful for the guidelines to provide a template for MOUs, but at a minimum the guidelines should identify the issues that should be included as a minimum in every MOU:
 - expectations for teaching in each unit and how teaching needs will be met if the jointly appointed faculty member is no longer able or willing to teach in one of the units.
 - expectations for service in each unit
 - the salary split between units
 - procedures for making recommendations in salary adjustments
 - provision of space
 - provision of administrative support
 - administration of grants and contracts
 - split of F&A funds and patent/royalty income
 - description of the process that will be followed in the promotion and tenure proceedings; if one unit is the primary tenure home, the role of the joint unit in the evaluation process should be specified.
 - description of procedure to be followed if the joint appointment is dissolved at the end of its term, either by denial of tenure in one unit, at the request of the head of one unit (e.g., because of lack of participation of the faculty member), or at the request of the faculty member

- A copy of the MOU should be provided to the faculty member.
- All joint appointments should be for fixed periods, ideally between appointment steps (i.e., first and second probationary terms, promotion to Associate Professor, promotion to Professor, and at five-year intervals corresponding to post-tenure reviews). This provides an opportunity to exit a joint appointment that is no longer tenable.
- New external letters should no longer be *required* for sequential joint appointments. Such letters can be sought by the jointly appointing unit as desired for its own evaluation.

C. Interdisciplinary faculty in a single academic unit

Faculty are at times hired into an academic unit in response to an advertisement for a position intended to be interdisciplinary, and in other cases a faculty member might be interested in exploring interdisciplinary activities after being hired. An interdisciplinary faculty member in a tenure-track position in a unit that does not have a history of interdisciplinary scholarship can be vulnerable to either overt or subliminal messages that discourage such scholarship. In the worst cases, tenure could be denied because the department's faculty who vote on tenure do not value the interdisciplinary work or do not know how to evaluate it. In fields that would require a considerable investment of a faculty member's time to explore interdisciplinary opportunities, the relatively short tenure clock itself could be a significant barrier to pursuing such opportunities.

Recommendations:

- If a faculty member is hired in response to an advertised position that is intended to be interdisciplinary, a copy of the position advertisement should become part of that faculty member's permanent file and should accompany all documents that are part of the promotion and tenure evaluation process.
- An MOU should be developed between the unit and the interdisciplinary faculty member. The MOU should specify the process that will be followed in promotion and tenure evaluations, including details relevant to the particular appointment that would not otherwise be addressed in the unit's personnel documents.
- Consideration should be given to creating an opportunity for an untenured faculty member to request a one-year leave to explore an interdisciplinary opportunity. If granted, the leave period should not count towards the tenure clock.

D. Mentoring and yearly evaluation

In addition to the concerns that face every faculty member with respect to mentoring (including clear expectations in the personnel document and clear communication from chairs in the yearly evaluation meetings), interdisciplinary scholars in particular would benefit from regular and sustained attention to the ways their interdisciplinary work is understood in their home departments.

Recommendations:

- For a faculty member hired into an interdisciplinary position, the MOU that formed the basis for the initial agreement should be reviewed in annual evaluations conducted by the unit head with the faculty member. An opportunity should be provided to update or revise the MOU by mutual agreement.
- The nature of an interdisciplinary faculty member's scholarly work should be considered during faculty meetings in which the progress of junior faculty members is discussed.

E. The promotion and tenure process

The promotion and tenure evaluation process itself can work against an interdisciplinary faculty member in the absence of explicit policies to take account of the interdisciplinary scholarship. For this reason, tenure and promotion committees for interdisciplinary faculty should contain members who collectively are able to judge all aspects of the faculty member's work. Sometimes this might involve appointment of members from outside the department and/or coordination with a review committee in the joint or adjunct department (the MOU should spell this out). To be fair to the interdisciplinary faculty member, an effort should be made to secure outside evaluators from the major disciplines on which the faculty member's work touches, and procedures should take into account both the interdisciplinary interests the faculty member had when hired and those that might have developed during the course of his/her career at UNC.

Current requests to external reviewers often ask the reviewer to determine if the candidate would be likely to receive an equivalent promotion and/or tenure at his or her institution. This question is inherently unfair to an interdisciplinary faculty member being reviewed by an external reviewer in a traditional disciplinary department that does not itself value interdisciplinary work or which is different from the candidate's own disciplinary background. At best, the reviewer ignores the question, but more often the reviewer is compelled to provide a lengthy explanation of the answer.

Our subcommittee also discussed the potential value of including Associate Professors in the promotion and tenure decision. Associate Professors are likely to be closer to the culture from which interdisciplinarity evolved, and therefore are more likely to value interdisciplinarity scholarship. Although the University's policies currently allow Associate Professors to participate in decisions regarding promotion to Associate Professor with tenure, this policy does not appear to be well known.

Recommendations:

- Academic units that make promotion and tenure decisions for interdisciplinary faculty should be required to show how the review process has taken account of interdisciplinary scholarship, such as in the constitution of the review committee and/or in the choice of external reviewers.

- To hold a unit accountable for the first recommendation, a faculty member should have the right to declare that his or her work is interdisciplinary and formally request that the promotion and tenure evaluation process take this into account.
- Careful consideration should be given to the selection of external reviewers to ensure that the breadth of an interdisciplinary scholar's work is represented. In some cases it might be advisable to seek more than the minimum number of reviewers.
- Letters sent to external reviewers should not ask the reviewer to determine if the candidate would be likely to receive an equivalent promotion at his or her institution.
- The unit serving as primary tenure home should recognize the contributions of a faculty member to other academic units (e.g., teaching, membership on thesis or dissertation committees) in the promotion and tenure evaluation.
- The policy allowing Associate Professors to participate in decisions regarding promotion to Associate Professor with tenure should be made explicit in the EPA Personnel Guidelines and other documents that are consulted by unit heads and administrative staff responsible for making personnel decisions.
- In the Provost's document, "Dossier: Format for Tenure Track or Tenured Faculty Review," the section that provides guidelines for the formatting of the chair's letter should be revised to instruct the chair to address, if relevant, the faculty member's interdisciplinary work as a contribution to the core values of the University's mission.

4. Establish Clear and Realistic Expectations for Tenure and Promotion

Conferral of tenure represents a significant commitment of resources by the institution. As a consequence, the institution has a responsibility to institute policies and procedures that result in sound tenure decisions. As part of the goal of ensuring good tenure decisions, it is important that the tenure process is transparent, and that procedures are put in place to monitor tenure processes and decisions. On both counts (transparency and monitoring), current practices could be improved.

A. Tenure Guidelines

Recommendation: All academic units that recommend tenure and promotion should be directed to review their hiring, promotion and tenure policies to ensure clear and reasonable expectations now and in the future whenever the unit is externally reviewed (at least every 10 years). The Executive Associate Provost should have responsibility for making sure tenure and promotion policies are up to date and accessible at the unit level.

In setting these policies, the requirements and expectations for promotion and tenure should be as clear as possible. There should be sufficient periodic review of tenure-track faculty members to tell them how they are progressing. Stated policies should be adhered to consistently and thoroughly. Appointment letters should state clearly the meaning of tenure conferred, and clearly spell out the implications of contingency clauses.¹

B. Monitoring

It is difficult to obtain data on the results of current tenure practices and processes at UNC-CH. Without such data, it is difficult to judge the success of these practices. For example, we were unable to obtain data on the current or past success/fail rates of tenure cases, or the use of extensions to the tenure clock by faculty members.

Recommendation: Data relating to tenure-track positions should be collected on a university-wide basis. In particular, we recommend:

a. Consistent data collection and aggregation. Ensuring consistent collection of data in a longitudinal study of tenure outcomes, including the hiring of new faculty, the exit of faculty members for different reasons, the use of leaves of absence and other extensions of the tenure clock, the frequency of lawsuits over tenure decisions, and the outcomes of successful and unsuccessful probationary and tenure reviews, at all levels.

b. Survey of current untenured faculty. Conducting a survey of currently untenured tenure-track faculty members (as in the COACHE survey) regarding their perception of the clarity of the tenure process and expectations for tenure; whether they have engaged in strategies to extend the probationary period, or are interested in doing so; and their understanding of the benefits and responsibilities of tenure. We also recommend including questions about faculty members' perceptions of 'quality of life' as related to the tenure process.

C. Tenure clock

The data that we were able to collect, while incomplete, suggest that the proportion of tenure-track faculty at UNC, compared to fixed-term faculty, is declining over time. Changes in the composition of the faculty, and in particular the proportions of fixed-term and tenure-track faculty, is part of a national trend in the decrease in the proportion of tenure-track positions over the last 30 years, as documented by the AAUP. At UNC, the current proportion is approximately 40% fixed-term faculty and 60% tenure-track. Nationally, tenure-track positions have declined from 59% to 31%.

In addition to the decline in the proportion of tenure-track faculty, the meaning of tenure may itself be changing in some units; in particular, the use of contingency clauses has increased. Both of these changes likely reflect the resource constraints that the conferral of tenure places on the institution. It is important that the institution consider whether

¹ We noted that the most recent COACHE Survey suggested that untenured faculty perceive that the current tenure standards at UNC-CH as unclear and perhaps unfair.

changes in the process, and in particular extension of the tenure clock, may give some units the ability to make better tenure decisions.

The suitability of the current tenure clock may vary from unit to unit since research programs and measures of success differ substantially across areas. In the School of Medicine, for instance, the insistence on obtaining prestigious R01 grants from the NIH as a prerequisite for tenure has run into the problem of increasing scarcity of such grants. The more competitive grant landscape has contributed to an interest in some medical schools to extend the tenure clock.²

Increasing the standard probationary period, while giving individual units the ability to confer tenure inside that period, is an option that could be valuable to both the institution and the faculty member. The criticism of greater flexibility in the tenure clock is that an administratively decreed change in the probationary period may give the institution the ability to exploit the faculty member by keeping her or him in limbo longer. But it appears that some units are already finding ways to keep faculty in (limited) limbo through the use of contingency clauses and perhaps through substituting fixed-term faculty for tenure-track faculty.

Given the lack of good data on the current use of family leave and extension of instructor status as methods of extending the tenure clock, and differing expectations across schools, we recommend further study of these issues. We suggest that the creation of a new policy should have as its goal a better, more informed tenure process leading to better tenure decisions. Individual units should first reconsider how realistic their expectations are for determining tenure within the current university probationary period. Schools or departments may be able to make the case that better tenure decisions will result from offering their faculty members a longer tenure clock, for reasons of competition with peer institutions, grant funding, lengthy setup times for research projects, or publication lag-times.³ Longer tenure clocks should be considered only if expectations are clear, realistic and time-limited.

5. Ensure good mentoring

Mentoring is central to both individual and institutional success. Good mentorship is a hallmark of successful academic units. The department chair or school dean is responsible for ensuring mentoring is available and for establishing an environment conducive to and supportive of mentorship. Senior faculty members have a responsibility to support and advise their junior colleagues. Junior faculty should be proactive in developing mentoring relationships and are responsible for taking advantage of the mentorship opportunities available to them.

² See the November 4, 2008, letter on this subject from Eugene Orringer, Executive Associate Dean for Faculty Affairs at the School of Medicine, to Provost Bernadette Gray-Little.

³ See, for example, the differing school and university tenure clocks at the University of Michigan, described in “Guidelines regarding University of Michigan Policies that Govern Time to Tenure Review (‘The Tenure Clock’) and Related Matters” (April 20, 2005).

Mentoring should be designed to meet the goals of the mentee. Mentoring requires a trusting, confidential relationship built on mutual respect, so optimal mentoring relationships are voluntarily established rather than dictated. The best mentoring relationship creates a safe space in which the junior faculty member can openly and honestly discuss challenges, problems and concerns, and be assured of confidentiality as well as advice and support. It may be desirable for an early-career faculty to have multiple mentors. One mentor might assist a junior faculty member develop an independent academic identity, but a different mentor might be better prepared to help the junior faculty member balance professional and personal demands.

While we are aware of many instances of exemplary mentoring at Carolina, our sense is that mentoring remains sporadic and variable across campus. Our hope is that this report will serve to stimulate a campus-wide discussion of and commitment to mentorship. Toward that end, we (1) discuss the functions of a mentor; (2) discuss mentorship best practices; and (3) make recommendations that should enhance mentoring on the Carolina campus.

1. The Functions of a Mentor

(a) Developing an academic identity and a body of scholarship

While it is the unit head's responsibility to inform junior faculty members of the steps, deadlines and paperwork required in the promotion and tenure process and to clearly convey the unit's performance expectations, a mentor goes beyond this basic advising function to assist the junior faculty member in developing an academic identity and a coherent research, teaching, engagement and service agenda. In other words, a mentor helps a junior faculty member learn how to weave his or her research, teaching, engagement and service into a coherent whole, thereby identifying a clear path to promotion and tenure.

(b) Introduction to the institutional culture

Every organization has both formal and informal structures, written and unwritten standards and expectations, which together comprise the institutional culture. Formal promotion and tenure structures include the written tenure regulations, the number of external letters required, and the process through which teaching is evaluated. Informal promotion and tenure structures include such things as what activities dominate the tenure decision, the weight placed on external letters, and whether it is wise to chair committees before tenure. Mentors can be invaluable in helping junior faculty understand the informal structures within the University and their academic units. Indeed, an appreciation of the institutional culture and the ethos that guide and define acceptable behavior and actions both within the University and across the profession can be the difference between promotion and termination.

Any successful senior faculty member who has some sense of the institution and involvement in the profession can help junior faculty understand the informal structures.

The most important factor is the experienced professor's willingness to spend time with the junior faculty member. Chairs and deans can play a role in the process, but sometimes the unit head's outlooks and preferences are an integral part of the institutional culture with which the junior faculty member must become familiar, and a different voice is needed to provide perspective. Since junior faculty must be able to work with the chair or dean to be successful, other senior faculty, perhaps even faculty from outside the department or school, may be better situated to help assistant professors understand internal issues.

(c) Networking and establishing linkages

Exposure to positive, career-building opportunities at the right time is crucial to success in academia. Guiding young faculty to the correct individuals and resources, both locally and nationally, is an important service that can help ensure a successful career start for a faculty member. In addition to promoting participation in disciplinary meetings and activities, a mentor can encourage and facilitate interdisciplinary involvement when the benefits for tenure and promotion are clear.

2. Mentorship Best Practices

The chair or dean has the responsibility to ensure that all junior faculty develop clear plans leading to promotion and tenure.

- The chair or dean should provide all junior faculty, in writing, with a timetable showing when reviews will occur and what steps the junior faculty member must take to succeed at each review stage.
- The chair or dean should convey to the junior faculty member, in writing, what the department's or school's expectations are for a successful third-year and tenure-promotion review in the faculty member's discipline or field.
- The chair or dean is responsible for ensuring all paperwork is complete and deadlines met.

The chair or dean is responsible for creating an organizational culture that encourages junior and senior faculty to develop mentoring relationships and rewards effective mentorship.

Recommendation:

Each department or school should have a mentoring plan. The plan should ensure that each junior faculty member has at least one senior faculty mentor.

Among the elements that a mentorship plan might include are:

- Informal opportunities for junior and senior faculty members to interact with and get to know one another, such as coffees and lunches, to pave the way for development of mentoring relationships.
- A faculty research venue in which both junior and senior faculty members present their work in progress and share research ideas.

- Writing groups among the faculty, small groups of faculty members who meet regularly to share what they have written, critique one another's work, offer each other advice, guidance and encouragement.
- Periodic teaching colloquia at which faculty are brought together to discuss issues related to effective teaching and/or explore new ideas and teaching techniques.
- A plan for regular peer teaching reviews of junior faculty by senior faculty.
- Junior faculty development workshops, addressing such issues as how to get funding, write grant proposals, select an appropriate journal or publisher for your work, obtain invitations to speak at conferences, etc.
- Sessions for senior faculty that focus on how to be a mentor, what constitutes successful mentorship, the value of mentorship for junior faculty members, senior faculty members, and the institution.
- Recognition of and rewards for mentoring, e.g., recognizing mentoring as important departmental service, establishment of a mentor-of-the-year award, recognition of a mentor's contributions when acknowledging the success of a junior faculty member (similar to the way in which dissertation advisors are recognized).

Ultimately the success of a mentoring relationship depends on the commitment of the individuals involved. A good mentor does some or all of the following:

- Meet regularly with his or her mentee.
- Act as an advocate for the mentee.
- Assist the mentee in developing a professional plan of action.
- Provide advice and support on grant-writing and publication.
- Introduce the mentee to colleagues both on and off campus.
- Invite the mentee to collaborate on projects that might result in publication and/or grants or paves the way for the mentee to collaborate with others.
- Provide teaching advice and guidance, volunteer to observe the mentee's classes and provide feedback, share teaching materials, invite the mentee to serve on graduate and/or undergraduate honors committees.
- Make sure the mentee is aware of the many resources available on campus, such as the Center for Faculty Excellence, the Provost's Website with critical promotion and tenure information, junior faculty development grants, etc.
- Recommend the mentee for activities that will help him or her establish a national reputation, such as speaking at conferences and participating in symposia workshops.
- Help the mentee determine which types of service activities are best to undertake at each stage of his or her career.
- Assist the mentee in identifying colleagues at other institutions who might eventually serve as external reviewers for promotion and/or tenure.
- Provide advice on the composition and compilation of the mentee's promotion and tenure dossier.

3. Other Recommendations

A. Learning more about current practices

The first step in improving the mentoring environment on campus should be to gather data about the current state of mentoring. The results of the 2005-07 COACHE (Collaborative on Academic Careers in Higher Education) survey of job satisfaction among junior faculty, indicated room for improvement in the quality and availability of mentoring on the UNC campus. A new survey of assistant professors in their fourth and/or fifth years — more detailed and targeted than COACHE survey — would be useful in ascertaining not only what the mentoring environment is on campus but also what the mentoring expectations and needs of junior faculty are. Alternative sources of mentoring information might come from focus groups or interviews with junior faculty.

Recommendation:

A survey of junior faculty (perhaps those in their fourth or fifth year) should be conducted to determine what is the mentorship environment on campus as well as to identify the mentoring needs and expectations of junior faculty.

B. Improving mentorship

Junior faculty rely on their department chairs and school deans for information and guidance about tenure and promotion procedures, and the department chair's letter is one of the most important parts of the tenure dossier. Consequently, unit heads should receive guidance on tenure and promotion practices and procedures and how to present effective promotion and tenure dossiers. In addition, chairs and deans should receive guidance on how to create a culture of mentorship within their units, develop a mentorship plan and reward mentorship. The existence and effectiveness of a departmental mentorship plan should be part of the chair's regular evaluation.

Effective mentoring requires widespread faculty commitment and effort. Consequently, campus-wide mentorship awareness and training are needed. The Center of Faculty Excellence may be the appropriate entity to undertake this effort. Workshops, panel discussions, written materials, and online training and discussion boards are just a few of the vehicles that might be used. Deans and chairs should be encouraged to devote a portion of the first faculty meeting of each academic year to a discussion of mentorship. New faculty orientation, at both the university and unit level, should include discussion of the need for and functions of mentoring. New faculty must be urged to seek out and develop strong relationships with mentors of their choice.

Recommendations:

- Regular workshops on how to prepare a promotion and tenure package and how to encourage and ensure mentoring of junior faculty should be provided for all department chairs and school deans.
- Each academic unit should have a mentorship plan in place.

- Campus-wide mentorship programs and workshops for senior faculty should be provided.

C. Rewarding mentoring

Mentorship should be recognized as an important aspect of departmental service. Tenured faculty should view mentoring as part of their service obligation. Mechanisms for recognizing and awarding outstanding mentoring should also be created. The Faculty Mentoring Award, given since 2006 by the Carolina Women's Leadership Council, is a great start but needs to be supplemented by other awards and recognitions, both on a campus and departmental or school level. Just as all Ph.D. graduates in a given year are invited to nominate their doctoral advisors for the Graduate School's Faculty Award for Excellence in Doctoral Mentoring, all faculty members tenured during an academic year could be invited to nominate senior faculty who mentored them for recognition.

Recommendations:

- Faculty members should list their mentoring activities as part of their departmental or school service.
- Mentoring awards should be instituted by the University, College, schools and departments.

Roster

Provost's Task Force on the Future of Tenure and Promotion at the University of North Carolina, 2009

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Provost's Office Liaison

Professor Ron Strauss, Executive Associate Provost

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Co-chairs of the Subcommittee on New Forms of Scholarly Communication:

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Professor Mike Aitken, Department of Environmental Sciences and Engineering

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13. Salary Ranges - Administrators

Please prepare and upload a PDF document (or PDF documents if there is more than one) with an outline of the process your campus utilizes to establish salary ranges for vice chancellors, provosts, deans and other similarly situated administrators that are not included in the annual Board of Governor’s study establishing salary ranges. The process should outline who is responsible for overseeing establishment of salary ranges, the time line, the methods used to establish salary ranges, and the mechanisms in place to ensure ranges are appropriate. (600.3.4 B.3)

- Please name the uploaded file in the following manner: XXXX_salary_admin.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_salary_admin_1.pdf).

UNC-CH_salary_admin.pdf
407.6KB
application/pdf

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

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Methodology for Establishing EPA Non-Faculty Salary Ranges (SAAO Tier I Positions)

Background

The University of North Carolina at Chapel Hill (UNC-CH) adheres to salary ranges established by UNC General Administration (GA) for Tier I Senior Academic and Administrative Officers as reflected in the annual GA Administrative Salary Survey. In situations where a specific UNC-CH Tier I position does not have a match in the annual survey, a salary range is developed by UNC-CH Human Resources and proposed to GA for approval. In unusual circumstances, when a position range in the annual survey is determined not to meet a specific recruitment or retention need, a salary range exception request is made to GA.

Approach

For a position not already included in the GA Administrative Salary Survey, UNC-CH targets the 75 – 80th percentile of comparable positions at peer and Carnegie doctoral-granting research institutions. A proposed salary range is developed using a “custom cut” of data from the College and University Personnel Association (CUPA) salary survey database, when a CUPA match is available. The range spread is typically consistent with the 50% spread utilized by GA.

Internal Review and GA Pre-Approval

Proposed salary ranges for any positions not already included in the GA Administrative Salary Survey are reviewed by the Associate Vice Chancellor for Human Resources, the Vice Chancellor for Workforce Strategy, Equity, and Engagement, and the Chancellor prior to being submitted to GA for approval. The Office of Human Resources is responsible for ensuring that the proposed range is based on current and relevant survey salary data and conforms to UNC Chapel Hill and GA compensation policies. Implementation of any proposed Tier I salary range is permitted only after notification of approval has been received from GA.

University of North Carolina at Chapel Hill - Salary Range Approval Request – **Sample**

Assigned CUPA Code	153260 – Dean, Library Sciences		
Assigned CUPA Definition	Persons with faculty status who serve as the principal administrator/head of an academic program, which may be a school, college or department		
Proposed Salary Range	\$171,385.00 – \$267,790.00		
Internal/Equity Comparisons			
External Comparisons	Average	Min/80th%	Max
Carnegie Extensive	187,244	112,142/214,232	328,950
Peer Institutions	236,271	140,470/269,297	328,950
UNC System	N/A	N/A	N/A
Other Salary Data/Sources	N/A	N/A	N/A

SALARY RANGE JUSTIFICATION/RATIONALE: The Board of Governor’s Administrative Salary Study for 2013-2014 does not provide a salary range for this position. We are proposing a range of \$171,385.00 - \$267,790.00 based on a reference rate of 214,232 with a 50% range spread. The proposed salary was established based on market survey data from UNC Peer Institutions and the College and University Professional Association (CUPA). The CUPA Carnegie market survey evaluates salary data from doctoral-granting research institutions. For questions or additional information, please contact Vanessa Ragland @ 919-962-1456 or Vanessa.Ragland@unc.edu

14. Salary Ranges - Tenured Faculty

Please prepare and upload a PDF document (or PDF documents if there is more than one) explaining the process for establishing salary ranges for tenured faculty within different disciplines. The process should outline who is responsible for overseeing establishment of ranges, what is the time line, what are the methods used to establish salary ranges, and what mechanisms are in place to ensure ranges are appropriate. (600.3.4 B.4)

- Please name the uploaded file in the following manner: XXXX_salary_faculty.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_salary_faculty_1.pdf).

UNC-CH_salary_faculty.pdf
267.4KB
application/pdf

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

15. Campus Accountability Procedures

If your campus Board of Trustees delegates the authority granted pursuant to policy to the chancellor, please prepare and upload a PDF document (or PDF documents if there is more than one) with your campus accountability procedures. (600.3.4. B.8)

- Please name the uploaded file in the following manner: XXXX_accountability.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_accountability_1.pdf).

UNC-CH_accountability_1.pdf
580.9KB
application/pdf

TENURED FACUTLY SALARY RANGES FOR EACH SCHOOL/UNIT

School of Dentistry

The School of Dentistry has put a great deal of thought into creating salary ranges for EPA Faculty and Non-Faculty for FY14. Below is a list of ranges, which were derived from data appearing in the 2012 American Dental Education Association (ADEA) salary survey. This survey is highly respected and considered the definitive source of Faculty and Non-faculty salary information based upon data from the majority of Dental Schools in the United States. The UNC School of Dentistry, as well as our peer dental schools, participate in this survey and use it as a benchmark for determining faculty salaries.

When determining an EPA Faculty or Non-Faculty base salary, the UNC School of Dentistry considers the following factors (not necessarily in this order):

- 1) The attached salary ranges.
- 2) Available funding.
- 3) Labor Market Data from the most recently-published salary ADEA survey.
- 4) Salaries of current incumbents in similar positions.
- 5) Current salary of the employee or prospective employee.
- 6) Clinical revenue generated in the Scholl of Dentistry's Dental Faculty Plan (a component of base salary).
- 7) Retention of key EPA Faculty or Non-faculty employees (if applicable).

FY14 School of Dentistry Faculty Salary Ranges				
	Rank or Title			
	Administration		Min	Max
	Dean	\$ 188,262	\$ 546,214	
	Associate Dean	\$ 112,987	\$ 341,126	
	Assistant Dean	\$ 84,529	\$ 284,915	
	Allied Dental Program Director	\$ 42,543	\$ 182,397	
	Clinic Director	\$ 76,735	\$ 273,379	
	Division Director	\$ 83,264	\$ 280,917	
	Director, Other	\$ 71,610	\$ 248,612	
	Other Program Director	\$ 73,327	\$ 261,886	
	Other Administrative Title*	\$ 50,687	\$ 206,762	
	Allied Dental Education		Min	Max
	Professor	\$ 54,124	\$ 157,137	
	Associate Professor	\$ 36,692	\$ 116,617	
	Assistant Professor	\$ 36,271	\$ 111,215	
	Instructor	\$ 33,091	\$ 106,097	
		\$ -	\$ -	
	Clinical Science		Min	Max
	Department Chair	\$ 64,990	\$ 610,000	
	Professor	\$ 58,397	\$ 590,000	
	Associate Professor	\$ 56,305	\$ 484,914	
	Assistant Professor	\$ 56,246	\$ 407,784	
	Instructor	\$ 45,708	\$ 146,092	
	Lecturer	\$ 66,617	\$ 219,046	
	Other Rank	\$ 53,515	\$ 180,692	
		\$ -	\$ -	
	Research		Min	Max
	Department Chair	\$ 111,326	\$ 384,960	
	Professor	\$ 76,794	\$ 286,894	
	Associate Professor	\$ 64,016	\$ 233,626	
	Assistant Professor	\$ 52,040	\$ 178,592	
	Instructor	\$ 31,931	\$ 138,481	
	Teaching or Research Assistant	\$ 31,780	\$ 110,001	
FY14 School of Dentistry Faculty Salary Ranges By Clinical Specialty				
	Rank			
	Dental Public Health		Min	Max
	Department Chair	\$ 64,990	\$ 289,598	
	Professor	\$ 101,866	\$ 334,296	
	Associate Professor	\$ 65,670	\$ 189,623	
	Assistant Professor	\$ 56,246	\$ 164,721	
	Endodontics		Min	Max
	Department Chair	\$ 100,409	\$ 311,563	
	Professor	\$ 58,397	\$ 223,649	
	Associate Professor	\$ 81,575	\$ 243,709	
	Assistant Professor	\$ 75,847	\$ 210,246	
	Oral and Maxillofacial Pathology		Min	Max
	Department Chair	\$ 71,770	\$ 531,053	
	Professor	\$ 114,356	\$ 507,083	
	Associate Professor	\$ 56,305	\$ 347,740	
	Assistant Professor	\$ 61,034	\$ 289,155	
	Oral and Maxillofacial Radiology		Min	Max
	Professor	\$ 84,494	\$ 253,850	
	Associate Professor	\$ 68,811	\$ 206,590	
	Assistant Professor	\$ 61,328	\$ 184,841	
	Oral and Maxillofacial Surgery (with Clinical Fellowship)		Min	Max
	Department Chair	\$ 153,353	\$ 610,000	
	Professor	\$ 114,289	\$ 590,000	
	Associate Professor	\$ 95,649	\$ 484,914	
	Assistant Professor	\$ 94,756	\$ 407,784	
	Orthodontics and Dentofacial Orthopedics		Min	Max
	Department Chair	\$ 118,578	\$ 368,802	
	Professor	\$ 113,760	\$ 311,508	
	Associate Professor	\$ 93,227	\$ 256,605	
	Assistant Professor	\$ 72,408	\$ 206,331	
	Pediatric Dentistry		Min	Max
	Department Chair	\$ 102,116	\$ 320,970	
	Professor	\$ 70,155	\$ 278,499	
	Associate Professor	\$ 73,070	\$ 259,930	
	Assistant Professor	\$ 57,359	\$ 212,280	
FY14 School of Dentistry Faculty Salary Ranges By Clinical Specialty				
	Rank			
	Periodontics		Min	Max
	Department Chair	\$ 107,493	\$ 392,100	
	Professor	\$ 77,454	\$ 300,562	
	Associate Professor	\$ 57,256	\$ 250,253	
	Assistant Professor	\$ 62,889	\$ 221,417	
	Prosthodontics (with Prosth-Maxi Prosthetics)		Min	Max

School of Medicine

The process SOM applies to establish salary ranges, including who is responsible for overseeing the establishment of tenured faculty ranges or ceilings, the timeline, the methods used to establish salary ranges/ceilings, and the mechanisms that are in place to ensure ranges/ceilings are appropriate as follows:

- The maximum salary ceilings are posted directly on the Academic Personnel website and we receive the salary minimums memo to set those ranges
- UNC-CH works with ECU for the salary ceilings and all SOM clinical departments are approved by GA in July; the basic science departments follow the University guidelines
- We try and watch the salary ranges in EEO requests to ensure we are within the set ranges
- Within the SOM we currently use the AAMC's Annual Faculty Salary Survey Results (which are always 1 fiscal year behind) table 14 which lists total compensation for both public and private medical schools for all Clinical Departments by Rank by Degree (MD)
- We pull the 75th percentile for each subspecialty for each rank and then place that data in the overall Group 1, 2, or 3 scenario and then compare with UNC data from the same time period. The caps that get reported are the highest 75th percentile or the UNC salary for each group. We build in a productivity factor of 25% to allow for growth in the cap based on UNC's emphasis on clinical productivity
- These caps are then shared with ECU. We come to a mutual agreement on the caps and then they are forwarded to the Provost Office for inclusion in GA's BOG meeting for July



The University of North Carolina at Chapel Hill School of Medicine and The Brody School of Medicine at East Carolina University Clinical Faculty Salary Ceilings FY 2013-2014 and 2014-2015

Departments of Anesthesiology, Emergency Medicine, Ob-Gyn, Ophthalmology, Otolaryngology, Orthopaedics, Clinical Pathology, Radiology, Radiation Oncology, Mohs Surgery DermPath, Pediatric Cardiology, Neonatology, Internal Medicine, Cardiology, Gastroenterology, Oncology, and Surgical Subspecialties (Except Cardiothoracic Surgery)

	(2013-2014)	(2014-2015)
• Professor & Chair, Division Chief, or Center Director	\$ 1,588,000	\$ 1,985,000
• Professor	\$ 1,358,000	\$ 1,358,000
• Associate Professor	\$ 1,210,000	\$ 1,210,000
• Assistant Professor	\$ 718,000	\$ 773,000
• Instructor	\$ 575,000	\$ 613,000

Cardiothoracic Surgery

• Professor & Chair, Division Chief, or Center Director	\$ 1,969,000	\$ 1,975,000
• Professor	\$ 995,000	\$ 995,000
• Associate Professor	\$ 935,000	\$ 935,000
• Assistant Professor	\$ 600,000	\$ 636,000
• Instructor	\$ 474,000	\$ 474,000

All Other Departments

• Professor & Chair, Division Chief, or Center Director	\$ 858,000	\$ 858,000
• Professor	\$ 638,000	\$ 638,000
• Associate Professor	\$ 519,000	\$ 551,000
• Assistant Professor	\$ 451,000	\$ 474,000
• Instructor	\$ 334,000	\$ 350,000

Source: Association of American Medical Colleges, Summary Statistics on Medical School Faculty Compensation, 2012-2013, M.D. Degree, All Schools, All Regions 75th percentile or highest UNC total salary with 25% productivity calculation, or previous prevailing salary ceiling cap.

Allied Health Department

• Chair/Dean	\$ 278,189	\$ 280,200
• Division Director	\$ 210,800	\$ 219,232
• Professor	\$ 190,114	\$ 199,619
• Associate Professor	\$ 170,578	\$ 181,665
• Assistant Professor	\$ 142,369	\$ 147,478
• Instructor	\$ 116,750	\$ 120,194

Source: 75th Percentile of the 2013 Association of School of Allied Health Professionals (ASAHP) Salary Data standardized for twelve month contracts; excluding MD degree.

School of Nursing

The School of Nursing established salary ranges based on the benchmarks it receives from the American Association of Colleges of Nursing (AACN) annual salary survey of peer schools of nursing. Faculty salaries are reported for regions of the country and types of institutions, and by faculty rank, credentials, degree level and tenure track vs. fixed term status. Among the AACN categories, we use the salary data from Research I public universities with an Academic Health Center. The Dean, Associate Dean for Administrative Services, and Division Chairs oversee the establishment of ranges based on the table data from AACN as it becomes available each April. We also have a Faculty Salary Policy Committee which establishes policies and procedures for faculty salaries.

Our goal is to pay tenure track faculty at the 75th percentile of the AACN benchmark:

Professor \$132,140

Associate Professor \$95,646

Assistant Professor \$78,004

The SON mean salaries for each rank are:

Professor \$128,905

Associate Professor \$93,505

Assistant Professor \$74,162

Our salary ranges, based on 9-month, 1.0 FTE equivalents:

Professor \$104,555 – \$144,738

Associate Professor \$84,165 - \$106,351

Assistant Professor \$70,963 - \$76,581

School of Pharmacy

The Vice Dean is responsible for oversight. A number of activities and considerations have been implemented under his leadership: updated faculty salary policy on 3/20/13 that is tied to the ARPT. Effective 7/1/12, the school has established a policy that all faculty promoted to Associate Professor and Full Professor will receive an increase of \$4,000 and \$6,000, respectively. In addition, as is standard practice, we fully evaluate all salaries in the School annually. We did make several market adjustment per the 2012/13 ARP. Additionally we assess the salary and structure by a number of mechanisms including participating annual survey date (i.e. AACP salary Survey and Salary Survey for Big Ten School of Pharmacy).

A new faculty member's initial salary is based on the individual's qualifications (educational preparation, years and type of experience, productivity and accomplishments in teaching, research and service, and national or international standing), named professorships, administrative workload, equity within the School, and market conditions. The Division Chair discusses these qualifications with the Dean and the agreed salary is incorporated into the offer letter to the new faculty member.

Division Chairs conduct annual performance evaluations (Annual Faculty Merit Review) focusing on teaching responsibilities, student evaluations, new teaching innovations, mentoring of graduate students, research activities and publications, staff management, service activities, and special awards and recognitions.

As an extension to the Merit Review, an Impact Review Process is subsequently conducted. The Impact Review Process was first implemented by the School in the spring of 2005 and utilized since to guide School administrators on issues of merit- and impact-based annual salary increases, faculty retention decisions, and Academic Excellence Awards decisions.

The UNC Eshelman School of Pharmacy espouses a philosophy to acknowledge and reward exceptional faculty performance in the three primary areas of the mission of the School: Research, Education, and Service. The "Impact" the School has on the state, nation, and world and the reputation that follows is based on the constant pursuit of excellence in these three areas. This is consistent with our School's mission and recognized within our Appointment, Reappointment, Promotion, and Tenure (ARPT) document that acknowledges the Scholarship of Discovery, Education, and Application as critical elements of the promotion process. This process provides the School with a "near 360-degree" performance-based evaluation of faculty. The process also facilitates the recognition of faculty that contribute to the broad missions of the School in potentially very different ways, as well as allowing leadership of the School to appreciate the richness of the talent of the faculty. Special consideration should be given to the faculty member's contribution to all Strategic Initiatives in the School's Strategic Plan.

Based on the review process stated above, annual salary increases and adjustments for individual faculty members are recommended by their respective Division Chairs. These recommendations are forwarded to the Dean for final approval. The Dean administers salary increases and adjustments for Division Chairs and administrators. Salary allocations and increases are based on availability of funds, Merit and Impact Reviews, competitiveness with peer institutions, internal equity considerations, recruitment experience, and opportunities for career advancement

Salary ranges/ceilings for tenured faculty:

Full Professors: \$113,120-\$269,345

Associate Professors: \$97,244-\$134,072

School of Public Health

The Gillings School of Global Public Health uses data from Association of Schools and Programs of Public Health (ASPPH) annual Faculty Salary Survey to benchmark faculty salaries. We use the 50th and 75th percentiles stratified by rank and by discipline as our guide for reviewing faculty salaries. When evaluating our position against these benchmarks, we consider our faculty experience, credentials and performance. In addition, we attempt to bring in any new faculty at a salary that is at least the 50th percentile.

In addition to using the 50th percentile as the floor of our desired range, we use the ASPPH's highest salary as a guide to calculate our maximum ceilings. Our faculty salary ceilings for 2013-2014 based on our most recent industry benchmarks:

Professor and Chair	\$545,000
Professor	\$518,000
Associate Professor	\$372,000
Assistant Professor	\$282,000
Instructor	\$194,000

Kenan Flagler Business School

Faculty Salary Policy

The purpose of the salary policy is to describe the procedures and process that Kenan-Flagler Business School uses to establish faculty salaries.

Initial Salary

As a new hire faculty member, the initial salary is based on the individual's qualifications (e.g. educational preparation, productivity and accomplishments in research, teaching, and service, professional experience, and national or international standing), the rank at initial hiring (e.g., holding a named professorship), administrative load, teaching load, equity considerations within the School, market conditions, and other relevant factors. The Senior Associate Dean leads all salary negotiation efforts for the school.

Annual Reviews

Kenan-Flagler Business School assesses all salaries during the annual review process, which occurs in May and June of each year. The school uses a standard format for annual reporting of performance on areas of research, teaching and service. Materials are submitted to the Sr. Associate Dean's Office and include: a vita and a summary of his/her activities over the last two years; a list of courses s/he will teach during the upcoming academic year, and specific research and teaching goals for the next year. The Sr. Associate Dean meets with area chairs in an overview meeting to review faculty performance in their area. The Sr. Associate Dean and the area chair meet with each faculty member to discuss the assessment of his/her performance. The Sr. Associate Dean then prepares a written evaluation and sends to the area chairs for input. Once finalized, the written evaluation is sent out to each faculty member.

Salary Adjustments

An annual performance assessment is a key factor in salary increase considerations. Other factors include, but are not limited to, the following: retention concerns, increased teaching responsibilities, increased administrative responsibilities, salary compression/area equity, promotions, and market changes at peer institutions. The school uses AACSB survey data as a source of market data for comparative salary information at peer institutions. These survey data include the distribution of salaries by academic area and rank, and can be obtained for groups of business schools that also differ in ranking. These data, and so the distributions, change each year.

Contingent on the availability of funds and based on the university's salary increase guidelines/requirements for that year, the Senior Associate Dean develops recommendations for salary increases based on all factors specified above, along with input from the Area Chairs. The Sr. Associate Dean presents proposal to the Dean, and works with the Associate Dean of Business and Operations to implement. The School follows the instructions, limitations and conditions for salary adjustments as determined by the North Carolina General Assembly, UNC Board of Governors, as well as the Offices of the President, Chancellor, and Provost.

Each faculty member receives his/her new salary amount in writing.

School of Government

The School has not historically defined salary ranges or ceilings for faculty positions. We are describing our current salary structure—with some cushion added around each category—as a range to answer these questions. We think carefully about faculty salaries. Our approach is primarily driven by available resources and trying to reward faculty with equity based on their experience and achievement compared to similarly situated faculty at the School. Periodically, the School looks at data about faculty salaries in similar academic units at peer universities to help establish salaries. We also consider salaries in public sector jobs to further refine our ranges. The Dean, in consultation with the Senior Associate Dean and Assistant Dean for Human Resources, is responsible for overseeing faculty salaries and ranges. We review salaries annually when salary increase funds are available. When there are no salary increase funds, we examine salaries occasionally, in response to the need to make a salary offer to a new faculty member or to respond to an offer that a faculty member may get to leave us for another institution. When considering and setting faculty salaries, the Dean takes into consideration each individual's achievements and experience compared to other faculty in the School.

Again, this basically describes our current faculty salary structure. These are not ranges or ceilings we have enforced rigidly.

Professor	\$110,000-\$220,000
Associate Professor	\$100,000-\$140,000
Assistant Professor	\$80,000-\$120,000

School of Information and Library Science

SILS has not established a salary ceiling. To date, no SILS faculty salaries exceed the NIH salary cap for grantees. The SILS dean is responsible for salary decisions. A faculty salary committee consisting of one representative from each of the faculty ranks is elected to serve a three year term and the salary committee reviews salaries each year. SILS has established a policy of awarding a \$4000 increase in salary for promotion from assistant professor to associate professor and a \$7000 increase in salary for promotion from associate professor to full professor.

Salary ranges for SILS tenured faculty are as follows:

Tenured associate professor salaries range from \$78,602 to \$89,101

Tenured professor salaries range from \$94,884 to \$141,306

Note that these are base salaries for 9 month appointments. It does not include additional duty stipends or distinguished professor stipends. The salaries of the dean and the director of libraries who both have academic appointments in SILS are not included.

College of Arts and Sciences

We use the CUPA HR Research Institution faculty salary data as a reference point for our faculty salaries. See: <http://www.higheredjobs.com/salary/salaryDisplay.cfm?SurveyID=28> (Special Note in case you can help me with this: CAS would like to get access to this data directly, as well. This is something I had at ECU and it was tremendously helpful).

In addition, we compare our average salaries to those of our peers based on AAU data submissions and many of our departments send us salary surveys compiled by their professional organizations.

We do not have formalized salary ranges or ceilings for tenured faculty. The salary data collected (as noted above) serve as reference points. The ranges we have submitted thus far are based on the salaries of current CAS faculty by division (i.e. fine arts, humanities, social sciences, and Natural Sciences).

School of Education

In the School of Education (SOE), the Dean, Associate Dean and Assistant Dean of Administration and Finance confer regarding the current policy established by the State, General Administration and the Provost, analysis tools provided by the Provost, the current salary distribution within rank, the state of SOE salary compression created by more recent faculty hires, the available funds for salary increases, and, if known, salaries at peer Schools of Education. A spreadsheet is developed that groups all salaries in the appropriate rank category. The list is prioritized by base salary, without any stipends. In the most recent Annual Raise Process (ARP) in August 2012, the Provost provided a Salary Equity Study which formed the basis for establishing all faculty increases. In addition to the objective measures of faculty promotion and this Equity Study, subjective measures of compression between older and newer hires were also considered. Infrequently, we have to respond to salary offers from other Universities in an attempt to retain our top faculty. Most often our available funds establish the ceiling on such offers, long before we can equal any peer institutions salary structure. Often we seek Provost assistance with funding these retention offers. Ultimately, the Dean decides on the final salary in each case taking into consideration equity across faculty salary ranges and using the faculty salary equity data to determine the degree to which salaries deviate from the mean to establish salary increases and ranges/ceilings. Increases are distributed based on the extent of deviation from the mean and the impact of salary compression.

The timeline is within University guidelines based on the Annual Raise Process (ARP) taking into consideration promotions OR out-of-cycle increases in the case of additional responsibilities/duties or retention. If there is no ARP, promotion raises, as allowed by then current University policy, are processed to take effect on July 1. Recently, our base salary increases have been <10%.

The methods used is a combination of the UNC-CH Provost's Equity Study, faculty salaries above or below the SD, compression, salary ranges within rank & competitive retention to provide the maximum increase allowable while maintaining a fair distribution allocating the money allotted to the SOE and any additional funds available or added to the pool.

Most often, there is a legislative mandate for a minimal across-the-board increase to all faculty. We naturally comply with that mandate.

The Dean addresses a mixture of objective and subjective analysis, taking into consideration the UNC-CH Provost Equity Study, the Oklahoma State salary survey of other Schools of Education, salary compression within rank, distribution of salary within rank & competitive retention requirements,

We have no ceiling as funding keeps our salaries below our peer institutions.

School of Journalism

The School of Journalism and Mass Communication's Committee on Faculty Salaries is comprised of four elected faculty members that represent full, associate and assistant ranks. The committee meets to review raises given by the Dean and last met in summer 2012.

New faculty salaries are determined through negotiation with the Dean and take into account factors such as previous salary at another institution, state raises, professorships or additional duties. The school does not have a set floor or ceiling for tenured faculty, but top professor salaries are benchmarked against the Knight Professorship. The Knight Grant agreement calls for a salary that matches the highest-paid tenured professor, which currently is \$150,000.

School of Law

Traditionally in the School of Law, the dean sets salaries and makes all decisions about ranges and appropriateness. Salaries are typically only reconsidered during the summer (except for retentions, for example), after annual meetings with each faculty member that include a discussion of his/her present and ongoing scholarship, teaching and service. The dean often consults his associate deans and other members of his senior administrative team in setting salary ranges and general timelines for advancement. The School has historically valued an equitable salary structure, with few outliers on either end. Additionally, the School ordinarily keeps salaries of its pre-tenured faculty members bunched relatively closely. Moreover, there is a shared understanding about the upper limits on senior tenured faculty members salaries, even those with distinguished chairs. As a result of the salary freezes of the last several years, however, there is compression among many of our mid-career tenured colleagues. The School plans to remedy some of that compression with the proposal of some equity increases. The School has always maintained transparency with respect to salaries, and the dean shares in a memo annually a list of current faculty salaries, including any raises allocated during the previous year. The School keeps abreast of salary ranges in peer law schools across the country, particularly when it is made aware of offers being made to its faculty members. While faculty salaries at the School of Law are frankly below, and non-competitive with, salaries typically paid by elite and peer law schools, the School is unlikely for a variety of financial and cultural reasons to support salaries similar to the top private and public law schools.

In the School of Law, there are no fixed ceilings (or floors) on salary for tenured faculty. After some proposed equity raises are approved, the lowest paid tenured faculty member's base salary will be \$131,168. The highest paid tenured faculty member's salary will be \$221,052.

School of Social Work

The Dean of the School of Social Work oversees this process and makes decisions based on merit, market, equity, gender and ethnicity. The Dean uses salary data from the top 10 schools of social work in the public and private sectors to provide benchmark and competitive salary rates.

Tenured salary ranges begin at \$73,500/9 month (\$98,000 annualized 12 months) for assistant professor with the current ceiling for a full professor w/tenure at \$165,854/9 month (\$221,139 annualized 12 months). The School of Social Work faculty are 9 month employees eligible to earn summer salary.

Campus Accountability - EPA Non-Faculty Appointments, Position Establishment & Salary Increases

This procedure outlines the guidelines and procedures for requesting new EPA Non-Faculty appointments, establishing new positions and awarding “out-of-cycle” increases for EPA Non-Faculty employees.

Appointment: EPA Non-Faculty Research Staff, Instructional Staff, and Tier II Senior Academic and Administrative Officers

Employees will generally be appointed to at-will appointments and all Tier II Senior Academic and Administrative Officers may only be appointed at-will. Only in exceptional circumstances and with the approval of the Chancellor or his/her designee (Vice Chancellor for Workforce Strategy, Equity and Engagement) may Research or Instructional Staff be appointed to a stated term of appointment from one to five years. The appointment will be presumed to be employment at will unless the letter of appointment clearly states that the appointment is for a stated term of employment.

Campus units are required to comply with all requirements and procedures established by the Equal Opportunity and Compliance Office during the recruitment and selection process, which includes obtaining final approval from that office before making an offer of employment to a specific individual.

Background checks are conducted as a condition of appointment. A background check is required at the time of initial appointment and for subsequent job changes that result from a competitive recruitment or recruitment waiver. The appointing department must receive the final results of a background check (with the exception of the credentials verification) prior to extending an offer of employment. Prior criminal convictions, serious driving infractions (when applicable), or falsification of credentials revealed in background checks will be assessed for potential risks to the proposed appointment. OHR, in consultation with the appointing Department Head and the School/Division Human Resources Officer or his/her designee, may exercise discretion in determining whether there are mitigating factors which may still permit the appointment to proceed.

In compliance with North Carolina law, all State of North Carolina agencies and universities, including UNC-Chapel Hill, are required to participate in the E-Verify program, which became effective Jan. 1, 2007. The University verifies each new employee’s employment eligibility using the U.S. Department of Homeland Security’s E-Verify program immediately upon start of work. An individual’s employment will be terminated if he/she fails to comply with the employment verification requirements, or if it is determined that he/she is not authorized to work in the United States, or if a non-immigrant alien’s temporary work authorization expires.

Position Establishment

EPA Non-Faculty positions are broadly divided into two categories: Instructional, Research and Public Service (IRPS) and Senior Academic and Administrative Officers (SAAOs). Any position which is requested for classification to EPA non-faculty status must be classified into one of these categories.

Any newly established position or any changes to working title, reporting relationship, duties, or education/experience requirements of an existing vacant or filled EPA non-faculty position must be reviewed to assess any impact to the assigned EPA status. The Office of Human Resources will review any submitted modifications to determine if the position continues to satisfy current EPA non-faculty classification guidelines. ***Requests for EPA Senior Academic and Administrative Officer (SAAO) positions require additional approval by UNC General Administration.***

Out of Cycle Salary Increases

“Out-of-cycle” increases are any adjustments to base salary excluding adjustments accomplished as part of the normal EPA annual raise process (ARP), a salary supplement (which is not part of base pay) or from a job change resulting from a competitive recruitment or waiver of recruitment. Out-of-cycle requests should be non-routine in nature and must have a specific and detailed justification. The following are justifiable reasons to propose an out-of-cycle salary adjustment:

- To recognize permanent, newly added additional duties which are substantive in nature; temporary additional duties are compensated using an administrative salary supplement and not a permanent adjustment to base salary. In the case of newly added duties, the duties in question should be demonstrated to substantially increase the scope and complexity of the employee's position. Minor changes in duties and responsibilities should be addressed in the ARP process. A Position Modification must be completed in EPAWeb Position Management prior to OHR approval of salary adjustments based on additional duties.
- To address documented salary equity issues including those caused by the salary of a newly appointed employee within a work unit. Equity may be used when a new hire has been appointed at a higher salary rate than existing employees in the same classification within a particular unit, department, or division. Justification for an increase due to internal equity must identify the inequity and justify the rate of increase based on the relative job level, education, credentials, and/or experience of the affected employees.
- To address job equity in comparison to market or "labor market". Labor market is defined as the area within which employers compete for labor. The market is composed of those institutions, businesses and organizations from which University units recruit or would logically recruit. Justification for an increase due to labor market/external equity must be substantiated by market survey data.
- As a retention offer for an employee who has a documented, confirmable salary offer from an outside institution. In instances where an offer has not been presented, departments must be able to demonstrate that the intended salary increase recipient is considered a finalist for the external position. Justification for an increase due to retention should include an assessment of the individual's merit and value to the institution and the circumstances warranting a retention adjustment.

PROCESS AND APPROVALS

- Out-of-cycle requests must be documented on the [FY 2013/14 SPA and EPA Salary Adjustment/Supplement form](#). This form, in Microsoft Excel format, should be emailed to the EPA Non-Faculty HR unit at epanfsalaryrequest@unc.edu.
- **Any** permissible base salary increase as listed above (**regardless of the amount**) for an EPA Non-Faculty employee requires approval by the Office of Human Resources with notification of such approval submitted to the Office of the Chancellor.
- Chancellor approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation. While pre-approval is not required for increases less than 10%, the Chancellor shares accountability for all increases for EPA Non-Faculty permanent employees.
- Board of Trustees (BOT) approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation.
- Board of Governors (BOG) approval is required if the cumulative amount of all of the employee's increases fiscal year-to-date is 10 percent or higher of the prior June 30 total compensation. *This pre-approval requirement applies to temporary compensation for any permanent employee when the temporary compensation shall either exceed nine months in duration **or** 25% of the prior June 30 total compensation, regardless of duration.*
- EPA Non-Faculty salary increase effective dates may be no earlier than the first of the month in which the proposed increase receives its final required approval. Salary increases will not be processed until all required approvals as listed above have been received.

Campus Accountability - EPA Non-Faculty Appointments, Position Establishment & Salary Increases

		Permitted State Funds	Permitted Non-State Funds	Office of Human Resources	Office of the Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Action Type	Percentage							
1a – Internal Competitive Event	<10%	Yes	Yes	Y	N	N	N	N
1a - Internal Competitive Event	≥10%	Yes	Yes	Y	Y	N	Y	Y
1b – External Competitive Event	<10%	Yes	Yes	Y	Y	N	N	N
1b - External Competitive Event	≥10%	Yes	Yes	Y	Y	Y	N	N
2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job	<10%	Yes	Yes	Y	Y	N	N	N
2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job	≥10%	Yes	Yes	Y	Y	N	Y	Y
2b – Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	Duration less than 9 months OR results in increase below 25%	Yes	Yes	Y	Y	N	N	N
2b – Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	Duration greater than 9 months OR results in increase above 25%	Yes	Yes	Y	Y	N	Y	Y
3 - Retention	<10%	Yes	Yes	Y	Y	N	N	N
3 - Retention	≥10%	Yes	Yes	Y	Y	N	Y	Y
4 - Career Progression adjustment for demonstrated competencies SPA ONLY								
12 – All Other (includes non-state and state funding increases e.g. prevailing wage, labor market and equity)	<10%	Yes	Yes	Y	Y	N	N	N
12 – All Other (includes non-state and state funding increases e.g. prevailing wage, labor market and equity)	≥10%	Yes	Yes	Y	Y	N	Y	Y

1. An employee in a temporary job is subject to the same general salary increase requirements as a permanent employee
2. Course overloads are considered task-based compensation and are not included in the 10% pre-approval process
3. Additional Duties: Duties should be demonstrated to substantially increase the scope and complexity of the employee's position.
4. Increases that cause salaries to exceed the salary ranges established for Instructional Staff, Research Staff and Tier II – Senior Academic and Administrative Officers require prior approval of the Vice Chancellor for Workforce Strategy, Equity and Engagement
5. Increases that cause salaries to exceed the salary ranges established by General Administration for Tier I – Senior Academic and Administrative Officers require prior approval of the Board of Governors

Action Type		Office of Human Resources	Office of the Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Personnel	Employee Type					
Appointment	Instructional Staff	Y	N	N	N	N
Appointment	Research Staff	Y	N	N	N	N
Appointment	Senior Academic Administrative Officer Tier II	Y	Y	Y	N	N
Appointment	Senior Academic Administrative Officer Tier I	Y	Y	N	Y	Y
Position Category						
Instructional and Research Staff		Y	N	N	N	N
Physicians and Dentists		Y	N	N	N	N
Chancellors		Y	N	N	N	Y
Provosts, Vice Chancellor and Deans		Y	Y	N	N	Y
Directors of major administrative, educational, research and public service activities		Y	Y	N	N	N
Assistant and Associate Vice Chancellors, Assistant and Associate Vice Provosts, Assistant and Associate Deans		Y	Y	Y	N	N
Members of the Chancellor's professional staff		Y	Y	Y	N	N
Positions responsible for administrative direction of separately designated divisions or departments commonly associated with higher education		Y	Y	N	N	N
Positions whose primary responsibility is to attract external funds and/or market the University		Y	Y	Y	N	N
Other officers holding position characterized by active, continuing involvement in formulating, interpreting, and implementing institutional policy and exercise of substantial independence of administrative authority and discretion in areas such as program planning and design and allocation of resources		Y	Y	Y	N	N
EPA Non-Faculty Generic Positions		Y	Y	N	N	N

Pre-Approval Accountability Requirement for Faculty Salary Actions

			Permitted State Funds	Permitted Non-State Funds	Chancellor/ Provost	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
Salary Code	Salary Code Description	%						
1a	Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty) (See note #9 below)	<10%	Yes	Yes	N	Y	N	N
1a	Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty)	≥ 10%	Yes	Yes	Y	N	Y	Y
1b	External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty) (See note #9 below)	<10%	Yes	Yes	N	Y	N	N
1b	External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs. (Includes SPA to Faculty)	≥ 10%	Yes	Yes	Y	N	Y	Y
2a	Increase in job duties or responsibilities; includes reallocation or reclassification of job	<10%	Yes	Yes	N	N	N	N
2a	Increase in job duties or responsibilities; includes reallocation or reclassification of job (See note #6 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
2b	Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease	<10%	Yes	Yes	N	N	N	N
2b	Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease (See Note #2 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
3	Retention	<10%	Yes	Yes	N	N	N	N
3	Retention (See note #5 below)	≥ 10%	Yes	Yes	Y	N	Y	Y
5	University Cancer Research Fund	<10%	Yes	Yes	N	N	N	N
5	University Cancer Research Fund	≥ 10%	Yes	Yes	Y	N	Y	Y
6	Distinguished Professors Endowment Fund	<10%	Yes	Yes	N	N	N	N
6	Distinguished Professors Endowment Fund	≥ 10%	Yes	Yes	Y	N	Y	Y
7	Faculty Recruiting and Retention Fund	<10%	Yes	Yes	Y	Y	N	N
7	Faculty Recruiting and Retention Fund	≥ 10%	Yes	Yes	Y	Y	N	N
12	Other (must explain in comments)	<10%	Yes	Yes	N	N	N	N
12	Other (must explain in comments)	≥ 10%	Yes	Yes	Y	N	Y	Y

Pre-Approval Accountability Requirement for Faculty Salary Actions

Notes:

1. Most faculty salary increases exceeding the 10% fiscal year-to-date cumulative threshold are required to have Chancellor/Provost, BOT, and BOG approval unless specifically exempted per the "FY 2014-15 Salary Increase Guidelines" here http://hr.unc.edu/policies-procedures-systems/spa-employee-policies/compensation/non-faculty-salary-increase-interim-guidelines/#Faculty_Guidelines
2. Temporary increases for a duration longer than 9 months or at or above 25% of the June 30 salary require full pre-approval
3. Tenured faculty in-rank promotions that exceed the 10% threshold do not need to have Chancellor/Provost, and BOT approval
4. Course overloads and Summer Courses are considered task-based compensation and are not included in the 10% pre-approval process
5. Retention: Faculty must be actively considered for an outside opportunity, or compelling retention risks exist based on the external market for hard-to-fill or unique skill sets. Can be used for pre-emptive and counteroffers
6. Additional duties: Additional duties should be demonstrated to substantially increase the scope and complexity of the employee's position. Minor changes in duties and responsibilities should be addressed in the ARP process
7. FTE adjustments do not require pre-approval if the pay rate does not change
8. Chair stipends that will last longer than 9 months are not considered temporary and will require pre-approval if they result in a salary that exceeds the 10% threshold
9. Competitive events resulting in an increase of over 10% but less than \$10,000, must be reviewed by the Office of the President, as well as the Chancellor/Provost
10. Clinical Faculty Pay Plan increases to compensation resulting from productivity to faculty covered by comp plans in the Schools of Medicine, Dentistry, and Pharmacy are exempt from the pre-approval process
11. Temporary Faculty are subject to the same general salary increase guidelines as a permanent faculty member

Last Updated: 3.10.2015

UNC-CH_accountability_2.pdf
36.3KB
application/pdf

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

16. Board of Trustee Appointment Approval

Please provide evidence of Board of Trustee approval (example: Board minutes) for all 2013-14 appointments, temporary appointments, and/or promotions to position type and tenure in which the Board of Trustees cannot or have not delegated authority.

- Please name the uploaded file in the following manner: XXXX_BOTapproval.pdf where XXXX=your campus abbreviation. If more than one file is uploaded, please name the files as mentioned previously and number them (XXXX_BOTapproval_1.pdf).

UNC-CH_BOTApproval.pdf
13.7MB
application/pdf

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, July 25, 2013, at The Carolina Inn, Chancellor Ballroom, at 8:00 a.m. Secretary Clay presided.

OATH OF OFFICE

The Honorable Willis P. Whichard, Former Associate Justice of the North Carolina Supreme Court, administered the Oath of Office to new members of the Board:

Jefferson W. Brown
Charles G. Duckett
Kelly Matthews Hopkins
Dwight D. Stone

New Member: Haywood D. Cochrane, Jr., will be sworn in before the next meeting.

Reappointed member: Donald Williams Curtis, will be re-sworn before the next meeting.

ELECTION OF OFFICERS

Secretary Clay presented the slate of officers to the Board. Mr. Lambden moved approval of the following slate of officers for the term July 2013 to July 2014. The motion was duly seconded and it carried.

W. Lowry Caudill- Chair
J. Alston Gardner- Vice Chair
Sallie Shuping- Russell- Secretary
Erin Schuettepelz- Assistant Secretary

ROLL CALL

Assistant Secretary, Erin Schuettepelz, called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Donald Williams Curtis	Christy Lambden

Haywood D. Cochrane, Jr. was absent.

Chair Caudill opened the meeting by reading the following statement regarding the State Government Ethics Act:

"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

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CONSENT AGENDA

Approval of Minutes

On motion of Mr. Lambden, and duly seconded, the minutes of the regular meeting of May 23, 2013, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Lambden, and duly seconded the following mail ballot dated June 17, 2013, was approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and items for information.

(ATTACHMENT A)

On motion of Mr. Lambden, and duly seconded, the following mail ballot dated June 19, 2013, was approved as distributed:

- Report of the Visioning Committees.

(ATTACHMENT B)

CHAIR'S REMARKS

Chair Caudill thanked the trustees for their vote of confidence in the slate of officers selected by the Nominating Committee. He mentioned that he is honored to serve as chair this year, along with Vice Chair Alston Gardner and Secretary Sallie Shuping Russell. Chair Caudill then welcomed the new members of the board and mentioned the orientation that took place on Tuesday:

- Jeff Brown of Charlotte
- Haywood Cochrane of Elon
- Chuck Duckett of Winston-Salem
- Kelly Hopkins of Charlotte, and
- Dwight Stone of Greensboro

Chair Caudill then welcomed our new chancellor, Carol Folt. He continued his remarks by highlighting the following four goals:

1. Ensure a smooth and effective transition for Chancellor Folt and the new members of her senior leadership team.
2. Build stronger relationships with the University's key external constituencies.
3. Create a sustainable approach to Enterprise Risk Management for the University.
4. Mature and consolidate our work on innovation and entrepreneurship so we can quantify and effectively communicate that impact in North Carolina and beyond.

Chair Caudill then mentioned the following four standing committees this year:

1. Trustee Lerner is chairing Finance and Infrastructure, which covers a wide range of areas related to funding, IT, facilities and operations.
2. Vice Chair Gardner is chairing University Affairs, which covers academic areas along with the areas serving and supporting students, faculty and staff, diversity and athletics.
3. Trustee Curtis will chair External Relations which covers our external constituencies and partners as well as University Development.
4. Trustee Clay is leading a new committee we are calling Innovation and Impact which will bring together all of our innovation and entrepreneurship activities on campus for the very first time. The goal is to facilitate the innovation activities and maximize their impact on North Carolina.

Two task forces have been created to further support our board goals:

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1. Vice Chair Gardner will chair an External Relations Task Force, which will include trustees, key administrators – including the new vice chancellors for communications and development when they are hired. This group will identify key audiences, develop strategy and execute the resulting plan.

2. Board Secretary Shuping Russell will chair the Enterprise Risk Management Task Force. This task force will create a sustainable approach that will be incorporated into ongoing university operations. They will identify 3-4 strategic opportunities that we must seize so that Carolina remains in the upper echelon of universities in the United State and the world for decades to come. Additionally, they will identify 3-4 operational areas with significant existing or potential risk and provide recommendations for mitigation or elimination of risk. Task Force members will include trustees and administrators, including Provost Dean, Vice Chancellors Crisp, Gray, Strohm and Entwisle.

Chancellor Folt will serve ex officio on both task forces.

Chair Caudill concluded his remarks by mentioning that he and Chancellor Folt will be available after the break at 10 am to take questions.

[A copy of Chair Caudill's remarks is located in the Office of the Assistant Secretary.]

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden commented on what student government has been doing this summer and gave reports on the following:

- Affordability- A number of students visited the legislature and they are very disappointed about the 12.3% tuition increase for out-of-state students;
- Academics- Students are also very discouraged by the upcoming changes regarding the drop/add period, but we are currently collecting research from many sources to help us understand what the ramifications of the policy may be; and
- Safety- Key leaders in the campus community have been discussing the sexual assault policy. Major goals have been set to tackle this, as well as actions taken to address what can be addressed now. A dedicated task force is working on areas of focus and actions to be taken. Some of these are: prevention, appointment of a Title IX officer, and launching a mobile app that would allow students to send a distress signal if they felt in danger. The task force has also discussed the definition of consent, and they have decided that this should be the focal point of the policy. Also discussed was what support needs to be offered to a complainant, and what the process should look like once a complaint has been registered.
- Orientation- I have been welcoming new students to campus and I have been inspired by the excitement that the class of 2017 has to be a part of the Carolina community.

[A copy of Mr. Lambden's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Thank you, Chair Caudill Trustee Lambden and all of the trustees for your warm welcome. It is a pleasure getting to know and work with all of you. There is an incredible sense of service and strong dedication to UNC-Chapel Hill by every member of the Board. Your deep commitment to the people of North Carolina will be an enduring model for me. I appreciate the significance of this meeting as the first in a leadership transition for Carolina. As your new chancellor, I am joining a new provost, Jim Dean, a new board chair, and 5 new trustees. It is a privilege to be part of this wonderful and talented group of people, and I am pleased to see that already we have found so many points of shared excitement and focus for our work ahead.

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Provost Dean and I also feel very fortunate because we are joining a seasoned and creative team of vice chancellors, deans and staff, and we are grateful for all they are doing to assist with this leadership transition. Because of all of them and you, my predecessor, the past members of the Board, President Ross and the folks at GA, and many others, I would say that our transition so far has been very smooth. Thank you.

As you all know, this is my first meeting with the full Board of Trustees. It has been terrific so far; I appreciate the efforts by new colleagues to orient all of us about so many facets of this great university. It has been impressive. The depth of interest, experience, knowledge of the board has been also particularly obvious to me. It begins with Chair Lowry Caudill and the other ongoing trustees but extends to all trustees, each of whom has already been extremely important in this leadership transition.

With the remainder of my time today, I'd like to briefly share a bit about how I've been spending my time so far, and a few first impressions, and then a few thoughts about the next few months.

One of the most enjoyable aspects of starting a new position is meeting and talking with so many new people, even before arriving in Chapel Hill on July 1st. I spent a lot of time talking and visiting with many members of the Carolina family- I have met with faculty, staff and students in a number of different venues. I have been to games, met with coaches, walked the campus, went downtown, began to learn the region, visited or talked with a number of Carolina alumni, and did lots of reading and listening. I have been taking a deep dive into a number of issues with my senior administrative team and of course, look forward to many more of these.

One of my favorite visits was with Vice Chancellor Roper when I went over and met a lot of people in the medical school. I had a chance to learn what was going on with that team and that is the type of visit I look to repeat as often as possible. My second day, I spent half a day in Raleigh visiting with key state government and legislative leaders including Governor McCrory. I was really encouraged by those conversations and our shared commitment to advancing North Carolina.

My husband David and I, along with Provost Jim Dean and his family, attended the Town of Chapel Hill's Fourth of July celebration in Kenan Stadium with Mayor Kleinschmidt and his town colleagues. I also met with leaders from some of the region's news media organizations before I took office, with Chancellor Thorp, to talk about transparency and working together effectively in the future. That is very important to me.

With each day, I feel even more strongly the honor that it is to be here in North Carolina as Chancellor of this very special university, with its first in the nation public university traditions, its pride in its being the university of the people, and the excellence and the fullness of its academic strength. In every setting, people want to know how we can work together to make Carolina even stronger. I hear "How can I help?" more than anything else. The level of warmth and welcome so impressed me at my very first meeting with Wade Hargrove and the search committee, and it continues every day. The love of this place, the loyalty and generosity of Carolina's alumni, and their individual leadership and accomplishments create very powerful and lasting impressions.

There is a very strong sense of the importance of both this place and its immense possibility has been coming through in the many conversations I have been having with faculty, students, staff

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and alumni. The message we have been hearing over the last couple of days is crystal clear: this University is and fully intends to remain a leader in educating students and producing new knowledge that benefits North Carolina and the rest of the world, and it intends to keep that position, to take actions as needed, and to push itself even further to enhance its local and global impact and provide its students outstanding & relevant learning experiences. This community is deeply proud of its legendary pairing of academic excellence with accessibility and affordability, but while people do not want to see those great traditions change, they do want to see Carolina lead in educational innovation, discovery, and also to appear very open to discussing many types of change that could improve the educational and living experiences of students, enhance its inclusivity, and the way the university conducts its operations.

I have not heard or felt a sense of complacency, rather more strongly ambition, and urgency to see things move and progress. That is a gift! I have also found that everyone I speak to wants to be a productive part of the magic of this place (staff, students, faculty, alumni); and they want the high standards they believe have made this place strong throughout its storied history to be the culture that defines them today. The growing culture of innovation and entrepreneurship here, is flourishing thanks in part to the groundbreaking work by the Chancellor's Innovation Circle, led by Chair Lowry Caudill and supported by many of the other current and past trustees. This will do much to keep Carolina at the cutting edge in the decade ahead. You will hear more today from faculty involved. I believe that the extraordinary sense of pride and purpose I have seen so far is both precious and priceless, and this will serve us all very well.

Early thoughts about the next few months: As you can imagine, while people have spoken to me about Carolina's incredible strengths, I am also hearing a lot about opportunities for improvement and innovation. Those conversations have helped inform my early thoughts about the next few months. Moreover, Carolina, like the rest of the great research universities is in a time of rapid transition. We are in a period of exponentially growing knowledge – mastery of any field is a fleeting moment, as new knowledge, discoveries, and global opportunities change our understanding of our fields every day. Technologies, digital and social media, are completely transforming not only how we communicate, but how we learn and what we create. As educators, in the business of creating knowledge and teaching students how to build the future, this is the most exciting time imaginable. In addition, the costs of our work and the needs of our many constituents are also changing, as is the ferociously competitive nature of higher education.

Our world is the marketplace of ideas, and so the talent, every university's greatest asset is its workforce, the brainpower that fuels the work, and it is a competitive world. All of these changes will influence our work together. Carolina needs to be much more proactive in our efforts to communicate with key audiences around the state and nation about the breadth and significance of the work taking place in Chapel Hill. Strengthening our digital capacities and our strategic communications across the entire institution will be a major focus. At the same time, we need to build on the institution's strong record of success in tapping the generosity of loyal alumni and friends in making private gifts to support Carolina's excellence today and in the future. To lead both these strategic communications and development priorities, we are currently searching for two new vice chancellors. I look forward to completing my senior leadership team soon.

Many people also have spoken about the need to rebuild confidence in some of our processes. They have urged me to emphasize Carolina's willingness to address shortcomings where

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identified, and expressed a fervent desire to see Carolina become a national leader in complex and critical areas such as athletics and the academy, student health and safety, and combating sexual assault and misconduct. We are already making progress in these areas, thanks to processes that Chancellor Thorp and others put in place last year. I have talked to Dr. Rawlings recently and expect his report to be completed in the coming weeks. A Sexual Assault Task Force has also been hard at work since the spring semester ended. Led by Christi Hurt, our Interim Title IX Officer, the task force will recommend how to enhance our policies and procedures for handling student-on-student complaints of harassment, sexual misconduct or discrimination. This issue is so important on every campus, not just Carolina.

I still have a lot to learn. In the coming months, Provost Dean and I will delve deeper during visits to every professional school, the College of Arts and Sciences, the Library, the Performing Arts center and other critical institutes and centers. I am already hearing so much about University's research enterprise. There is such strong momentum. New numbers just came in this week for total research funding in fiscal 2013: \$777.8 million, which is up nearly \$11 million from last year. This achievement is a remarkable tribute to the work our faculty are doing to improve people's lives and to make North Carolina a global R&D leader. These funds are a vital source of jobs and a key driver in North Carolina's innovation-based economy.

In the coming months, my work with the senior administration will be closely aligned with the board's goals, which Lowry just articulated for the coming year:

- ensuring a smooth leadership transition
- building stronger relationships with key University constituencies
- creating a sustainable approach to enterprise risk management, and
- enhancing the excellent work that's already been done on innovation and entrepreneurship.

With Summer School ending tomorrow, I am looking forward to students and faculty returning full of energy and new ideas as we start a new academic year. Trustee Lambden and others will be helping me find many ways to meet and learn from our students. There is no place, nothing like the buzz of Carolina in full swing! My installation takes place on October 12, which is 107 days into my time here, and I plan to take that opportunity to more fully discuss my plans for working with the campus community and you to develop a bold strategy for Carolina in the future.

North Carolina invented public education; together we can reinvent where needed it for the 21st century.

KENAN INSTITUTE FOR PRIVATE ENTERPRISE STRATEGIC PLAN

Joe DeSimone, Director of the Frank Hawkins Kenan Institute of Private Enterprise; Chancellor's Eminent Professor of Chemistry at UNC; and William R. Kenan Jr. Distinguished Professor of Chemical Engineering at NC State University and of Chemistry at UNC, reported the mission of the Institute- "Have a substantial and lasting impact on the business and commercial community of North Carolina, the United States, and, eventually, the international markets as well; encouraging cooperative efforts among private enterprise, academics and government." He then highlighted our ranking with the Milken Institute and venture capital investments. The importance of research universities to our economy is increasingly clear. Dr. DeSimone mentioned the importance of investing in entrepreneurial relationships and highlighted the significance of federal research funding, although it continues to decrease significantly. Convergence is a blueprint for innovation; it is essential that different fields of study (life Sciences, physical sciences, and engineering) come together through collaboration and the integration of approaches that were originally viewed as distinct and potentially

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contradictory. Objectives for the Institute are to increase UNC-CH Entrepreneurship, expand multi-university research translation, and to leverage intellectual capital for NC economic development. Dr. DeSimone then highlighted specific initiatives related to the objectives.

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

SCHOOL OF PHARMACY STRATEGIC PLAN

Bob Blouin, Dean of the School of Pharmacy, spoke about the strategic plan: how it came about, how it has been implemented, and the successes the school has seen as a result of the plan being implemented. He mentioned that the strategic plan is directly linked to the development plan and has been hugely successful in fund raising. Carolina now has world-class classrooms and faculty.

OVERVIEW OF CAMPUS SAFETY

Jeff McCracken, Director of Public Safety and Chief of Police, gave an update regarding the campus safety department, training for employees, emergency responses, the recent campus safety drill, and transportation. He also highlighted the emergency operations plan.

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Committee Chair, Steven J. Lerner, reported to the Board that the committee heard a brief report on the Organizational Structure Overview for the committee. The following units provided a brief overview of their respective organizational charts in the following order:

- Division of Finance and Administration (Karol Gray)
- University Advancement (Julia Grumbles)
- Information Technology Services (Chris Kiert, Vice Chancellor)
- Internal Audit (Phyllis Petree, Director)
- Provost Office (Dwayne Pinkney, Vice Provost for Finance & Academic Planning)
- Athletics Operations (Bubba Cunningham, Director of Athletics)

Dr. Lerner, Committee Chair, moved ratification by the Board of the following items which were brought forth as a motion formerly approved by the committee.

• **Approval of Allocations from the Endowment's Distribution for the Investment Fund.** Karol Kain Gray, Vice Chancellor for Finance and Administration, presented for approval the transfer to the University of the Endowment's Distribution. The Board of Governors requires that the Trustees approve transfer of Endowment income to the useful possession of the institution. The Board of Trustees of the Endowment Fund has already approved, by mail ballot, the proposed transfer for University expenditure during the 2013-2014 fiscal year. Exhibit 1 is a table showing the amounts to be transferred as well as a page of explanatory notes. Exhibit 2 provides a flowchart of the approval process as background information.

The motion was duly seconded and it carried.

(ATTACHMENT C)

• **The University of North Carolina at Chapel Hill Foundation, Inc. ("Foundation") Policies and Procedures Update.** Julia Grumbles, Interim Vice Chancellor for University Advancement, presented for review and approval the Foundation's travel and expense policies and procedures. The Foundation's Board of Directors approved these revisions to the Policies and Procedures Manual.

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The motion was duly seconded and it carried.

(ATTACHMENT D)

• **Annual Audit Certification Letter Process.** Phyllis Petree, Director of Internal Audit, presented the Annual Audit Certification Letter to the Committee for approval and signatures. This letter satisfies a UNC Board of Governors requirement for the Budget, Finance, and Audit Committee to certify in writing that its members:

- Formally approved the annual internal audit plan (done in September 2012);
- Received at least four reports relative to internal audit matters from the Director of Internal Audit (presentations made in July and September 2012 and January, and May 2013);
- Received and reports with corrective action plans from projects with significant reportable conditions. There were none but Board members receive copies of all internal audit reports;
- Reviewed or discussed results from audits and reviews performed by the North Carolina Office of the State Auditor; and
- Reviewed audits and management letters for University Associated Entities.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT E)

• **Revised Internal Audit Charter.** Phyllis Petree also presented revisions to the Internal Audit Charter for approval. The changes reflect the revised name of the Finance and Infrastructure Committee and obtain signatures of the new Chancellor and Chairperson of the Finance and Infrastructure Committee.

The motion was duly seconded and it carried.

(ATTACHMENT F)

• **Designer Selection- Hill Hall Auditorium Renovation and Addition.** A gift from The William R. Kenan, Jr. Charitable Trust has initiated a project to renovate Hill Hall to restore the rotunda and lobby, and transform the auditorium into a first-rate concert hall. The project will address the deferred maintenance items which include: HVAC, life safety code and accessibility issues. An addition of approximately 10,500 SF to the auditorium will provide needed back stage area with green rooms, practice rooms, offices and storage. Total project budget is \$15M. The William R. Kenan, Jr. Charitable Trust is providing \$5M to the University subject to 2:1 matching funds. The University will provide \$5M and the College of Arts and Sciences will secure \$5M through private gifts. The following three firms are recommended in the following priority order:

- | | |
|---------------------------------|----------------|
| 1. Quinn Evans, Architects | Washington, DC |
| 2. Ann Beha Architects | Boston, MA |
| 3. Pfeiffer Partners Architects | New York, NY |

The firms were selected for their past performance on similar projects, strength of their consultant team, knowledge and experience designing and renovating performing arts venues, and experience with campus projects.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT G)

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

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A copy of the presentation is also filed in the Office of the Assistant Secretary.

• **Designer Selection- Power Generation and Chiller Plant Capacity Addition.** This feasibility study will develop the project scope, schedule and cost for a new steam turbine driven chiller plant with a nominal 10,000 ton capacity and new electrical generation of undetermined capacity at the site of the Manning Steam Plant. The budget for the study is \$500k and will be funded by Energy Services receipts. The following three firms are recommended in the following priority order:

- | | |
|----------------------------------|-------------------|
| 1. Sebesta Blomberg & Associates | Durham, NC |
| 2. Affiliated Engineers, Inc. | Durham, NC |
| 3. Sega, Inc. | Overland Park, KS |

The firms were selected for the past performance on similar projects, team structure and in depth knowledge of campus energy.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT H)

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

• **Construction Manager at Risk Selection- Mary Ellen Jones Building Renovation.** With the completion of the Imaging Research Building, the School of Medicine has the ability to take six floors offline to provide a comprehensive renovation to this 1978 research building. The project will renovate the floors for new research laboratory space, address code deficiencies and deferred maintenance items, replace and enlarge exterior windows and restore precast panels. The project budget is \$77.4M and will be funded by University funds. The following three firms are recommended in the following priority order:

- | | |
|---|-------------|
| 1. Choate Construction Company | Raleigh, NC |
| 2. Brasfield & Gorrie - Metcon, A Joint Venture | Raleigh, NC |
| 3. LeChase Construction and H.J. Russell & Co. | Durham, NC |

The firms were selected for the strength of the proposed staff, understanding of the project and experience on similar projects.

The motion was duly seconded and it carried.

(ATTACHMENT I)

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

• **Acquisition by Lease of the Office Space for the Institute for the Environment.** This request is for approval to lease approximately 9,085 square feet of office space at 137 East Franklin Street, Suites 601 & 602, for the Institute for the Environment. The lease term is for two years commencing August 1, 2013 with two (2) one-year renewal option periods. The initial annual rent cost will be \$198,507.25, or \$21.85 per square foot, including utilities and janitorial service. Rent will increase 2.5% per annum beginning the second year.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT J)

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- **Acquisition by Lease of Office Space for School of Public Health, Department of Biostatistics.** This request is for approval to lease approximately 17,218 square feet of office space at 137 East Franklin Street, Suites 203,300, 400, 402,403,405, for the Department of Biostatistics within the School of Public Health. The lease term is for thirty months commencing July 1, 2013 with four (4) six-month renewal option periods. The initial annual rent cost will be \$395,497.46, or \$22.97 per square foot including utilities and janitorial service. Rent will increase 2.5% per annum at the beginning of the second year.

Mr. Lambden seconded the motion and it carried.

(ATTACHMENT K)

The following item came to the committee for action, but the committee recommended it come back to the Board after a more detailed risk assessment is done. No action was taken on this item.

- **Property Disposition by Ground Lease to the Town of Carrboro.** This request is for approval to authorize a ground lease of an amount to be determined by survey to the Town of Carrboro for the purpose of constructing a greenway on University property. This lease will facilitate the construction of a new public greenway by the Town of Carrboro, a portion of which will be located on University property adjacent to Homestead Rd. The greenway construction will be funded through NCDOT and administered by the Town of Carrboro. The Ground Lease will terminate at the conclusion of the construction of the greenway and the greenway will be gifted to the University.

(ATTACHMENT L)

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

The committee heard the following reports, for information only (no formal action was requested at that time), but these items were not reported to the Full Board.

- **Financial Update.**

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

- **Energy Savings Performance Contract.**

(ATTACHMENT M)

- **Semi-Annual Capital Report.**

(ATTACHMENT N)

- **Semi-Annual Leasing Report.**

(ATTACHMENT O)

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

- **Development Report.**

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, thanked those who participated in the New Trustee Orientation on Tuesday and Wednesday. He then presented the following items for information only (no formal action was requested at that time).

- **Employee Forum Chair's Remarks.** Charles Streeter, the new Employee Forum Chair, gave a great report and summarized the things the Forum has done recently. He also mentioned the hard work put in by employees during the recent flood in Chapel Hill that greatly affected the campus. The committee asked Mr. Streeter to invite them to the next committee meeting so the trustees could publicly thank them for the great sacrifice they made.

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

- **Faculty Chair's Remarks.** Professor Jan Boxill, Faculty Chair, talked about a range of issues. One of the most significant is the dissatisfaction with the Honor System, by the faculty. They have been working diligently over the last six to nine months to make some reforms there. She has been trying to engage the faculty to work more collaboratively with the students. Judith Wegner will lead the effort. [A copy of Professor Boxill's remarks is located in the Office of the Assistant Secretary.]

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentation is also filed in the Office of the Assistant Secretary.

The following items were presented for action by the committee, but due to the lack of a quorum, the vote was postponed until this meeting. The Full Board took action on the following 2 items. Dr. Clay moved approval of the following 2 items. Mr. Lambden seconded the motion and each item carried.

- **The University of North Carolina at Chapel Hill Incentive Compensation Plan for the Vice Chancellor for Development.** Pursuant to Section V.12 of the University's Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees, approved by the Board of Trustees (BOT) in June 2013, the Chancellor seeks approval of an Incentive Compensation Plan for the University position of Vice Chancellor for Development. It is essential that the Chancellor be positioned to offer a competitive total compensation package to the successful candidate that includes base salary (not to exceed the UNC General Administration salary maximum for the position, currently \$395,874), along with the opportunity to receive additional annual non-base incentive compensation. This proposed Incentive Compensation Plan is a necessary and important recruitment and retention tool to attract the highest order development and fundraising talent to this critical senior officer position.

(ATTACHMENT P)

- **The University of North Carolina at Chapel Hill Educational Assistance Program for Kenan-Flagler Business School Non-Faculty Staff.** The Kenan-Flagler Business School (KFBS) seeks approval of an educational assistance program for selected EPA Non-Faculty Staff employees within the School who demonstrate outstanding job performance and demonstrate significant future leadership potential. This program reimburses tuition for a masters-level degree program offered by the School with the intention of attracting and/or retaining staff who demonstrate the potential to assume increasingly responsible leadership roles within KFBS, and to make substantial contributions to the School's mission. This program is being submitted for Board of Trustees (BOT) approval to ensure its continued availability in

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compliance with recent revisions to the University's Policy on Non-Salary and Deferred Compensation for Faculty and EPA Non-Faculty Employees, which were effective on June 1, 2013. Specifically, Section V.13. of this Policy requires BOT approval for employer-provided benefits in excess of current IRS limits for qualified educational assistance, which as of calendar year 2013 is \$5,250. Above this level, educational benefits are treated as taxable income to the employee and therefore subject to BOT approval as non-salary compensation under the aforementioned Policy.

(ATTACHMENT Q)

The following items were presented in committee, but not reported to the full board:

- **Vice Chancellor's Remarks.**

- **GPSF Remarks.**

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

A copy of the presentation is also filed in the Office of the Assistant Secretary.

EXTERNAL RELATIONS COMMITTEE

Mr. Curtis, Committee Chair, presented the following items for information only (no formal action was requested at that time).

- **Legislative Update.** Jennifer Willis, Director of State Relations, gave a brief update. The outlook is positive, but a number of reductions are being taken. We won't know the full impact until everything passes.

- **Development Update.** Julia Grumbles provided an update on Development.

FY 2013 Year End Report	6/30/13	6/30/12	% change
○ Gifts Received	\$270,743,984	\$287,419,666	-5.8%
○ Pipeline	\$370,885,414 proposals in the pipeline		

Current Snapshot	July FY13	July FY12	% change
○ Pipeline	\$370,885,414	\$280,488,199	22%

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

A copy of the presentation is also filed in the Office of the Assistant Secretary.

- **UNC Horizons: Current Successes and Future Vision.** John Thorp, McAllister Distinguished Professor; Division Chief of Women's Primary Healthcare; and Vice Chair of Research of Obstetrics and Gynecology, and Hendree Jones, the newly appointed Executive Director of Horizons, gave a report.

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

A copy of the presentation is also filed in the Office of the Assistant Secretary.

INNOVATION & IMPACT COMMITTEE

Dr. Clay, Committee Chair, reported the areas that have been assigned to the committee: research, entrepreneurship, technology transfer licensing and economic development. The Innovation Roadmap highlights some of challenges we face in this area. Research funding continues to be a challenge. Finally, industrial relations- we have an opportunity to expand our industrial relations and we are looking for ways to maximize those opportunities. The committee also discussed the importance of the upcoming campaign and the role it will play in

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making/keeping UNC a leader in research and innovation. The committee closed with a discussion on the infrastructure needed for innovation to happen.

The following items were presented to the committee, for information only (no formal action was requested at that time), but were not reported at the Full Board meeting.

- **Remarks from the Vice Chancellor of Research.**

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

A copy of the presentation is also filed in the Office of the Assistant Secretary.

- **Remarks from the Special Assistant to the Chancellor for Innovation and Entrepreneurship.**

A copy of the PowerPoint presentation is located at: <http://www.unc.edu/depts/trustees/>

A copy of the presentation is also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Report of the Naming Committee

Dr. Lerner, Committee Chair, presented naming recommendations which were previously presented to the Finance & Infrastructure Committee and approved by the committee. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Dr. Lerner moved ratification by the Board of the naming recommendations. The motion carried.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated July 15, 2013, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS R-S-T)

LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

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Mr. Gardner, Committee Chair, moved approval by the Board of the following personnel actions dated July 15, 2013, which were discussed earlier in closed session. The motion was duly seconded and it carried.

- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT R)
- Compensation Actions.
(ATTACHMENT S)
- For Information.
(ATTACHMENT T)

Chair Caudill stated that the personnel and salary actions voted on in open session had been distributed to the press.

ADJOURNMENT

There being no further business to come before the Board, Chair Caudill adjourned the meeting at 1:06 p.m.


Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, September 26, 2013, at The Carolina Inn, Chancellor Ballroom, at 8:00 a.m. Chair Caudill presided.

ROLL CALL

Assistant Secretary, Erin Schuettepelz, called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane, Jr	Christy Lambden
Donald Williams Curtis	

Chair Caudill opened the meeting by reading the following statement regarding the State Government Ethics Act:

"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes

On motion of Mr. Lambden, and duly seconded, the minutes of the regular meeting of July 25, 2013, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Lambden, and duly seconded the following mail ballots dated August 8, August 21 and August 31, were approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and items for information.
- Election of Members to the Board of Trustees of the Endowment Fund and the Board of Directors of the University of North Carolina at Chapel Hill Foundation, Inc.

(ATTACHMENT A)

CHAIR'S REMARKS

Chair Caudill began his remarks by discussing the Board's four goals for the year; 1. Ensuring a smooth and effective transition for Chancellor Folt; 2. Building stronger relationships with key external constituencies; 3. Creating a sustainable approach to Enterprise Risk Management; 4. Mature and consolidate the university's work on innovation and entrepreneurship.

Dr. Caudill noted that both of the Board of Trustees task forces have held preliminary organizational meetings. Vice Chair Gardner leads the External Relations Task Force and Board Secretary Shuping-Russell chairs the Enterprise Risk Management Task Force.

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He expressed gratitude for Trustee Garner and the administration's work on the comprehensive orientation program for new trustees. The new Trustees have gotten off to a great start as new board members.

Chair Caudill made note of the recent national recognition of Carolina as the 5th best public universities in the US for the 13th consecutive year. Other highlights from the rankings: Carolina was 1st among national public universities for the 9th consecutive year and 17th overall in "Great Schools, Great Prices," based on academic quality and net cost of attendance. He noted that the criteria for these kinds of rankings are often debated, but prospective students, parents and our own alumni do pay attention to these rankings. Congratulations to all at Carolina. This is clearly a team effort.

He announced the upcoming installation events on University Day, October 12. He encouraged all the trustees to join in the festivities and to appeal to the entire Carolina family to show strong support for Chancellor Folt. The installation is just one part of four days of compelling events including faculty led panels on innovation, the future of the public research university and the campus theme of "Water in our World;" a free concert on Friday evening at Memorial Hall and the ceremony on Polk Place on Saturday. Events will end on Sunday with "Folt Fest" a student's-only celebration.

Chair Caudill concluded his remarks by mentioning that he and Chancellor Folt will be available after the break at 10 am to take questions from the media.

[Copies of Chair Caudill's remarks are located in the Office of the Assistant Secretary.]

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden commented that the last two months has seen the return of the student population and the start of the class of 2017. Much of the focus from Student Government has been engaging students and trying to promote involvement in student issues. There are over 400 students involved in Student government.

He noted again the three priority areas for the year: Affordability, Academics and Safety. There is great concern amongst students about legislatively mandated 12.3% out-of-state tuition increases for next academic year and its effect on financial aid. He encouraged the Board and the administration to find a way to match the gap created in financial aid from this tuition increase so that we can maintain our existing policy of meeting full financial need and being need-blind in the admissions process.

Student government has continued to evaluate the effects of General Administration's policy to standardize the Drop/Add period for all system campuses effective in the fall of 2014. Initial research indicates that the new Drop/Add period will be shorter than many of our peers. Student government is working with the Provost's office on what the effects of a W on a transcript may be for graduate school admissions.

Finally, since returning to campus Mr. Lambden has focus on trying to engage students around the issue of sexual assault. He hosted a forum earlier in the week and sent a campus-wide email to students relaying the changes that the University has implemented over the last eight months.

[Copies of Mr. Lambden's remarks are located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Folt began her remarks by thanking the Board for their support. She noted that she is in her 88th day. She also noted Leroy Lail in the audience who will be serving as the official liaison from the Board of Governors. She stated that innovation and creativity are alive at Carolina. The culture that makes this place open to change is thriving as well. She discussed her pride and belief in the origins of purpose of our first state university. What she has focused on in her first few months here is on gaining awareness, building connections and relationships.

The leadership team recently wrapped up a retreat and there were five imperatives to come out of that work: 1) One UNC – cross entity collaboration on campus and across the system; 2) Strategy process development; 3) Commitment to Public Service; 4) Sustainability – keeping the institution strong despite budget cuts; 5) Communication strategies and spreading our knowledge.

She listed the numerous outreach visits she has taken to areas like Charlotte, Asheville, Atlanta, Washington DC with trips planned to Wilmington and Greensboro. She has hosted GAA events, lead a discussion of incoming freshman for the reading program, visited 10 schools along with Provost Dean and various other activities. She has focused on important issues like campus safety and working on getting leadership positions named like the Vice Chancellor for Development later today, moving forward the Vice Chancellor for Communications search and beginning the search for the Vice Chancellor for Finance & Administration.

She is looking forward to an engaging and energizing installation weekend to celebrate the 220th birthday of The University of North Carolina at Chapel Hill.

GILLINGS SCHOOL OF PUBLIC HEALTH

Dean Barbara Rimer presented to the Board about the scholarship and services being performed at the Gillings School of Public Health. The school is 2nd ranked only to Johns Hopkins and the second largest school on campus. It has dual degree programs, 425 graduates per year and an 85% success rate in the job market. She outlined the 2020 strategic plan initiative and the impact of the Gillings gift. The board asked about her biggest concern as Dean and she discussed competition from other prominent universities, retention challenges and resources.

LINEBERGER COMPREHENSIVE CANCER CENTER

Shelley Earp, Director of the Lineberger Comprehensive Cancer Center spoke about impact that the Cancer center has provided to the University and the state of North Carolina. The research being performed at the Center is transforming the way we think and learn about cancer as well as positively affecting the treatment of patients with the disease. One of the benefits of having such a center at a research university is that not only medical and graduates student but undergraduate students can work and learn in the labs. There are 335 faculty and \$224 million in research being performed at Lineberger. The imaging Research Building, University Cancer Research Fund and the NC Cancer Hospital have combined to double the number of cancer patients served. The multidisciplinary approach is unique. The three primary goals are to impact NC cancer outcomes, research cancer genetic genomes and develop new drugs and treatments. He noted the recent cut in appropriation of the UCRF is concerning. The state gets a 4:1 dollar realization from that investment, creating over 5,000 jobs.

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Dr. Earp will be retiring as Center director but will remain here at Carolina doing his research. Ned Sharpless and Lisa Carey will be taking the helm at LCCC soon. The Board thanked Dr. Earp for his service and commitment to Carolina.

SCIENTISTS WITH STORIES

Dr. Steve Matson, Dean of the Graduate School introduced Clare Fiesler, PhD student who presented her research "Scientists with Stories." Dr. Matson noted that she is getting national attention for enhancing how science students work and get their message out. Ms. Fiesler recently met with Chancellor Folt who was so impressed with her research that she wanted the Board to be informed. Ms. Fiesler described difficulties that some scientists have in communicating their research. Her program seeks to remove that gap by training graduate students how to share their work through storytelling. She is currently working with the National Science Foundation to scale up her project to other prominent institutions. She talked about the level of support she receives from the Carolina community – the "Carolina Embrace."

A copy of the PowerPoint presentations for the three speakers are located at: <http://www.unc.edu/depts/trustees/>
A copy of the presentations are also filed in the Office of the Assistant Secretary.

2012-2013 ACC GOVERNING BOARD CERTIFICATION FORM

The 2012-2013 Atlantic Coast Conference Governing Board Certification Form, which is required to be completed annually by the Chair of the Governing Board in order for a member institution to enter a team or individual competitors in an ACC Championship as indicated in Article XIII-2 of the ACC Bylaws.

Ms. Shuping-Russell moved approval of the ACC Form. The motion was duly seconded and it carried. In signing the form, Chair Caudill attested the following:

- 1) Responsibility for the administration of the athletics program has been delegated to the Chief Executive Officer of the Institution.
- 2) The Chief Executive Officer has the mandate and support of the Board to operate a program of integrity in full compliance with NCAA, ACC and all other relevant rules and regulations.
- 3) The Chief Executive Officer, in consultation with the Faculty Representative and the Director of Athletics, determines how the institutional vote shall be cast on issues of athletic policy presented to the NCAA and the ACC.

(ATTACHMENT B)

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Dr. Lerner, committee chair, presented the report. He first thanked Vice Chancellor for Finance and Administration Karol Gray for her service to the University and called on Secretary Shuping-Russell to read the following resolution:

**RESOLUTION OF APPRECIATION FOR
VICE CHANCELLOR FOR FINANCE AND ADMINISTRATION
KAROL KAIN GRAY**

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WHEREAS, Karol Kain Gray has served as vice chancellor for finance and administration, the University's principal finance and business officer, since December 2011;

WHEREAS, Vice Chancellor Gray led the division of Finance and Administration through a reorganization that significantly improved collaboration and operational efficiency; delineated new financial resources; and strengthened the campus information technology area by integrating systems across campus, all during a period of reduced staff and capacity;

WHEREAS, Vice Chancellor Gray, through her service on the UNC Health Care Board, helped link the Health Care System's financial issues to the wider context of the University, bringing an understanding of the financial structure and the research and education needs of the Health Care System into her role at the University;

WHEREAS, Vice Chancellor Gray engaged everyone in her division, from the groundskeepers to the associate vice chancellors, to be part of her team and was a consummate collaborator, ready to tackle difficult issues honestly and openly, always looking for solutions that reflect the best about Carolina;

WHEREAS, Vice Chancellor Gray was a talented and consummate professional, bringing vision, financial acumen, and shrewd strategic management skills to her assistance to the Board of Trustees through a time of new leadership and transition;

NOW THEREFORE BE IT RESOLVED that members of the Board of Trustees of the University of North Carolina at Chapel Hill express their appreciation for Vice Chancellor Gray's outstanding service and wish her the very best in her future endeavors.

Upon motion from Dr. Lerner and a second from Mr. Grauer, the Board unanimously approved the resolution.

Lerner thanked the Sierra Student Coalition for their presentation to the committee. He commended UNC's audit work and said that UNC for the 18th consecutive year has received the highest recognition for excellence in financial reporting. Lerner talked about cuts in the 2013-14 budget and said total cuts are 32.7% of where the University was seven years ago. The University faces \$717 million in deferred maintenance.

Dr. Lerner moved ratification by the Board of the following seven items, which were brought forth as a motion formerly approved by the committee. The motion was seconded and each item carried.

- Self-Liquidation Debt Discussion and Resolution (ATTACHMENT C)
- 2013-2014 Risk Assessment & Audit Plan for Approval (ATTACHMENT D)
- Quasi-Endowment Withdrawal (ATTACHMENT E)

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- Designer Selection, 208 West Franklin Street Renovation (ATTACHMENT F)
- Site Selections, UNC Hospitals Perioperative Tower (ATTACHMENT G)
- Power Generation and Chiller Plan Additions (ATTACHMENT H)
- Property Dispositions, Easement to the Town of Chapel Hill (ATTACHMENT I)

UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, committee chair, provided the following summary of the committee meeting that were shared for information only.

- Vice Chancellor Winston Crisp talked about the sexual assault task force.
- Faculty Chair Jan Boxill talked about Honor System reforms, efforts to retain top faculty and effects on the proposed changes to the drop/add policy. Gardner encourages trustees to raise the issue with General Administration.
- Employee Forum Chair Charles Streeter brought several employees to the committee to be recognized for their efforts in clean-up work after the July floods.
- Karen Gil, dean of the College of Arts and Sciences, and Lynn Williford, assistant provost for Institutional Research and Assessment, gave results of a survey to graduates.
- Members of student congress talked about how they allocate funds to student organizations.

EXTERNAL RELATIONS COMMITTEE

Mr. Curtis, committee chair, provided the following summary of the committee meeting that were shared for information only.

- John Montgomery, Executive Director of Education Foundation and Senior Associate Athletic Director, gave an overview of the Educational Foundation, which raises money for all athletic scholarships. 329 of 850 student-athletes qualified for All-ACC honors.
- Linda Douglas, Director of Community Relations, presented on the Board of Visitors and explained how they would like to be involved at the University.
- Linda Convisser, Director of Local Relations, talked about town/gown relations and our continued efforts to strengthen local relationships.

A copy of the PowerPoint presentations are located at: <http://www.unc.edu/depts/trustees/> and is also filed in the Office of the Assistant Secretary.

INNOVATION & IMPACT COMMITTEE

Dr. Clay, committee chair, presented the following items that were shared for the committee as information only.

Clay shared a few highlights from Joe DeSimone's presentation, including the following:

**UNC-Chapel Hill Board of Trustees
Full Board Minutes
September 26, 2013**

- UNC ranks both at the top and bottom of research rankings depending on the indicators
- Growing concentration of research dollars
- Need to find additional sources of revenue
- Research converges on the life sciences, engineering and physical sciences
- UNC and UC-San Francisco are the only two schools in the top 20 research schools without engineering schools
- Urgent need to enhance collaboration among schools with engineering programs
- Need to find a better way to support faculty
- UNC generates fewer patents than our peers
- UNC is developing a concierge service to increase the number of patents
- Need to infuse processes—strategic planning – and understand bottlenecks to our shortcomings.
- There's a survey about research underway with faculty
- Upcoming meetings will look deeper at our research peers
- The committee will present their findings of how UNC is doing relative to others in the spring.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE FINANCE & INFRASTRUCTURE COMMITTEE

Report of the Naming Committee

Dr. Lerner, Committee Chair, presented naming recommendations which were previously presented to the Finance & Infrastructure Committee and approved by the committee. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Dr. Lerner moved ratification by the Board of the naming recommendations. The motion carried.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated July 15, 2013, for the Board's consideration. The actions will be voted on in open session.
(ATTACHMENTS J-K-S)

LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, moved approval by the Board of the following personnel actions dated July 15, 2013, which were discussed earlier in closed session. The motion was duly seconded and it carried.

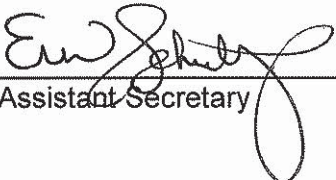
- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT J)
- Compensation Actions.
(ATTACHMENT K)
- For Information.
(ATTACHMENT S)

Chair Caudill stated that the personnel and salary actions voted on in open session had been distributed to the press.

Chancellor Folt announced the appointment of Mr. David Routh as Vice Chancellor for Development.

ADJOURNMENT

There being no further business to come before the Board, Chair Caudill adjourned the meeting at 1:06 p.m.



Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, November 21, 2013, at The Carolina Inn, Hill Ballroom, North & Central, at 8:03 a.m. Chair Caudill presided.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

W. Lowry Caudill, Chair	Donald Williams Curtis
J. Alston Gardner, Vice Chair	Charles G. Duckett
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
W. Lowry Caudill	Christopher David McCartney Lambden
Haywood D. Cochrane	

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Mr. Stone and duly seconded, the minutes of the meeting of September 23, 2013, were approved as distributed; as was the ratification of mail ballots dated October 17 and November 4, 2013.

(ATTACHMENT A)

CHAIR'S REMARKS

Chair Caudill then commented on the following:

- **William Richardson Davie Awards Dinner.** The trustees attended the William Richardson Davie Award Dinner last evening. This award is the highest honor the Board of Trustees can bestow for extraordinary service to the University or to society. The honorees included David Frey of Grand Rapids, Michigan; Karol Mason of Washington, DC; Dr. Hugh "Chip" McAllister Jr. of Houston, Texas; and Roger Perry of Chapel Hill, NC. Special acknowledgements were made to Trustees Curtis, Gardner, Shuping Russell and Clay for their help in introducing these honorees.
- **UNC System Board of Trustees Orientation and Training.** Recently, UNC President Tom Ross and Board of Governors' Chair Peter Hans convened the trustees from all 17 system campuses at the Hunt Library at NCSU for a day of orientation and training. The day provided a wonderful opportunity to network with our colleagues and to see first-hand what the leadership at other institutions are doing to advance public higher education.

- **Vice Chancellor Search Committees.** Chair Caudill expressed the board's appreciation to Trustee Steve Lerner for serving as co-chair of the committee that successfully complete the search that selected Joel Curran as the new vice chancellor for communications and public affairs. The board looks forward to welcoming Mr. Curran during the January 2014 meeting.
- **Chancellor Folt's Leadership Transition.** Chair Caudill praised Chancellor Folt's ongoing progress with the leadership transition, noting the recent appointments of Vice Chancellor Curran, Vice Chancellor Routh and Provost Dean. He went on to congratulate her on the historic University Day weekend which feature Chancellor Folt's inauguration.

[A copy of Chair Caudill's remarks is located in the Office of the Assistant Secretary.]

Sallie Shuping-Russell presents a resolution acknowledging Vice Chancellor Brenda Malone's service to UNC. Ms. Malone is resigning from her position as vice chancellor for human resources in December 2013.

**RESOLUTION OF APPRECIATION FOR
VICE CHANCELLOR FOR HUMAN RESOURCES
BRENDA RICHARDSON MALONE**

WHEREAS, Brenda Richardson Malone has served as vice chancellor for human resources since 2007, bringing a wealth of experience in that field and labor relations to her responsibilities at the University of North Carolina;

WHEREAS, Vice Chancellor Malone addressed a variety of workforce-related issues in her tenure, including multiple-year state budget cuts, the Bain & Company operational efficiency study, and a new organizational structure for the delivery of human resource services across campus;

WHEREAS, Vice Chancellor Malone led the effort to make major improvements in Housekeeping Services; and re-designed supervisory and leadership development programs, including the University Leadership Education and Development Program (ULEAD) for emerging leaders and a new supervisory development program;

WHEREAS, Vice Chancellor Malone recently assumed additional duties as interim director of the Equal Opportunity/ADA Office; and then led the University's efforts to hire a new Title IX Compliance Coordinator and helped develop plans to create two positions in this key area;

WHEREAS, Vice Chancellor Malone helped the Trustees to be more effective by her thorough explanation of critical issues, creative approaches to new challenges and invaluable historical memory;

NOW THEREFORE BE IT RESOLVED that members of the Board of Trustees of the University of North Carolina at Chapel Hill express their great appreciation for Vice Chancellor Malone's outstanding service and wish her the very best in her new endeavors at Georgetown University.

Trustee Clay made the motion to approve the resolution; Trustee Lambden seconded, and all present rose to applaud Ms. Malone.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden spoke about:

- Update on the Title IX Task Force
- Proposed tuition and fee increases, including an urging of the Board of Trustees to work to repeal the legislatively mandated 12.3% tuition increase for non-resident students in 2014-2015.
- Continued disappointment in the drop/add policy from the UNC Board of Governors
[A copy of Mr. Lambden's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Folt spoke about the following:

- Thanked everyone for a wonderful University Day installation weekend.
- Acknowledged the trustees for their continued support.
- Thanked Student Body President Christy Lambden and Vice Chancellor for Student Affairs Winston Crisp for the many student introductions they have arranged; the General Alumni Association for the great outreach events she has attended; and the senior leadership and faculty advisory groups for their advice and commitment.
- Acknowledged that Coach Dean Smith was being presented the Presidential Medal of Honor this very day and thanked him for his exceptional leadership at Carolina over the last 50 years.
- Welcomed new vice chancellors David Routh and Joel Curran.
- Expressed her gratitude to Brenda Malone.
- Acknowledged the work of the development and communications staff for maintaining such excellence through the transition.
- Mentioned her participation at the recent meetings of the APLU and AAU.
- Acknowledged Vice Chancellor for Research Barbara Entwisle for the quality of research being performed here at Carolina and helping to address funding issues that are at the forefront of our successes.
- Access and affordability are also important issues for our campus. High school advisors are encouraging their student's interest in college in many of North Carolina's rural communities. Steve Farmer and Shirley Ort are working very hard to support those advisors and assist interested students in achieving the goal of a college education.
- Carolina has a 3-prong commitment to the campus community and the state: excellence, public service, and access/affordability.
- Encouraged everyone to read the highlights on the UNC webpage daily; there are amazing things happening here. She mentioned that she wanted to know how many research papers and books had been published since July 1, 2013 by members of our students, staff or faculty.

TUITION AND FEES PROPOSALS

Trustee Shuping-Russell called upon Jim Dean, Executive Vice Chancellor and Provost, to present recommendations from the tuition and fees advisory task force. Based on the deliberations of the Task Force, the proposed 2014-2015 tuition increase is as follows:

- Resident Undergraduate- \$0 under the guidance from UNC General Administration
- Non-Resident Undergraduate- \$3,469, a statutory increase equaling 12.3%
- Resident Graduate- \$350, a 4.2% increase
- Non-Resident Graduate- \$350, a 1.4% increase

School-based tuition increases will be implemented in a number of schools and there are no prohibitions imposed by the Board of Governors. Provost Dean concluded his remarks by explaining the decision to add a night-time parking fee to all students (except freshman) of \$10.40. This fee assessment was approved by the student government, as opposed to charging only those who parked \$277 a year in fees.

Recent discussions have included the possibility of retaining part of our tuition. At the present time, all the tuition funds go directly to the NC Treasurer for disbursement by the state legislature. We must work diligently to have undergraduate tuition regulations changed to ensure faculty retention and to supplement the \$4.6 million dollars it will take to balance the 12.3% non-resident undergraduate tuition increase for those receiving student aid. Currently the tuition at Carolina is in the 25 percentile range of our peer institutions and we would like for it to stay there.

Trustee Shuping-Russell was a member of the committee that reviewed and designed the 5-year tuition plan. It is clear to her that the plan is in need of revisions.

Shuping-Russell moved to approve the tuition and fees proposal as set forth by the Tuition Task Force Advisory. The motion was duly seconded and it carried.

A copy of the PowerPoint presentation is located at: www.unc.edu/depts/trustees/
A copy of the presentation is also filed in the Office of the Assistant Secretary.

CAROLINA BEATS

As part of Chancellor Folt's plan to highlight the amazing innovations that are impacting our campus and the state, she introduces Mark Katz, professor and chair of the department of music as well as adjunct professor in the Department of Communication Studies in the College of Arts and Sciences. In 2011 he received an Innovation Grant from our Institute for the Arts and Humanities to expand the scope and reach of how we teach music on our campus. One result of this grant was the creation of a new course, "Beat Making Lab," which is the focus of his presentation.

Professor Katz stated that most musicians cannot read music, although classical notation is required in Carolina's music program. The Carolina Beats Academy was designed to bring music education to ALL students. The lab for Carolina Beats is located in the basement of the US Post Office on Franklin Street. He then played a video highlighting the growth of this idea. The innovation has expanded internationally to include Congo Beats and Carolina Beats programming is being supported by Public Broadcasting Systems (PBS). The program teaches the students innovation through what the program has brought to the students and uses music to teach entrepreneurship and conflict resolution with emphasis on professionalism and resourcefulness. It also provides social engagement, collaborations, and connections to local and international communities while encouraging peaceful self-expression. Dr. Katz was awarded a \$1 million grant for the advancement of his music research. For more information on Carolina Beats go to www.beatmakinglab.com.

[A copy of Professor Katz's presentation is available at www.unc.edu/trustees/]

Chairman Caudill asked that the committee take a 15-minute break before hearing from the next guests. At this time, the Chancellor and Chairman of the Board were available to the media for comment.

CAMPUS Y AND TEDxUNC

Vice Chancellor Winston Crisp introduced Cora Went and Natalie Borrego, co-chairs of the Campus Y who provided a brief overview of the activities supported by the Campus Y Center for Social Justice. The Campus Y is one of over 700 student organizations on our campus and has achieved 150 years of service. The organization has 30 student-led local and global committees, 14 of which are anchored in the Chapel Hill/Carrboro area; as well as 12 community partners for the Bonner Leaders Program. The primary objectives of the organization:

- Serving the State of North Carolina
- Developing Student Capacity
- Converging Approaches and Disciplines

They are committed to upholding the university's legacy as the first public institution, complementing breadth and depth with practice, and taking interdisciplinary approaches to the world's greatest challenges.

[A copy of the presentation is available at www.unc.edu/trustees]

Vice Chancellor Winston Crisp then introduced the student representatives from TEDxUNC. Chex Yu, Julia Ramos and Cameron Kneib provided the committee with an introduction to TEDxUNC, a student-organized TED event. The annual conference brings innovative speakers from across the University and larger community to explore ideas for the future. Next semester will mark the third year of the conference. TED events seek to spread innovative ideas in technology, entertainment and design "from music to science, from art to activism." Recently, 1400 tickets to the event sold out in 17 minutes.

[A copy of the presentation is available at www.unc.edu/trustees]

The trustees expressed their appreciation for the great work being done by other these student organizations.

INNOVATION IN THE SCHOOL OF NURSING

Dr. Cheryl Jones introduces Dr. Cheryl Giscombe from the School of Nursing who has been studying the impact of "superwoman schema" and how incredible stress leads to declining health and increased risks like obesity and diabetes, especially among black women. Dr. Giscombe is a graduate of the NC School of Science and Math with a BA from NC Central University and her masters from Carolina. She also received her BSN at Stony Brook University as well as her MA and PhD degrees in social and health psychology. She has successfully bridged the disciplines of psychology and nursing. Among her many awards, Dr. Giscombe was among 12 faculty nationwide selected as Robert Wood Johnson Foundation Nurse Faculty Scholars.

Dr. Giscombe grew up in Roxboro, NC where her father worked as a dentist with under-served populations. Public service has always been important to her and something she has participated in throughout her education. Her research began with health disparities and stress effects on low birth weights. She soon discovered that low birth weights among black women are related more to stress as opposed to race. The superwoman schema involves commitment to succeed, be undaunted, put others needs ahead of our own, and suppress emotions. Her research is helping to develop culturally relevant interventions to reduce the health risks among these women.

Chairman Caudill thanked both Professor Katz and Dr. Giscombe for their impressive innovative research.

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Shuping-Russell presented the report from the Finance and Infrastructure Committee. The items requiring action by the board on property acquisitions and dispositions, and the annual endowment fund report were reviewed. A motion to approve these items was made by Trustee Russell, seconded by Trustee Clay, and the action carried. Ms. Russell then briefly reviewed the information only items presented at the committee meeting (please refer to the Finance & Infrastructure Committee minutes dated November 20, 2013).

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included remarks from the vice chancellor for student affairs, faculty chair, Employee Forum chair, GPSF president, and the provost. Steve Farmer, Vice Provost for Enrollment and Undergraduate Admissions made a presentation to the committee covering the Price Study on tuition. Mr. Gardner stated that the study analysis included tuition cost impact on enrollment decisions. UNC wants the best North Carolina has to offer to both resident and non-resident students, as well as the availability of financial aid. Tuition costs impacts the quality of our students our faculty. Price provided great research with which we can ground our tuition decisions moving forward.

Matt Brody, Associate Vice Chancellor for Human Resources and Dwayne Pinkney, Vice Provost for Finance and Academic Planning also appeared before the University Affairs Committee to review the UNC-Chapel Hill Annual Management Flexibility Survey/Report which is presented to UNC System General Administration. The report consists of 235 pages of summary regarding personnel actions in response to the Board of Governors' agreement with UNC on "management flexibility to appoint and fix compensation."

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Committee Chair Donald Curtis presented the report from the External Relations Committee. Mr. Todd Boyette, Director of the Morehead Planetarium and Science Center provided highlights on the goals and achievements of the Center which was very impressive. A copy of the presentation is available at www.unc.edu/trustees.

The fundraising report was presented by David Routh, Vice Chancellor for Development. Details of that report are available in the committee minutes of November 20, 2013 and at www.unc.edu/trustees.

The action items regarding Distinguished Alumni Awards and Honorary Degrees will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

The agenda for this committee was centered on commercialization at UNC-Chapel Hill. Chair Phil Clay briefed the board with the following highlights:

- Commercialization Task Force Survey Results
 - Faculty is deeply committed to using their research to solve problems.
 - Major concerns are time constraints and the lack of resources for making the leap to commercializing.
 - Realizing rewards for their work.

Rather than there being a lack of resources, it was determined that faculty members are unaware of campus resources and how to access them. The benefit to society and personal financial conditions are clear motivators for the commercialization of campus research and innovations. More detail may be found in the committee minutes dated November 20, 2013.

In January, the committee will focus on industrial relations. There were no action items to be reviewed by the board.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Report of the Committee on Honorary Degrees & Special Awards

Committee Chair Donald Curtis moved approval of the nominees for Distinguished Alumna/Alumnus Awards to be presented on University Day, October 12, 2014. All nominees were previously presented and approved by the committee. The motion was seconded and it carried. [A copy of the Report of the Committee on Honorary Degrees & Special Awards is filed in the Office of the Assistant Secretary.]

Curtis moved approval of the nominees for Honorary Degrees presented by the Faculty Council which included the May 2014 commencement speaker. These awards will all be made during commencement. The motion was seconded and it carried. [A copy of the nomination letter is filed with the Office of the Assistant Secretary.]

Honorary Degree Candidate Selection

David Routh discussed the call for an Honorary Degree to be conferred at May Commencement 2015. In consideration of the recent transitions, the board agreed to allow consideration of this item at the January 2014 meeting.

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE


Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Stone, was seconded by Trustee Lerner, and passed.

(ATTACHMENT B)

Chair Caudill stated that the personnel and salary actions voted on in open session have been distributed.

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:02 p.m.


Erin Schuetzpelz, Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
January 23, 2014

The Board of Trustees met in regular session on Thursday, January 23, 2014 at The Carolina Inn, Chancellor's Ballroom East & West. Chair Caudill presided and convened the meeting at 8:02 a.m.

ROLL CALL

Assistant Secretary Erin Schuettpelz called the roll and the following members were present:

W. Lowry Caudill, Chair	Donald Williams Curtis
J. Alston Gardner, Vice Chair	Charles G. Duckett
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Haywood D. Cochrane	Dwight D. Stone
	Christopher David McCartney Lambden

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Mr. Lerner and duly seconded by Mr. Stone, the minutes of the meeting of November 2013 were approved as distributed; as was the ratification of mail ballots dated December 12, 2013 and December 17, 2013.

(ATTACHMENT A)

Sallie Shuping-Russell, BOT Secretary, reads a resolution acknowledging Erin Culbreth Schuettpelz's service to UNC. Ms. Schuettpelz is resigning from her position as Chancellor's Chief of Staff effective February 2014.

**RESOLUTION OF APPRECIATION
FOR ERIN C. SCHUETTPELZ**

WHEREAS, Erin C. Schuettpelz has served as Chief of Staff to the Chancellor and Assistant Secretary of the University's Board of Trustees since 2012, capping an impressive career serving the interests of the University of North Carolina system and the University of North Carolina at Chapel Hill;

WHEREAS, Ms. Schuettpelz served as director of state relations and communications, helping Carolina leaders understand the legislative world and legislators understand Carolina; and for

seven years before that as director of state government relations at the UNC system, though always remaining a true Tar Heel; and,

WHEREAS, Ms. Schuettpelz staffed the chancellor's search that resulted in the appointment of Carol Folt as the University's 12th chancellor; and skillfully managed operations through the transition to a new chancellor, provost and board chair, assuring a continuity of informed leadership for the University;

WHEREAS, Ms. Schuettpelz helped the Trustees to develop strong relationships with University administrators, faculty, staff and students; and provided critical counsel on numerous issues;

WHEREAS, Ms. Schuettpelz was recognized by the Graduate School with the 2012 Dean's Award for helping students communicate the importance of graduate education to the University and the state; and,

WHEREAS, Ms. Schuettpelz leaves to become Associate Provost for Operations at Washington University in St. Louis;

NOW, THEREFORE, BE IT RESOLVED THAT Members of the Board of Trustees of the University of North Carolina at Chapel Hill hereby express their deep gratitude and appreciation for her service to her alma mater and wish her the very best in her new endeavors.

Mr. Lerner presented the motion to approve this resolution, seconded by Mr. Lambden, and passed. The Board of Trustees and all others present rose to applaud Ms. Schuettpelz.

CHAIR'S REMARKS

Lowry Caudill, Chair presented the following remarks:

- Acknowledged Chancellor Folt's recent visit to the White House in a national leadership role with the Education Summit. Chancellor Folt, along with Chancellor Randy Woodson (NCSU) and President Carol Quillen (Davidson), attended the summit with their counterparts from across the country to discuss how to make college more accessible to students, especially those from low-income families.
- Tom Meyer has recently been collaborating with NCSU to develop a process which will convert solar energy to hydrogen, an innovation that will be of significant benefit to energy conservation and reduction in pollution. It also serves to recognize the importance of the new Department of Applied Physical Sciences in the College of Arts & Sciences.
- At the November 2013 meeting we heard a presentation on Carolina Beats. The Carolina Beats Academy and other speakers have been selected to present at The TEDx UNC conference on February 15, 2014.
- Acknowledged the Chancellor's recent hiring of Joel Curran, Vice Chancellor of Communications and Public Affairs, and Felicia Washington, Vice Chancellor for Workforce Strategy, Equity and Engagement. Joel Curran was introduced to all present. Ms. Washington will be joining the senior leadership team in February and assuming a new position that brings together the critical functions of human resources, EEO/ADA, and diversity.
- Reminded everyone of the four primary goals of the Board of Trustees for this year –

ensuring an effective transition for Chancellor Folt and new members of the senior leadership team; building strong relationships with our key external constituencies, creating a sustainable approach to Enterprise Risk Management for the university; and to concentrate on maturing and consolidating our work on innovation so that we can quantify and effectively communicate our impact on North Carolina and the larger world.

- Acknowledged the athletics and academic improvement that have been the focus of intense work by so many people on campus over the last three years. The Board is highly supportive of the work Carolina is doing to establish best practices that will strength academic rigor. We want to compete academically and athletically at the highest levels with utmost integrity.

[A copy of Chair Caudill's remarks is located in the Office of the Assistant Secretary.]

REMARKS FROM THE STUDENT BODY PRESIDENT

Christopher Lambden remarked on the following:

- The student government's recent statement of support to the University with respect to the academic success of our student athletes
- Approval of the Education Policy Committee and the Faculty Council to ensure that the changes to the new drop/add policy will be grandfathered in and will not be implemented for students currently enrolled at Carolina
- Approval of the increase in the number of pass/fail hours were increased from 11 to 16
- The work of the sexual assault task force, specifically the pending final recommendations from the task force which no doubt reflect the needs and desires of our entire community
- The availability of affordable housing for students living off-campus, as well as a review and possible policy change in the town ordinance prohibiting more than four unrelated people from living in a single residence.
- Campaigns for student body president are already underway and the new SBP will likely be introduced to the Board at the March meeting.

[A copy of these remarks are on file in the Office of the Assistant Secretary]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- A brief summary of her first months as Chancellor
- Reflections on recent events taking place on campus
- Additions to the senior leadership team and updates
- Examples of the creativity of our students and faculty
- The ways our faculty research benefits North Carolinians through service in fields with applications the improve community health and education, health and disease monitoring, injury prevention programs, nutrition and disaster planning
- The importance of commercialization and entrepreneurial activity which increases revenues and creates employment

- The White House Summit and what we are doing at Carolina to help our students which includes doubling the size of the Chancellor's Science Scholars program; providing \$4M for campus initiatives to improve graduation rates for undergraduates and focusing on low-income, first-general and underrepresented students; and expanding the Carolina College Advising Corps by adding ten new advisors to reach new rural areas of North Carolina.
- Highlights from the Gillings School of Global Health Legislative Day
- A review of the Martin Luther King Jr. celebration events held throughout campus this week which included the University/Community Banquet and the keynote address presented by actor and author, Hill Harper.

The chancellor also took a moment to address the importance of balancing academics and athletics.

"As one of a select group of leading national research universities that also have highly competitive athletic programs, what happens at Chapel Hill is also of interest nationally. We accept and welcome that scrutiny, and see it as a tremendous opportunity. Although we don't have any evidence that anomalous courses were initiated in order to benefit athletes, close to half of those who did enroll were student-athletes. This was wrong, and not reflective of the standards we expect at this great University. All of those students deserved better from us. We also accept the fact there was a failure in academic oversight for years that permitted this to continue. This, too, was wrong and undermined our integrity and reputation, while creating an unhealthy environment of distrust."

Furthermore, she stated that "proceeding towards meaningful athletic and academic reform requires us to fully acknowledge and accept the lessons of our past. For us to move forward, we need to ensure everyone understands that we accept accountability, and have learned from this painful journey. We are already making significant changes in academic policies, procedures and practices that are making a real difference and are being validated by the Southern Association of Colleges and Schools Commission on Colleges."

She thanked everyone for their continued hard work in addressing these issues, especially those serving on the Student-Athlete Initiative Working Group.

Before closing, she briefly reviewed the entrepreneurship and innovation speakers invited to present at today's meeting. By highlighting this students and faculty in this forum, we hope to provide helpful and inspiring on-the-ground examples of the work and people we want to continue to thrive on our campus.

[The Chancellor's remarks are on file in the Office of the Assistant Secretary.]

STUDY ON ADOLESCENT HEALTH

As part of Chancellor Folt's plan to highlight the amazing innovations that are impacting our campus and the state, Vice Chancellor for Research Barbara Entwisle introduced Kathleen Harris, a distinguished professor in the Department of Sociology.

Professor Harris presented an overview of her research on adolescent health which has received \$70M of university support at the Carolina Population Center. The findings of her research affirmed the following:

- There is an importance of social connections for health and well-being across the life course;

- Transition from adolescence into early adulthood is a vulnerable period for health that sets trajectories into adulthood;
- We can map the obesity epidemic;
- Gene—Environment interplay in health and behavior;
- Young adult health is at risk.

This study helped to uncover early life precursors of health and disease before biological, social and financial costs escalate. The NIH Review of this Add Health Study released the following statement “a ‘National Treasure’ for the ...research community. The only major study to trace the broad spectrum of health issues over the early life course in combination with the evolving human capital, family, and environmental situations of youth.”

[A copy of Professor Harris' presentation is available at bot.unc.edu]

LIFE ON NASCAR

Dean Susan King of the School of Journalism and Mass Communications introduced Professor Dana McMahan and students, Laura Vroom, Katie McNulty, Cynthia Betubiza, Carolina Boese and Michelle Brandt who recently collaborated with FOX Sports on a marketing adventure for NASCAR. Professor McMahan explained that changing the world of communications includes competitiveness and learning to “pitch” using skills in advertising, design and entrepreneurship. A former journalism student and 2009 graduate (name) recently approached the School of Journalism regarding a unique collaboration. For the past few years, NASCAR has been trying to build its fan base to include a younger generation that will help to keep the sport relevant. This younger generation is referred to as “millennials” and includes our current student body population. Five students, coincidentally all women, joined Professor McMahan on this collaboration. They researched how the millennial generation communicates and developed a public relations and marketing plan to promote the NASCAR experience. The plan includes video, billboard holograms, and two promotional participation contests which result in winners attending NASCAR race events. This plan is one of ten that won the challenge and the team has now been invited to attend the upcoming Daytona 500.

[A copy of the presentation is available at bot.unc.edu]

INNOVATIVE AUTISM RESEARCH

Dr. Bill Roper, Vice Chancellor for Medical Affairs, Dean of the School of Medicine and President of the UNC Healthcare System introduced Professors Mark Zylka and Ben Philpott. Both these gentlemen are with the Department of Cell Biology and Physiology at the School of Medicine. Their research involves the discovery of a drug used to treat cancer which also can be used to treat autism through neuron inhibitors.

This impact of this research is significant in that 1 in 50 are diagnosed with autism, a condition which can be induced both genetically and chemically (environmental). There are many types of autism but their research focuses on Ube3a which is the most common form of autism. Further research has involved research other drug formulations that might have the same impact on neuron inhibitors. Since the focus genes are located in the synapses of the brain, more research to test the impact on the synapses and how drugs, pesticides, herbicides and fungicides affect these areas of the brain is needed.

UNC School of Medicine houses two of the twelve National Autism Centers. Through this

research, UNC has partnered with the National Angelman Syndrome Foundation to create the UNC Angelman Syndrome Clinic, the first in the United States. The clinic is currently seeing patients locally, nationally, and internationally. UNC is now ranked second worldwide for autism research and it is the goal of these researchers to help us become the leading institution in autism research.

Professors Zylka and Philpott entertained a few questions from the trustees.

[A copy of this presentation is available at bot.unc.edu]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

DESIGNER SELECTION – SKIPPER BOWLES DRIVE PAVEMENT REPAIR

This project will renovate the existing pavement, associated sidewalks, curb and gutter, pedestrian crossings and bus stops on Skipper Bowles Drive. The project budget is \$2.1 million and will be funded by State appropriations.

DESIGNER SELECTION – IMPROVEMENTS TO PEDESTRIAN, BICYCLE AND VEHICULAR ACCESS TO AN AREA BETWEEN FRANKLIN STREET AND CAMERON AVENUE

This project will improve the pedestrian, bicycle and vehicular access from Porthole Alley entrance on Franklin Street to Cameron Avenue. The project budget is \$1.2 million and will be funded by University funds.

DESIGNER SELECTION – ROSENAU HALL, BEARD HALL AND OLD CLINIC BUILDING ROOF REPAIRS AND FALL PROTECTION INSTALLATION

This project will repair the roofs and install fall protection at Rosenau Hall, Beard Hall, and Old Clinic Building. The project budget is \$485,000 and will be covered by University funds.

DESIGNER SELECTION – PUBLIC SAFETY BUILDING AND GILES HORNEY BUILDING ROOF REPLACEMENT AND FALL PROTECTION INSTALLATION

This project will replace the roofs and install fall protection at Public Safety Building and Giles Horney Building. The project budget is \$715,000 and will be supported by State appropriations and University funds.

DESIGNER SELECTION – MOREHEAD CHEMISTRY BUILDING ROOF REPLACEMENT AND FALL PROTECTION INSTALLATION

This project will replace the roof and install fall protection at Morehead Chemistry Building. The project is \$663,000 and will be supported by State appropriations.

DESIGNER SELECTION – MCGAVRAN GREENBERG ROOF REPLACEMENT

This project will replace the existing roof at McGavran Greenberg Building. The project budget is \$762,000 and will be funded by State appropriations.

CONSTRUCTION MANAGER AT RISK SELECTION – HILL HALL RENOVATION

This project will renovate the auditorium, rotunda, and lobby and add a back stage area to the auditorium. In addition, the project will address deferred maintenance items which include HVAC, life safety code and accessibility issues. The project budget is \$15 million and will be funded by private gifts and University funds.

Trustee Gardner presented a motion to approve items as presented by Trustee Lerner, Trustee Lamden seconded the motion and it was passed.

SITE APPROVAL – STUDENT HOUSING PHASE III

This project will replace the existing Odum Village housing units with a new 250-bed suite style residence hall. Various on-campus sites were considered as part of the advance planning effort. This is the next phase of the Residential Housing expansion project. The project budget is \$30 million and will be funded by Student Life and Residential Education. The site is located between the Student Academic Services Building and the Rams Head complex along Ridge Road. The project is scheduled to be completed by the end of 2016.

DESIGN APPROVAL – RONALD MCDONALD HOUSE OF CHAPEL HILL INC.

This project will add a 20,000 SF long-term stay facility containing 24 private guest suites to the existing Ronald McDonald House. This facility will be used by families of children who are receiving health care at area hospitals. The project budget is \$6 million and will be funded by the Ronald McDonald House of Chapel Hill, Inc. The Board of Trustees approved the site for this project at the March 2010 meeting. The design has been reviewed by the Design Review Committee following review by the Chancellor's Buildings and Grounds Committee. Although the project is being funded by Ronald McDonald House, the property is owned by the University, thus requiring any alterations to the property to be approved by the Board of Trustees.

PROPERTY ACQUISITIONS BY LEASE – OFFICE SPACE FOR THE UNC INSTITUTE FOR THE ENVIRONMENT

Request approval to acquire approximately 12,104 SF of office space at 100 Europa Drive in Chapel Hill for use by the UNC Institute for the Environment. The lease term will be four years, with options to renew for an additional two years, at an initial rate of \$220,898 with 2.5% annual escalation. Europa Center LLC was selected as the lessor through a public bid process.

Chair Lerner briefly reviewed the items presented to committee for information only. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary.

A copy of the PowerPoint presentation is located at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

(ATTACHMENT B)

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from the Executive Vice Chancellor and Provost, the Faculty Chair, and the Employee Forum Chair. Steve Farmer, Vice Provost for Enrollment and Undergraduate Admissions presented an amendment to the admissions policy which was approved by the board.

Trustee Gardner called for a motion to approve this action, it was seconded by all, and passed.

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Trustee Curtis presented a review of the External Relations Committee meeting. Presenters included Joel Curran, new Vice Chancellor for Communications and Public Affairs and Lynn Blanchard, Director of the Carolina Center for Public Service. The fundraising report was presented by David Routh, Vice Chancellor for Development. Details of that report are available in the committee minutes of November 20, 2013 and at bot.unc.edu.

The action items regarding Honorary Degrees and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

Trustee Steve Lerner chaired the Innovation and Impact Committee for Trustee Phillip Clay who could not attend this month's meeting. The focus of the Innovation and Impact Committee meeting was industrial relations. The committee heard from three presenters: Don Hobart, Associate Vice Chancellor for Research, addressed the committee regarding industrial relations in North Carolina; Barbara Entwisle, Vice Chancellor for Research, discussed the new metrics of research funding and commercialization at UNC; and Andy Johns, Associate Vice Chancellor for Research presented information on industrial funding growth opportunities. A copy of the PowerPoint presentations made during this committee meeting is available at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Honorary Degree Candidate Selection

At the November 2013 committee meeting, Sallie Shuping Russell addressed the committee regarding BOT honorary degree recipients. In light of David Routh's recent arrival, Shuping Russell asked that nominations be deferred until the January 2014 meeting, allowing time for the trustees to further identify and consider appropriate candidates for this honor. Normally, the Board of Trustees approves one name for Honorary Degree awards, however, considering the health of two of the candidates, it was requested that the Board of Trustees allow an exception this year by approving two candidates as Honorary Degree recipients in 2015.

Trustee Cochrane motioned for the exception and the approval of two candidates submitted, motion was seconded by Trustee Stone, all agreed.

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Lerner and was seconded by Trustee Lambden, and passed.

(ATTACHMENT C)

Chair Caudill stated that the personnel and salary actions voted on in open session have been distributed.

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:48 p.m.

Erin Schuettpelz, Assistant Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
March 27, 2014

The Board of Trustees met in regular session on Thursday, March 27, 2014 at The Carolina Inn, Hill Ballroom. Chair Caudill presided and convened the meeting at 8:00 a.m.

ROLL CALL

Secretary Sallie Shuping-Russell called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane	Christopher David McCartney Lambden
Donald Williams Curtis	

Chair Caudill read the following statement regarding the State Government Ethics Act:
“As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees’ meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time.”

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Trustee Cochrane and duly seconded by Trustee Lambden, the minutes of the meeting of January 2014 were approved as distributed; as was the ratification of mail ballots dated February 17, 2014 and February 26, 2014.

(ATTACHMENT A)

CHAIR’S REMARKS

Lowry Caudill, Chair presented the following remarks:

- Referenced Wednesday’s committee meetings and the board’s ongoing work to remain focused on the four goals of the year: successful Chancellor transition, stronger relationships with key external constituencies, sustainable model for enterprise risk management, and consolidate work on innovation and entrepreneurship.
- UNC-CH continues to receive national recognition for our graduate and professional schools. U.S. News & World Report ranked the School of Medicine #2 in Primary Care and it also tied for 22nd in research overall. Chair Caudill congratulated Dean Bill Roper and his team on this recognition. The College of Arts and Sciences ranked 15th for our Ph.D. program in chemistry, 2nd in analytical chemistry and 8th in inorganic chemistry. Other programs in the top 25 were statistics and computer science. The Kenan-Flagler

Business School ranked 19th for its MBA degree program. Also ranked were degree programs in the Gillings School of Global Public Health, School of Education and School of Law.

- Chair Caudill called on BOT Secretary Sallie Shuping-Russell to read the resolution for Student Body President Christopher Lambden.

RESOLUTION OF APPRECIATION FOR CHRISTOPHER DAVID MCCARTNEY LAMBDEN

WHEREAS, Christopher Lambden served as President of the UNC student body in 2013-2014, and was an articulate and passionate voice for students as a member of the University's Board of Trustees; and,

WHEREAS, Christopher was an innovative and creative leader who ably managed a talented student government team that worked on a broad range of important issues for the Carolina community; and,

WHEREAS, Christopher, as a member of the Title IX Task Force worked with others to educate students about the critical issues surrounding interpersonal violence, convened a student panel to contribute ideas, and was an invaluable and thoughtful spokesperson on campus and elsewhere; and,

WHEREAS, Christopher tackled a number of divisive issues during his tenure, and proved to be a steady and constructive leader for students; and,

WHEREAS, Christopher, as a trustee, was a thoughtful voice in board deliberations, always keeping in mind the long term good of the University;

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of the University of North Carolina at Chapel Hill congratulates Christopher Lambden for a job very well done, expresses its deepest appreciation for his outstanding work, and wishes him the very best in his future endeavors.

Trustee Clay presented the motion to approve this resolution, seconded by Trustee Curtis, and passed. The Board of Trustees and all others present applaud Mr. Lambden. After, Chair Caudill continued his remarks.

- Acknowledged Chancellor Folt's recent accomplishments including her visit to the White House to represent the University on sexual assault. This was the Chancellor's third visit to the White House in eight months.
- Last month, the Chancellor made a major policy presentation to the UNC Board of Governors about the commercial and financial value of intellectual property created by UNC faculty researchers.
- Chancellor Folt was also recognized as an active researcher by being a featured plenary session speaker at the National Institutes of Health and Environmental Sciences workshop on the health effects of arsenic, one of her longtime research interests. She also spoke as part of the institute's distinguished Spirit Lecture Series – an annual event highlighting women who have made significant contributions to the field, while maintaining a rich and meaningful personal life.

- The Chancellor has also spent time visiting with alumni and friends in California, Atlanta and London. These visits are playing well and are putting the University in an excellent position with important constituents.
- Chair Caudill introduced Felicia Washington, who is now the Vice Chancellor for Workforce Strategy, Equity and Engagement. This position will bring together critical functions under one office.

[A copy of these remarks is located in the Office of the Assistant Secretary.]

REMARKS FROM THE STUDENT BODY PRESIDENT

Christopher Lambden gave his final remarks as Student Body President:

- Introduced Andrew Powell, the 2014-2015 Student Body President from Nashville, TN. Andrew's platform focuses on educational reform and innovation.
- Reflected on his platform to make a Carolina more affordable, safe and academically prestigious environment, as well as the last year of accomplishments:
 - Wanted to foster stronger relationships between the student population and state legislature.
 - Conducted a full audit of all student fees.
 - Worked on petition for students to voice their opposition to the Board of Governors academic policies regarding drop-add periods.
 - Created a website to compile a list of all resources open to students.
 - Served on the Universities Task Force charged with drafting a new sexual assault and harassment policy.
- Addressed the divide between the Greek community and the rest of the campus.
- Thanked all on the board who have served with him in the last year and the administrators he has had the opportunity to work with.

[A copy of these remarks is on file in the Office of the Assistant Secretary]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- Thanked Student Body President Christy Lambden for his efforts over the last year.
- Since the last meeting, the Chancellor met with other university presidents at the University of Virginia to talk about sexual assault as well as participated in a listening session at the White House with President Obama's White House Task Force.
- Visited King's College in London. This was an opportunity to extend strategic partnership with King's College, leaders in teaching and research. She also visited California and Atlanta to meet with alumni.
- Sought out a new inquiry by an independent counsel with the help of President Tom Ross. Ken Wainstein will lead the inquiry. When he is done, the report will be made public.
- Addressed the role of faculty research during her Board of Governor's presentation. UNC faculty researchers create jobs, attract talent and industry, spins out business start-ups and builds North Carolina's economy.

- Later this afternoon will be the Marsico Hall dedication. This will tie success in biomedical research to state-of-the-art facilities. She highlighted Tom Marsico's contributions to UNC's healthcare program as well as the N.C. General Assembly for their investment of \$243 million in 2009.
- Recently, Chancellor Folt and Director of Athletics, Bubba Cunningham, met with ACC Commissioner John Swoffard. They outlined six core areas of focus: academic preparedness, education, health and wellness, time demands, resources, and representation at the Governance levels.
- Introduced the four presenters for the meeting: Dean Bill Roper; Chair of the Applied Physical Sciences Department, Peter Mucha; STAR Program students; and Athletic Director Bubba Cunningham and student-athletes.

[The Chancellor's remarks are on file in the Office of the Assistant Secretary.]

UNC SCHOOL OF MEDICINE UPDATE

Chancellor Folt introduced Dean of the UNC School of Medicine, Vice Chancellor for Medical Affairs and CEO of UNC Health Care, Bill Roper, to give an update on the School of Medicine.

Dean Roper presented the Association of Medical College's (AAMC) annual report for UNC-CH. There are six areas of focus, each given a percentage ranking. They are as follows:

- Graduate a workforce that will address the priority health needs of the nation
 - UNC ranked in the 86th percentile for practicing in underserved areas
- Prepare a diverse physician workforce
 - 94th percentile for graduates who are African-American
- Foster the advancement of medical discovery
 - 90th percentile for graduates receiving NIH awards
- Provide high quality medical education as judged by your recent graduates (as done by a survey to each graduating student)
 - 95th percentile for how satisfied graduates are with their medical education
- Prepare physicians to fulfill the needs of the community
 - 100th percentile for instruction in women's health
- Graduate a medical school class with manageable debt
 - 38th percentile for out-of-state cost of attendance (lower the score the better)
 - 14th percentile for in-state cost of attendance
 - 5th percentile in average debt

Overall, the School is in a great position with room for improvement according to the report and Dean Roper. He concluded his presentation by taking questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

APPLIED PHYSICAL SCIENCES

Chancellor Folt introduced Chair of the Applied Physical Sciences Department, Dr. Peter Mucha. This department is UNC-CH's first new college science department in forty years. Applied Physical Sciences lives in a collaborative interdisciplinary space between science and engineering. It essentially combines cutting edge knowledge and discovery with an engineering mindset to address problems. This department aims to bridge the gap between discovery and innovation as well as better balance basic and applied research here at Carolina. New faculty hires will join a strong team of six researchers who have received over \$42 million in research awards in the last four years (fiscal years 2010-2013). Faculty affiliated with the founding of the

new department have worked on projects such as: targeted drug delivery to cancer cells, developing lab-on-a-chip applications, and making solar energy more accessible. To be better positioned for the future and to remain competitive, we must expand our team of faculty members and provide funding to grow. Dr. Mucha concluded his presentation by answering questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

STAR PROGRAM

Doug Shackelford, Dean of the Kenan-Flagler Business School introduced the students in the STAR Program: Tyler Eshraghi, Lauren Braswell, Jeff Kagan, Abhinav Mehla and Olivia Frere. The team is advising the UNC School of the Arts (UNCSA) on the redesign of a sound stage in High Point to make the Triad and North Carolina more competitive for movie and television production projects. STAR has assembled for 2014 a list of clients that include: ESPN, NC Governor's Office, RENCi and Belk to name a few.

The STAR team showed that UNCSA aims to create a turn-key, state-of-the-art facility. This facility will include indoor/outdoor green screens, on-site post-production, an extensive digital library, a tank for underwater and above water filming, as well as access to UNCSA facilities. They explained each portion of the planning process and steps that must be taken for this project to come to fruition.

The students and Dr. Paul Friga, Director of the STAR Program, entertained a few questions from the trustees.

[A copy of this presentation is available at bot.unc.edu]

A DAY IN THE LIFE OF A STUDENT-ATHLETE

Bubba Cunningham, Director of Athletics, introduced six student-athletes: Tim Scott (football), Ryan Switzer (football), Kemmi Pettway (football), Michelle Ikoma (women's gymnastics), Lori Spingola (softball) and Marcus Paige (men's basketball).

Tim Scott served as moderator for the other student-athletes. Ryan Switzer began by showing his calendar for the year as a football player. He also showed a more in-depth view of a scheduled-week during football season. Kemmi Pettway spoke about MAP (My Academic Plan) and how it allows him to structure his schedule. Michelle discussed the Carolina CREED and the Baddour Carolina Leadership Academy. Lori showed her program, Carolina Outreach that she created in conjunction with the Arc of Orange County. Lastly, Marcus Paige talked about why he chose to attend Carolina.

Following their presentation, the student-athletes took questions from the Board.

[A copy of this presentation is available at bot.unc.edu]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

HAMILTON HALL ENVELOPE RESTORATION

This project will address the Hamilton Hall exterior façade deficiencies identified in an earlier assessment report.

The project budget is \$1,500,000 and will be funded by University funds.

This project was advertised on January 27, 2014. Ten (10) proposals were received. Five (5) firms were interviewed on February 27, 2014. 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. SKA Consulting Engineers | Greensboro, NC |
| 2. Atlas Engineering Inc. | Raleigh, NC |
| 3. John B. Hawkins Architect/SGI Engineers | Raleigh, NC |

The firms were selected for their past performance on similar projects, their knowledge of exterior envelope repairs, the strength of their proposed staff and their understanding of the project.

CAMPUS RECREATION MASTER PLAN

This project will develop a comprehensive master plan to improve the Campus Recreation facilities. The master plan will evaluate the existing outdoor and indoor facilities and identify improvements to meet the needs of the program.

The project budget is \$200,000 covered by University funds.

Advertising began on January 7, 2014. Ten (10) proposals were received. Four (4) firms were interviewed on February 26, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|--|-------------------------|
| 1. 360 Architecture | Kansas City, MO |
| 2. RGD Planning+Design | Des Moines, IA |
| 3. CRA/Hastings+Chivetta/Brailsford & Dunlavey
NC | Chapel Hill & Charlotte |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

HVAC CONTROLS UPGRADE AT HANES, MITCHELL, SWAIN HALLS, AND STEELE BUILDING

This project will upgrade the existing pneumatic HVAC controls at Hanes, Mitchell, and Swain Halls and Steele Building.

The project budget is \$463,000 and will be funded by State appropriations.

This project was advertised on January 16, 2014. Six (6) proposals were received. Three (3) firms were interviewed on February 27, 2014. Members of the Board of Trustees did not participate in the interviews.

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

- | | |
|-----------------------------|-------------|
| 1. Dewberry Engineers, Inc. | Raleigh, NC |
| 2. Stanford White, Inc. | Raleigh, NC |
| 3. McKim & Creed, Inc. | Raleigh, NC |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

RIDGE ROAD PEDESTRIAN SAFETY ZONES MASTER PLAN

This project will develop a comprehensive master plan to improve the pedestrian safety on Ridge Road from Manning Drive to Country Club Road. Advance Planning for improvements to the area between Boshamer Stadium and Country Club Road will be part of this project.

The project budget is \$200,000 and will be funded by University funds.

This project was advertised on January 24, 2014. Three (3) proposals were received. Three (3) firms were interviewed on March 4, 2014. 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. Stewart Engineering | Raleigh, NC |
| 2. OBS Landscape Architects | Raleigh, NC |
| 3. Corley Redfoot Architects | Chapel Hill, NC |

The firms were selected for their past performance on similar projects, the strength of the proposed staff and their understanding of the project.

(ATTACHMENTS B-E)

DESIGN APPROVAL – MARY ELLEN JONES BUILDING RENOVATION

This project will renovate the upper 6 floors of Mary Ellen Jones Building as new research laboratory and office space. In addition, the project will address deferred maintenance items which include: HVAC, electrical, plumbing, life safety code, accessibility and exterior envelope

issues. A new elevated plaza is proposed to connect the 3rd floor of Mary Ellen Jones Building to the walkway at Thurston Bowles Building.

The project budget is \$77.4M and will be funded by University funds.

The Board of Trustees reviewed the project at its January 2014 meeting.

The design has been reviewed by the Design Review Committee.

The Chancellor's Buildings and Grounds Committee approved the project at its February 2014 meeting.

(ATTACHMENT F)

STUDENT FEES

The interim Vice Chancellor for Finance & Administration reviewed a slide presentation explaining the details of the student fees proposal. A copy of this presentation is available in the Office of the Assistant Secretary.

Winston Crisp, Vice Chancellor for Student Affairs was called upon to discuss student fees for the 2014-15 academic year. UNC has spent the last four to five years attempting to keep fees low with analysis provided by student government regarding recommendations to increase or decrease specific fees in order to best serve our student population. Overall, our current fees are the lowest in the University's 17-campus system at 81% of the system average. Although our athletic and student activity fees are lower, the educational technology and student health fees are well above the system average. The initial recommendation to the Board of Governors from campus, agreed to by student government, was to raise our student health fee by \$7. The Board of Governors asked the Trustees to reconsider the request, concerned that our Student Health Fee was among the highest in the system and covered items which perhaps should not be considered items of student health. If these services were not covered by the existing student health fee, the fee for 2014-15 would be \$20 less per student than the current fee.

After some discussion, the initial proposal regarding student health fees was revised to remove certain services from this fee. The result is a Student Health Fee reduction of \$20 per student for this year and supplementing the budget by finding other ways to support all the services currently offered through the current Student Health fee. The committee discussed its concerns about leaving the fee as is versus the \$20 reduction. Mr. Brown presented the motion to approve the \$20 reduction in the fee, Mr. Grauer seconded, and the motion passed. Mr. Lambden and Ms. Shuping Russell voted against the motion in committee. During the Full Board meeting, the motion passed with Mr. Lambden voting against the motion.

(ATTACHMENT G)

Chair Lerner briefly reviewed the items presented to committee for information only. These included the following items:

- Carolina Research Venture Fund Update
- Quality Assurance Review
- Development Report
- Campus Services Overview

A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

There were no Action Items for this Committee in open session. Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from the Executive Vice Chancellor and Provost, the Executive Vice Provost and Chief International Officer, the Faculty Chair, the Employee Forum Chair, and the Graduate and Professional Student Federation President.

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

There were no Action Items for this Committee in open session. Trustee Curtis presented a review of the External Relations Committee meeting. Presenters included Connie Walker, General Manager of WUNC Radio, Joel Curran, Vice Chancellor for Communications and Public Affairs, and Jennifer Willis, Director of State Government Relations. The fundraising report was presented by David Routh, Vice Chancellor for Development. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

The action items regarding Honorary Degrees and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE COMMITTEE ON INNOVATION AND IMPACT

There were no Action Items for this Committee in open session. Trustee Clay presented a review of the Innovation and Impact Committee. The committee heard an update from Trustee Sallie Shuping-Russell on the Carolina Research Venture Fund. Following that update the committee heard from three presenters: Judith Cone, Special Assistant to the Chancellor for Innovation and Entrepreneurship, Jim Kitchen, Entrepreneur and Kenan-Flagler Business School Lecturer in Entrepreneurship, and lastly, Bob Geolas, President and CEO at the Research Triangle Foundation. A copy of the PowerPoint presentations made during this committee meeting is available at bot.unc.edu and are also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Recommendations from the Chancellor's Naming Committee

Trustee Curtis presented the naming recommendations which were previously presented to the External Relations Committee and approved by the committee. A copy of the report is filed in the Office of the Assistant Secretary.

Board of Visitors Class of 2018 Nominations

Linda Douglas, Director of Community Relations, presented a list of nominees for the next class of Board of Visitors, along with an alternate list. A motion was made by Trustee Stone and seconded by Trustee Gardner; and the Board of Trustees approved the 41 names on the nomination list, adding one name from the alternate list. The Board of Trustees will divide the nominee list and make formal calls to invite each person to become a member of the Board of Visitors. The final list of acceptances will be presented for final approval at the May 2014 Board of Trustees meeting.

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the info by the Labor Licensing Committee regarding products manufactured in Bangladesh, given to the committee by Vice Chancellor Felicia Washington.

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions came from Trustee Lerner and was seconded by Trustee Lambden, and passed.

(ATTACHMENT H)

Chair Caudill stated that the personnel and salary actions voted on in open session have been distributed.

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:30 p.m.

Sallie Shuping-Russell, Board of Trustees Secretary

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill
May 22, 2014

The Board of Trustees met in regular session on Thursday, May 22, 2014 at The Carolina Inn, Chancellor's Ballroom. Chair Caudill presided and convened the meeting at 8:00 a.m.

OATH OF OFFICE

James C. Stanford, Orange County Clerk of Superior Court, administered the oath of office for Student Body President Andrew Powell.

ROLL CALL

Secretary Sallie Shuping-Russell called the roll and the following members were present:

W. Lowry Caudill, Chair	Charles G. Duckett
J. Alston Gardner, Vice Chair	Peter T. Grauer
Sallie Shuping-Russell, Secretary	Kelly Matthews Hopkins
Jefferson W. Brown	Steven J. Lerner
Phillip L. Clay	Dwight D. Stone
Haywood D. Cochrane	Andrew H. Powell
Donald Williams Curtis	

Chair Caudill read the following statement regarding the State Government Ethics Act:
"As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time."

CONSENT AGENDA

Approval of Minutes and Mail Ballots

On motion of Trustee Cochrane and duly seconded by Trustee Lambden, the minutes of the meeting of March 2014 were approved as distributed; as was the ratification of mail ballots dated March 31st, April 28th, and April 29th.

(ATTACHMENT A)

CHAIR'S REMARKS

Chairman Lowry Caudill presented the following remarks:

- Introduced the newest Trustee, Andrew Powell. Andrew is a rising senior from Nashville, TN. He will be serving as Student Body President for the 2014-2015 year.
- Thanked the task force and committee chairs, along with the rest of the board, for continued hard work before and during the meetings over the last ten months.

- Recognized Chancellor Folt, Provost Dean and their colleagues on an exceptional Spring Commencement. 32,000 people attended this year making it one of our largest audiences in several years.
- Acknowledged Jane Smith, Associate Director of University Events, who retires this summer. This was Jane's 24th consecutive spring Commencement. She joined UNC in the fall of 1990 where she has worked on numerous events including Board of Trustees dinners and functions and 23 football seasons assisting chancellors and guests of the University. She only missed four games during that stretch.
- Commencement marked a wonderful way to conclude the Chancellor's first academic year. Chair Caudill is pleased with the progress the Chancellor and her senior team has made to strengthen the ties between the trustees and Carolina students. The presentations at each meeting have highlighted student leadership, creativity and commitment to Carolina.
- Chancellor Folt was invited back to the White House for a fourth time since arriving to Chapel Hill. This was for the second gathering of college and university leaders as part of President Obama's Task Force to Protect Students from Sexual Assault. During the University Affairs Committee meeting on May 21, 2014, the board heard an update from Vice Chancellor Crisp on the continued progress of our own campus task force on sexual assault.
- Since the last meeting, Chancellor Folt has filled the last remaining vacant senior administrative position: Chief Financial Officer and Vice Chancellor for finance and Administration. Matthew Fajack will join us in June from a comparable position at the University of Florida.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

REMARKS FROM THE STUDENT BODY PRESIDENT

Andrew Powell, Student Body President presented remarks:

- Acknowledged the efforts of Christy Lambden over the last year.
- The level of engagement in elections this year (both faculty and student) is a testament to the challenges we face, and the depth of this community's love for Carolina.
- Andrew commented on how honored he is to serve as a trustee and representative of the students at Carolina.
- During his campaign, Andrew talked about how Carolina has led the way since the doors opened in 1795. UNC-CH serves as a model of a university that is accessible, affordable, and empowering.
- Last semester, Andrew was enrolled in Chairman Caudill's scientific ventures course. He spoke on what he learned about innovation, translation and entrepreneurship and how it revealed an integral part of Carolina's character – an unyielding desire to innovate and to take on the most daunting challenges of our time.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

CHANCELLOR'S REMARKS

Chancellor Folt spoke on the following:

- Thanked those who have helped her during her first year at Carolina.
- In thinking about how Carolina is doing, two things come to mind: the students we are sending out into the world, and the ones we're welcoming to Carolina for the first time. On both fronts, we're excelling.
- Discussed her first Commencement and how inspiring it was. Chancellor Folt signed several diplomas of "Carolina First" – students who are the first in their families to attend college. This year we graduated more than 600 first-generation college students.
- We honored 27 new ensigns and second lieutenants in the Army, Air Force, Navy and Marines at a special "Red, White and Carolina Blue" graduation ceremony. New this year were the military honor cords worn for veteran, active military and ROTC graduates.
- There were 251 members of this year's class of Buckley Public Service Scholars. On average, these students completed more than 450 hours of service during their time at Carolina. Fifteen students recorded 1,000 or more, and two recorded more than 2,000.
- The things our graduates are doing with their lives are wonderful to see. For example, with the selection this year of Joël Joseph Hage, 36 students have been named Luce Scholars, the highest number of any American university. The Luce Scholars Program funds a year of living and learning in Asia for recent college graduates.
- We had a record number – more than 31,000 – first-year applications. This makes the ninth straight year that we've broken our previous record. Carolina is on target to enroll another talented, diverse class this fall. These students will come from almost every North Carolina county, most U.S. states and more than 50 countries.
- Mentioned the Carolina Advising Corps that helped more than 4,000 high school seniors apply to college in North Carolina for the 2014-2015 year.
- In 2003, UNC was ranked 13th nationally in university research funding from the National Institutes of Health. As of 2013, UNC-Chapel Hill has jumped to 7th nationally. Many of the six schools ranked higher than UNC-CH are significantly larger.
- Kathleen Mullan Harris, the James E. Haar Distinguished Professor of Sociology, and Mike Ramsey, the Minnie N. Goldby Distinguished Professor of Chemistry, were elected this year to the National Academy of Sciences and National Academy of Engineering, respectively. These are some of the highest honors that a U.S. scientist or engineer can receive.
- Addressed the addition of Matthew Fajack, the new Chief Financial Officer and Vice Chancellor for Finance and Administration.
- Acknowledged the pending Title IX investigation and how Carolina is working to address these issues.
- More than 1,000 members of the Class of 2014 donated to the Senior Campaign this year.
- Two new gifts that will enhance Carolina's work in important areas were announced: First, we announced on May 20, 2014 that Carolina, along with Penn State and University of Maryland Baltimore County, was awarded nearly \$8 million in grant funding from the Howard Hughes Medical Institute to enhance and evaluate our Chancellor's Science Scholars program. Second, the Local Government Federal Credit Union has pledged \$7.1 million to the UNC School of Government for initiatives to support North Carolina local governments.
- In closing, Chancellor Folt introduced the presenters for the meeting: Dr. Bruce Cairns, Director of the Jaycee Burn Center; Dean Jack Richman, Clinical Instructor, Josh Hinson, and students from the UNC School of Social Work; and Dean Mike Smith and Marcia Machado Peritt, Projects Manager for the Development Finance Initiative at the

UNC School of Government.

[A copy of these remarks is located in the Office of the Assistant Secretary and at bot.unc.edu.]

NORTH CAROLINA JAYCEE BURN CENTER

Dr. Bruce Cairns, Director of the Jaycee Burn Center and John Stackhouse Distinguished Professor of Surgery spoke about the Jaycee Burn Center and how it serves the state of North Carolina.

Dr. Cairns started by showing a video about the Burn Center and some of the patients they have helped. The Burn Center opened in 1981 and is the largest ICU in the hospital. They are verified to admit critically injured adults and pediatrics. The Burn Center here is the second busiest in the nation. It focuses on acute care, prevention, education, research and rehabilitation. Dr. Cairns showed that over the last ten years the Burn Center has seen a 2.5x increase in the number of patients they see. Over the years, partners like Duke Energy have helped to renovate areas of the Burn Center – including the Family Room. UNC has the only Burn Reconstruction and Aesthetic Center in the world. The Jaycee Burn Center is helping to lead the way in burn treatments with innovative laser surgeries and novel minimal perforation skin graft meshers. UNC also has a partnership with Johnson & Johnson that provides a 35-bed burn unit in Malawi. Survival in Africa from burns has increased from 20% to 40%.

After concluding his presentation, he asked former patient and recent UNC graduate, Cruz Maria Santibanez, to share her experience with the Jaycee Burn Center. After she finished, they entertained questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

REFUGEE MENTAL HEALTH & WELLNESS INITIATIVE

Chancellor Folt introduced Dean of the UNC School of Social Work, Jack Richman and Clinical Instructor, John Hinson and three UNC School of Social Work students.

Dean Richman gave an introduction before turning it over to Professor Hinson who gave background on the study. The Refugee Mental Health and Wellness Initiative is a pilot study that explores the mental health needs of newly arrived refugees in North Carolina. Professor John Hinson received a grant for \$14,000 from the School's Armfield-Reeves Innovation Fund to launch the project. The study focuses on mental health screenings in Orange and Durham counties. They only work with those who have been designated by the federal government as refugees. North Carolina sees refugees from Somalia, the Sudan, Iraq, and Southeast Asia to name a few. Each of the three students, Albert Thrower, Erin Magee, and Allie Hill gave first-hand accounts of their experience over the last year with the study interacting with refugees in the community.

Dean Richman, Professor Hinson and the students concluded the presentation by entertaining questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

UNC SCHOOL OF GOVERNMENT OVERVIEW & DEVELOPMENT FINANCE INITIATIVE

Mike Smith, Dean of the UNC School of Government, and Marcia Machado Perritt, Project Manager for the Development Finance Initiative (DFI), presented to the board an overview of the School of Government and DFI.

Dean Smith started by presenting the mission for the school: "improve the lives of North Carolinians by helping public officials understand and improve state and local government through teaching, publishing and advising". Last year, the school had 11,023 public officials attend 159 courses and 3,128 participants attend 9 webinars. Additionally to teaching courses, the school helps with orientation for new state legislators and assists with legislation.

DFI was funded with a \$1 million grant from Local Government Federal Credit Union and it was started to create opportunities for economically distressed communities in North Carolina by increasing their access to and use of innovative development finance instruments. Ms. Perritt presented to the board one of DFI's projects that worked with Kinston, NC to revitalize its downtown. To conclude, Dean Smith and Ms. Perritt entertained questions from the trustees.

[A copy of this presentation is available at bot.unc.edu and is on file in the Office of the Assistant Secretary.]

REPORT OF THE FINANCE AND INFRASTRUCTURE COMMITTEE

Trustee Lerner presented the report from the Finance and Infrastructure Committee. The items requiring action by the board were reviewed as follows:

- Acquisition by lease – UNC Development Office

Chair Lerner briefly reviewed the items presented to committee for information only. These included the following items:

- Internal Audit Report given by Phyllis Petree, Director of Internal Audit
- Financial Update given by Interim Vice Chancellor for Finance & Administration, Kevin Seitz
- Development Report given by David Routh, Vice Chancellor for University Development
- Professional Development in Athletics given by Athletic Director Bubba Cunningham
- Master Plan Update given by Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning and Design

A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

There were no action items for this Committee in open session. Trustee Gardner, committee chair, presented the report from the University Affairs Committee that included brief remarks from:

- Bubba Cunningham, Director of Athletics
- Jan Boxill, Chair of the Faculty
- Charles Streeter, Chair of the Employee Forum and Ms. Lorch, Education Coordinator at the Carolina Campus Community Garden
- Kevin Seitz, Interim Vice Chancellor for Finance and Administration
- Shelby Dawkins-Law, Graduate and Professional Student Federation President

- Charlie Perusse, COO at UNC General Administration
- Ron Strauss, Executive Vice Provost and Chief International Officer
- Winston Crisp, Vice Chancellor for Student Affairs
- Students with the "Rename Saunders" Campaign

Personnel and compensation actions presented during the committee's closed session will be reviewed during today's closed session. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

There were no action items for this Committee in open session. Trustee Curtis presented a review of the External Relations Committee meeting. A communications update was given by Joel Curran, Vice Chancellor for Communications and Public Affairs and the fundraising report was given by David Routh, Vice Chancellor for Development. A full review of the committee meeting may be found in the committee minutes in the Office of the Assistant Secretary, and at bot.unc.edu.

The action items regarding Honorary Degrees, Board of Visitors Class of 2018, Davie Awards and recommendations from the Chancellor's Advisory Committee on Naming will be reviewed during the board's closed session.

REPORT FROM THE INNOVATION AND IMPACT COMMITTEE

There were no action items for this Committee in open session. Barbara Entwisle, Vice Chancellor for Research presented a research funding update. Then Trustee Clay led a discussion on the agenda and plan for the Innovation and Impact Committee. A copy of the PowerPoint presentation made during this committee meeting and the memo discussed is available at bot.unc.edu and is also filed in the Office of the Assistant Secretary.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Shuping-Russell, and duly seconded, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following); and also pursuant to Section 143-318.11 (a) (2), (3), (5), and (6).

CLOSED SESSION

REPORT OF THE EXTERNAL RELATIONS COMMITTEE

Honorary Degrees and Special Awards

David Routh, Vice Chancellor for University Development brought forth six honorary degree recipients for the 2015 Spring Commencement proceedings. A motion was made to approve these recipients, it was seconded and the motion passed. The Chancellor will send the letters of nomination to these recipients; they must agree to attend the commencement proceedings in order to accept the degree. Should a nominee die before May 2015 Commencement, then they will be awarded the degree posthumously.

Board of Visitors Class of 2018 Selection

David Routh, Vice Chancellor for University Development approached the committee with the final list of names for the Board of Visitors Class of 2018. This list included the three additions submitted by the Board of Trustees since the last meeting. The Board was asked to approve this final list of 40 names, as well as the recommendations that Rick Margerison be appointed Chair of the Board of Visitors for 2014-15 and Tom Long serve as Vice Chair. A motion was made to approve these names, it was seconded and the motion passed.

Davie Award Nominees

The Board of Trustees usually grants four or five Davie Awards each year. The list of nine nominees was presented to the Board which selected five recipients for 2014. A motion was made to approve the five names, it was seconded and it passed. The list remains confidential until each nominee has been notified. The Chancellor's office will be responsible for contacting the nominees. Awards are presented at in November 2014 in conjunction with the Board of Trustees dinner.

Recommendations from the Chancellor's Naming Committee

David Routh, Vice Chancellor for University Development presented the naming recommendations which were previously presented to the External Relations Committee and approved by the committee. A copy of the report is filed in the Office of the Assistant Secretary. A motion was made to approve the naming items, it was seconded and the motion passed.

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters.

DEEP CLOSED SESSION

Chair Caudill convened the Board in Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Caudill reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Committee Chair Alston Gardner referred the members to the personnel matters submitted for review. A motion to approve the actions was called and was seconded by Trustee Cochrane.

(ATTACHMENT B)

Chair Caudill stated that the personnel and salary actions voted on in open session have been distributed.

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 1:30 p.m.



Dwayne Pinkney, Assistant Secretary

If this information is available at a specific URL, please paste that link below. The link must point directly to the requested information in this question.

If you have any comments you would like to make about this question that are not covered in the above items, please do so below.

17. Board of Trustees Scheduled Review

Are the data in this survey scheduled to be presented to your Board of Trustees (before final submission to UNC-GA on March 31, 2015) in accordance with Management Flexibility Policy 600.3.4, §C. (3)(b)?

- ☒ Yes
- ☐ No

18. Campus Certification Memo

Prepare to submit a signed copy of the [Management Flexibility Certification Memo](#), indicating campus compliance with Policies, Regulations, and Guidelines associated with UNC Policy 600.3.4.

1. Download the [Management Flexibility Certification Memo](#).
2. After your campus Board of Trustees have reviewed your submission, have the Chief Academic Officer and Senior Human Resource Official sign the memo affirming the accuracy of the campus submission.
3. Send the signed memo to Eric Fotheringham at UNC General Administration (emfotheringham@northcarolina.edu).

Thank you for taking the time to complete this survey. If all of your information is complete to begin initial reviews by UNC-GA, please select FINISH below in order to print a formatted PDF of your responses on the next page.

UNC-GA staff will contact you with any questions about your "working submission" as we begin the review.

After saving or printing your responses, please contact Eric Fotheringham at UNC-GA to make any corrections (you will be sent a link to open your survey again with previously recorded responses).

After presenting this information to your Board of Trustees, have the Chief Academic Officer and Senior Human Resource Official sign the Management Flexibility Certification Memo and send it to Eric Fotheringham at UNC-GA.



Project:	BOT Meeting – Saunders Hall Discussion
Speakers:	Alston Gardner – Board of Trustees
	Chuck Duckett – Board of Trustees
	Taylor Webber-Fields – The Real Silent Sam Coalition
	Dylan Su-Chan Mott – The Real Silent Sam Coalition
	Omololu Babatunde – The Real Silent Sam Coalition
	Frank Pray – UNC College Republicans
	Dr. Al Brophy – UNC School of Law (via video)
	Dr. Jim Leloudis – UNC Department of History
	Dr. Deborah Stroman – Black Faculty and Staff Caucus
	Professor Eric Muller – UNC School of Law
	Arch Allen – UNC Alum
	Sam Fulwood – UNC Alum

INTRODUCTIONS

A. Gardner:	<p>Last spring a group of students, the real Silent Sam Coalition, gathered 800 names on a petition calling for the removal of William L. Saunders' name from Saunders Hall. We invited the group to present their petition to the board in May of 2014 at the University Affairs Committee. Since then, Trustee Duckett and I have been busy studying the issue over the last several months. Today we will do three things. First we will share with the committee and the board and the public what we have learned, what we've been doing. Secondly, as part of the Chancellor's Carolina Conversations Initiative, we will lead a conversation on race and place at UNC. We'll hear from eight speakers with a variety of viewpoints, including several students. At the conclusion of the speakers, we will announce a community-wide online forum to collect additional comments, input and proposals on how we might address those issues. Let me say that we applaud the passion and the leadership on this issue from our students. We encourage political activism. We have a long tradition and history of that in Chapel Hill. In some of the public statements, some minority students have questioned if they belonged at UNC so let me start by saying, or let's say be very direct, clear and unequivocal: you belong here. This is as much your university as any other student, any other alumnus of the</p>
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University. You are a critical part. If we admitted you to UNC, you are part of our family; you are part of our community. So, if there is any one thing I think the students and the board can agree on is this is the time to face the issues of race and place. We embrace the discussion and we believe the university is a fantastic venue for that, much better than Starbucks in a 45 second conversation with your barista. It will require active listening and that's what we intend to do today. Our charter as an institution reminds us that our duty is education of our students. We are not a political organization. Instead, we are going to focus on education and we're going to approach the discussion with a bias towards teaching. We have three objectives in this discussion. First is, we want to be responsive to the key constituents in our community, not only the students but also the faculty and the alumni. We will hear from faculty and alumni today also. Second, we want to make sure we teach our complete history, not a white washed version of our history, not mythology but a history based on facts, based on evidence with historical context and multiple points of view. Most of our history is good. UNC has a great story to tell about social justice, about education, but it's not perfect and frankly some of it is bad. For many of you, this may not be comfortable having this conversation, but it is not the role of the university to provide comfort. Just the opposite, it is our job to challenge our students, our faculty and our alumni and our society to do better. Our third objective, in fact we believe it is our job to prepare our students to be more effective in an increasingly diverse and global society. That belies the demographic reality of North Carolina. It is an economic necessity and it is a moral imperative. Our strategy in this discussion is to develop a comprehensive solution. The names of buildings are just one part of that puzzle. We believe there are many ways to address the issue and we're seeking your input and your help in finding those solutions.

C. Duckett:

We've spoken with numerous people regarding this issue since May of 2014 and in doing so we've followed the goal of approaching this with respect and an open mind. We understand anyone interested in this issue has personal feelings that are important and I want to stress that we are not here to tell anyone



how to feel about this. Feelings about this are complex and we're here to explore all aspects. This slide shows our guiding principles, our approach as a board to both the process involved and the potential parameters of any solutions involved. You can see from this we're looking at multiple points of view. We want this to be civil and respectful. We want to be careful not to impose today's social norms on the past and cover up our history in the process also while seeking consensus where possible. So that leads to potential solutions and they should be grounded in evidence and research. They should be pure. They should be evergreen for future students and faculty so that all people know in the future what we've done and why we've done it and it should be available. It must be practical and implementable. So it's got to have clear responsibility for the execution of whatever we do and include ongoing support. And our activity census was brought to the board last May, we've spent hundreds of hours on this effort. And I do mean hundreds of hours. Alston and I have spent more time in Wilson Library than we did when we were here in school. It is a great place and we do have incredible resources at this university and that's been very helpful. Part of this issue, if you're looking at it, it's true. We've researched the issues. We've reviewed a lot of the policies that are involved with these issues. We tried to frame the problem and define our objectives and our objectives are everybody's objectives, we hope, which is find the solution. We listened to various arguments and proposals and actually we've conducted 200, plus one on one interviews and meetings and phone calls and conference calls and things like that with people. Importantly, as we look at this, the process, it included conversations with lots of UNC ties, the current leaders, former UNC leaders, alumni, faculty and national experts and they include discussing the issue with every member of the Chancellor's Cabinet and numerous deans at the University. We talked with former chancellors, provosts, former trustees, distinguished alumni and chancellors at other institutions. We've met and spoken with a wide range of students via help from the Student Body President Andrew Powell. Thank you, Andrew. We met with leaders of The Real Silent Sam Coalition numerous times. We also reached out to the UNC Young Republicans, the UNC Young Americans for Liberty and others. We talked with



numerous alumni leaders including current and former leaders of the General Alumni Association, the current and past members of the Board of Visitors, members of the Alumni Committee on Race and Ethnic Diversity and alumni members of the Sons of the Confederacy as well as others. We've had dozens of conversations with UNC faculty including the Faculty Executive Council's Diversity Committee and the faculty event on such topic at Hyde Hall. I want to be clear on something. We are blessed, and I'll say it again, to have some of the nation's and even international experts on race and place not only here but in this country, in residents at UNC. That is amazing. You don't have to go far to find somebody that really knows what they're talking about and we're proud of that. This page really shows some names of contacts with experts in the fields that pertain to this topic. We've broken it out into three fields to have various approaches and ways of adding to the discussion. The first group we covered were history experts, both regarding North Carolina and public history more broadly. Our history department here at Carolina has been incredibly helpful. Also Michael Hill from the State Archives has been wonderful to us. UNC alum and decorated author Taylor Branch who wrote the trilogy book about Martin Luther King was wonderful and we even brought in a Duke friend and professor Tim Tyson to help. Number two, in communications and communications is important to this, we met with Carole Blair and Bill Balthrop from the Communications Study Department, Elizabeth Olson in our Geography Department has taught us that these buildings, monuments and even the landscapes really are communication devices for this fine university. We regard to public policy, and this is very important as well. We spoke with a large number of true experts that range from our own Al Brophy that will speak later via video and has worked with numerous universities on this particular issue to Dr. Bernard Herman who is involved with the US Park Service when they were interpreting George Washington's home which included both his family and slaves. We spoke to other experts in various universities regarding how they have dealt with their history and specifically about renaming requests and their decisions around their requests.



A. Gardner:

This is clearly a national phenomenon. It's not just happening at Chapel Hill. Recently an MIT professor, Craig Steven Wilder, wrote a book on race, slavery and the Ivy League, fascinating reading to find out how great institutions like Brown University and Harvard and Princeton are dealing with this same issue. We provided the links for you here and we encouraged you to discover how this issue is being handled at other universities around the country. Kind of the output of that conversation, I'd like to offer maybe a few preliminary observations. First is about our campus. Something I think that Fitz Brundage in the History Department mentioned to me, the UNC campus is the most densely memorialized real estate in the state of North Carolina, more so than Raleigh, more so than Salisbury and some of the... more so than Winston-Salem. The second thing I'd say about our institution is many memorials as we have, we don't do a particularly good job of curating our buildings and our monuments and our places so that's something that we would seek ideas on how to do that better. Secondly, I'd like to talk about our community. This is a picture from recent memorial service that we had on campus for the tragic loss of life and I'm really proud of the reaction of our students and our community. But our community is transient. That is, every four years we wash one group out and four more years we wash the next group out. Many students don't really know what has been done in the past to memorialize African-Americans at UNC. So in the appendix of the handout, and it's also online, we've included some slides to help you understand some of that history. This issue of Saunders Hall is not new. The first date that we've been able to uncover when it came up was 1999. In chatting with former Chancellor Moeser, he said literally the very first week he was the new chancellor a group of students took him down to see Silent Sam and Saunders Hall and explain their position on this. On the bigger scale, I think most of our community and most people in general in North Carolina are unaware of a pretty grim time in the history of the United States. From 1865 to 1965 is kind of a blur for a lot of people. A lot of ugly things happened in this state. Reconstruction was not an easy process. The only governor who has ever been impeached in the state and removed from office was in 1870. Did I get the date right? I get an A in your class, I hope. The Jim Crow Era in North Carolina



was an era that not a lot of people really want to deal with and I think when we start talking about some of the names and places on this campus and in other campuses in the UNC system, we're coming directly head on into that history. I think there are some national activities and events that are also making this whole issue of race and social justice more salient. Every time there is another event like what happened in Ferguson or what happened in Staten Island, it makes our students more aware and more conscious of their surroundings. The good news is that attitudes about race and social justice have evolved since most of these buildings were named. Finally, I talk a little bit about North Carolina history and the only graphic I could find was Professor Powell's book on our history of our state. UNC has been at the forefront of progressive social change in North Carolina in this country but the history is not well known, even for those who are, I think, still required to take that in seventh grade. Our efforts to teach our history have been inadequate and more often, we perpetuate mythology about our campus rather than a critical look at the complete story both good and bad. Our history is complex and some of those who have been honored in the past are problematic by today's standards.

C. Duckett:

I think when you look at this, one of the considerations we have to take and study carefully and understand is there are relevant sections of the UNC policy on naming and renaming or taking a name off of a building or place. I'm not going to bore you by reading this but that is policy that is in place and it's our duty to understand and do the best that we can to remain true to that policy. I would like to say though that in not taking the time to read this page to you, it is available in the handouts and the website and links information if you want to understand it and read every word of it. It's important to state though that there are existing written policies that pertain to both naming and revocation of a name, specifically we need to point out that the revocation of a name and any subsequent renaming are separate and distinct policies and with different processes for change. So, we've finally come to what this is all about. I'm going to cover a bit of the historical record. We've done a ton of research on Colonel William Saunders. This is what the building is named after and I want to talk about the history. The



points that you read here, and I'm going to expand on some of the points, is there are no primary documents or written evidence that Saunders was ever a member or leader of the KKK. When you take a look at that though, there is some understanding and context that goes along with that. It's not surprising that there's no evidence. It was a felony to be a member of the Klan during this period of time and a felony to take the Klan oath. It was the Klan oath specifically forbade any discussion of the organization publically. So Saunders rarely spoke in public, ever, about anything hardly and we've been unable to find any record of Saunders ever having spoken about his role in the KKK, about white supremacy or any racial issues. Saunders was never charged with a crime related to his reputed KKK involvement and he publically stated he never committed any crimes. Congressional leaders though, however, and investigators identified Saunders and the head of the North Carolina KKK. Saunders was subpoenaed multiple times by the US Congress and their Joint Select Committee to inquire into the condition of affairs in late insurrectionary states. Finally, he was forced to appear on September 23, 1871 before Congress. Saunders refused to answer any questions about the Invisible Empire or acknowledge that he was the reputed leader of the Invisible Empire. He did not confirm or deny that that statement was true. So he did not answer the question whatsoever.

A. Gardner: I think he was the first person to ever invoke the Fifth Amendment in appearance before Congress.

C. Duckett: Correct.

A. Gardner: It's actually engraved on his gravestone.

C. Duckett: Many Democrats and disenfranchised southerners consider these hearings to be a partisan political exercise by Congress. However, reputable historians have identified Saunders as the head of the KKK. Noted historian Joseph Hamilton for whom Hamilton Hall is named identified Saunders as the head of the Invisible Empire in his book *Reconstruction in North Carolina* that was published in 1914. Hamilton was a member of the Dunning School of



Reconstruction History that was sympathetic to the clan and the white supremacy movement and we see no apparent reason for him to impugn Saunders. Much of the book is based on Hamilton's primary research completed when many of Saunders contemporaries were still living. John Hope Franklin also identified Saunders as head of the KKK in his book *Reconstruction After the Civil War* published in 1961. Importantly, very importantly, the UNC Board of Trustees identified Saunders as the head of the KKK, the official record that UNC listed Saunders' leadership in the KKK as a qualification for naming the building in his honor. In this slide, which you can't really see, is a photocopy of the minutes of the Board of Trustees from, I believe it's December 1920, that we have in the archives.

A. Gardner:

So you haven't really lived until you've read the testimony of someone before Congress during Reconstruction. It was scintillating. Thanks to Chuck for doing that work. There's also been a lot of discussion about McCorkle Place, over the years many protests about the Confederate Memorial Statue. In our discussion with faculty member and public historian Anne Whisnant, she gave us a framework for thinking about memorials as they really address three periods of time. The first is the time period that is memorialized. In the case of Silent Sam, as it's known, it recognizes the 321 alumni who lost their lives in the Civil War and the thousand-plus North Carolina students who fought on both sides during the Civil War. In fact, North Carolina where there was little of the war fought contributed 113,000 troops more than any other state in the Confederacy. So that's really what the monument tells us about 1861 to 1865. The second time period was 50 years later when the monument was erected. It was one of hundreds of Civil War monuments paid for by the United Daughters of the Confederacy during the heyday of the white supremacy movement in a period when white leaders in the South were trying to reposition the Civil War away from a secessionist political rebellion to a struggle for freedom from northern oppression. At the unveiling of the statue, Julian Carr, a local businessman for whom Carrboro is named, gave a speech in which he described the Civil War as a battle for southern honor and the purity of the Anglo-Saxon race.



He ended his speech with a personal anecdote citing his pride in having “horsewhipped a negro wench until her skirts hung in shreds” nearby the monument. This was for the daring insult that this woman put forth to a southern lady. Not a pretty story. The third time period in which this monument comments is when visitors are viewing the statue. There is not much explanation of the current monument so the current day viewer must create their own narrative to explain the monument and it’s quite amazing some of the stories that people have created about this monument. One being about the virtue of a North Carolina female undergraduate which has no basis in history whatsoever. Just for those who still believe that myth. The question is before us, what do we do about Saunders Hall? What do we do about McCorkle Place? What do we do about educating our new members of our community about UNC’s history? We’ve asked eight speakers, two students, four faculty and two alumni, to share their thoughts. We have a slight change in the chart. We will have three speakers from The Real Silent Sam Coalition. They promise me they’ll stay at six minutes. We’re going to try to keep this going so we have enough time. The first of the speakers from The Real Silent Sam Coalition is Omololu Babatunde, who is a senior from Newark, Delaware. Omololu, you’re on. While she’s coming up here, she will be followed by Taylor Webber-Field, a senior from Fayetteville and Dylan Mott, a senior from Suches, Georgia. Thank you for being here. We appreciate your efforts. I know there was some concern about holding this meeting at Rizzo Center. This is the second time that the Board of Trustees has met at this part of campus and I hope everyone on your... clearly the students did find it, we arranged buses so that there would not be any lack of representation of your group here. So let me turn it over to you.

T. Webber-Fields: Thank you so much. Thank you for having us today. Thank you for providing the transportation that you did. Just thank you for meeting us halfway. We really do appreciate it and we do want to acknowledge that this has been an effort on both sides, both students and leadership. I would like to acknowledge the hard work of the students that have... that you’ve already acknowledged but I’d also like to acknowledge it as well. We’ve toiled against the



already demanding curriculum of UNC as well as taking on this issue. We've listened to students. We've organized and we've mobilized around this issue. Your presentation gave us a very pretty picture of Carolina and student's experiences. That's great to hear but it doesn't represent 100% of the students' experience here. So we're going to speak to that issue. So thank you. Last May, we, The Real Silent Sam Coalition, humbly came before this board to present our concerns and grievances about the building Saunders Hall. Not only did we grieve but we offered a rational and attainable solution to the issue. The overwhelming presence of anti-blackness and racism that pervades the campus is not isolated to this site yet we felt that it would be most appropriate to engage with racialized geography in the geography building. That aside, we feel more than ever that the time is now to take a stand and reflect the moral character and intellectual maturity of UNC students and leadership. Our nation is wrestling with the demons that Saunders loosed on the southern part of heaven. We are accomplices to the racist Greek culture that runs rampant on our campus as well as NC State, the University of Oklahoma. If we choose to keep Saunders Hall as a marker of UNC's character, we will find ourselves ultimately on the wrong side of history again.

D. Su-Chan Mott: This campaign, this movement is about more than just renaming a building. This movement is about the future of this university. It is about facing the violent, racial history of UNC Chapel Hill, of the State of North Carolina and of the United States. This is about power. This is about a struggle over who belongs at this university and who gets to make decisions about what happens here. It is about this institution actually taking action against racism and violence so that we, as students, as faculty, as staff, as people choosing not to side with historical and present racial terror and violence being afflicted on people of color.

O. Babatunde: The late Yanni Chapman wrote in his dissertation that "diversity without justice is not enough." If you are asking us to be your diversity, then we are demanding justice. We are calling for our Board of Trustees to recognize that its student body has changed and thus the environment must reflect that. What is in a name?



Who are you serving? Are you serving your present day students whose welfare depends on you? Or are you serving the white supremacist architects of the past whose vile deeds have blueprinted the subjugations of those who live today?

- R:** The following statements are brief facts about the individuals whom UNC's buildings are named after. The following statements will be posted on Yik Yak. Yik Yak is an anonymous social media platform that is based on (inaudible). The UNC Yik Yak has been consistently used by means to voice racist comments such as the following.
- R:** The Daniels Building is named for Josephus Daniels who used his position at the *News and Observer* to campaign for white supremacy and the disenfranchisement of blacks.
- R:** Response from Yik Yak: 50% of my tuition goes to paying that of blacks students. That is true oppression.
- R:** Spencer Dorm is named for Cornelia Phillips Spencer who worked under Saunders and other white supremacists to reopen the University after the defeat of Reconstruction.
- R:** Yik Yak says, "I really hate blacks. I'm going home to where there aren't any."
- R:** Cameron Avenue is named for Paul Cameron who at one time was the state's largest slave holder.
- R:** Response from Yik Yak: The way blacks are acting right now, it kind of justifies the slave race.
- R:** (Inaudible) so many buildings on this campus were built by slave labor. They were not memorialized until 2005, with the construction of (inaudible 0:29:37.0). It is now commonly viewed (inaudible 0:29:40.3).
- R:** Response from Yik Yak: Blacks, get off Yik Yak.



D. Su-Chan Mott: And remember these responses from Yik Yak are coming from our fellow students who are also students of UNC and who seem to believe there is really no reason why they shouldn't express these sentiments behind the mask of anonymity online. This is the culture of racism that exists on this campus and what we are asking for is for the University administration to take a stance to challenge that institution.

T. Webber-Fields: Our call for a name change is not based on the abstract idea that Saunders and the KKK were and are racists. It is based on the specific and real acts of violence the Klan committed and the structure of white supremacy it acted to uphold and which is still upheld. This violence does not speak merely to bodily harm but a normative white culture that seeps deep into the minds of people of color. A violence that implicitly states, "We do not belong here." A violence that is backed up by the actual words of the peers we sit beside in class, live with in our dorms and houses and walk by on our way to classes. Are we your diversity statistics? Do we absolve you from institutional racism by throwing our faces on admissions brochures?

D. Su-Chan Mott: We are not here today to sit and argue about whether or not the KKK was and is a violent, white supremacist, terrorist organization. It is. You have acknowledged this in your presentation. We are also not here to debate upon whether or not Saunders was a part of that organization. There is a lot of information saying that he was. The fact that there is not a primary source document does not change our feelings about this subject. We are tired of having to prove to you what violence is when we can see and feel the effects of this violence in our community. Saunders was recommended for the naming of the new building by the Board of Trustees in 1920, as you said, and they chalked up his position as the head of the Ku Klux Klan in North Carolina as one of the main reasons why. The fact that the Board of Trustees at the time believed that that was an emeritus act is for us evidence enough that Saunders' building needs to be renamed. What more proof do you need than this office's own documents?



- O. Babatunde:** We have heard arguments that to remove Saunders' name from this campus would eliminate an opportunity to teach about white supremacy. Maintaining Saunders' name would not serve to teach anyone. To use the public maintenance of a white supremacist to teach about white supremacy is a form of violence and hypocrisy. It is at the expense of the identities of those who are targets of this violence. Wouldn't it be better to teach about Saunders through the decades of struggle and resistance that it took to get his name removed?
- R:** Hamilton Hall is named for J.G. de Roulhac Hamilton, a Republican (inaudible) reconstruction in North Carolina. He honored the Ku Klux Klan for "restoring political power to white people."
- R:** Yik Yak: We are white and proud.
- R:** Aycock Dorm is named for Charles Aycock who supported segregated schools and the disenfranchisement of black people.
- R:** Yik Yak: A large majority of this tuition increase is to pay for black tuition. That (inaudible 0:33:22.6) is true institutionalized racism.
- R:** Mitchell Hall is named for Elisha Mitchell who believed slavery was beneficial to black people because they were a "race of inferior, moral and (inaudible 0:33:34.2)."
- R:** Yik Yak: Y'all love to check off that minority box on college applications. That's why blacks on average have lower SAT and ACT scores but still get into or beat out white kids.
- R:** So let's (inaudible 0:33:48.2) way. How many buildings are named for slaveholders?
- R:** Yik Yak: Don't let black racists in this school.
- O. Babatunde:** This fight to rename Saunders is not a new thing. People have been organizing around this site and the legacy of white supremacy that it reflects on and off since 1999. You ask us what would it



mean to rename Saunders. We ask you, what would it mean not to? What would it mean to generations of incoming students to continue to enter an environment that endorses racial violence? What does it mean to generations of students to know that despite our vocalized dissent, attacks against our personhood continue to go unchallenged? We are all UNC students and we will continue to mobilize until our campus environment reflects that. Thank you.

A. Gardner: Before you run off, do we have specific questions by our committee members?

R: Can you see us now? (Single voice)

R: Can you see us now? Can you see us now? Can you see us now? (Chanting)

A. Gardner: Questions? Kelly? Phil? Andrew?

C. Duckett: I have a question, if you don't mind. I don't profess to know a lot about Yik Yak. The anonymity of any board bothers me because it's not known why people are doing what they're doing, if they're provoking because they're unknown, if they really feel that way. I understand that. I make the assumption just like you do that they mean what they say and it's hurtful. You've given us many great examples of things that are wrong with that but is there no defense by people for these purely crazy statements or stances? I mean, does nobody come back and if somebody says that this tuition raise is paying for black people to go to school here and it's oppressive, serious does nobody get on there and say, "You're being a fool?"

O. Babatunde: Yes. People do address the situation to kind of get continuously harassed. As someone, we speak about anonymity but regardless of the anonymity of the person speaking, to continue to have to defend one's personhood to someone who just continues to defile it, is a very laborious activity. So it's not something that I like to participate in but students do take it upon themselves to do that because we do want to try and uplift the student body. But it's not just anonymous comments to (inaudible) Yik Yak. People who do,



like you say, address topics to kind of expand upon certain type of racialized...different issues of race on campus like Nikhil [Umesh] for example, he publishes, he has a great column in the DTH where he addresses these issues very, micro-aggressions on campus. He did a great article about yoga and how that becomes a form of cultural appropriation and Nikhil's name was ran through Yik Yak, like he was named personally. Another fellow, Ishmael Bishop who did a lot of speaking about different concerns that students had about the student body president election, his name was completely targeted through Yik Yak. So this is an anonymous site but it is a site that reflects the sentiments of our students and sorry, to go back to what your question was, yes. We do. Even though it is very laborious and very exhausting and very painful to have to constantly defend one's personhood, we do try to engage our students, our classmates on Yik Yak.

C. Duckett: Dylan, you made a couple of references to racial terror and violence and clearly the Klan in 1870 was about as bad as a terrorist organization can get. Can you talk about that in a present day context? Are there, are you aware of, racial violence on campus today?

D. Su-Chan Mott: The current, present iteration of The Real Silent Sam Coalition activities have kind of followed and been overshadowed by wider instances of targeted violence against bodies of color address this state and against this nation. I'm thinking of some of these high profile murders that we have seen but I'm also thinking of those murders of the three here in our own community. I know there are differences of opinion on whether or not those were hate crimes but I do say that many of us who are students at your school do believe that they were. Moreover, I think here at the school, not only are there anonymous comments and threats on Yik Yak, some of those comments that we mentioned before have taken the form of threats. But there have also been... how many times have we been out at a rally or how many times have we been out doing something and a group of people walk by and they'll yell things at us? I've been at rallies where other UNC students try to pick fights with us. I've been in many instances like this. In terms of the kind of level of



violence that the Klan symbolizes, I think that those kinds of instances tend to go unconnected, meaning they'll happen here. They'll happen there. They'll blame it on some crazy with a gun or some fluke, some bad cop or something like this. What we are saying is all of these instances are indicative of a wider cultural paradigm that does not problematize racism. It simply says, "We're over this. Our way of thinking has evolved." What we're saying is no it's not. It's simply changed. It's grown more nuanced with the times and it's adapted to a different set of circumstances but it's just as racist.

A. Gardner: Thank you...

C. Duckett Do you feel like social media and the way it's changed with people communicating plays a role in this? In actuality, with the way the world is changing there are becoming pockets of segregation via schools...does that have a role in it?

D. Su-Chan Mott: I really think that the present fixation on social media is probably a distraction. I think social media, like any other form of communication, influences our lives. But as y'all's presentation said, a campus, a physical environment can be a form of communication. I think this form of communication, how you curate the buildings, how you name them, what plaques you put on them, the kind of tours you give of those buildings, that is probably a far more significant form of communication than social media is. I think social media is really kind of small fry.

R: Thank you. Phil?

Phil: Thanks so much for the presentation. I have, through the discussion over the last several months, learned a lot about the university that I did not learn even though I took a course on the history of the South since 1865 when I was a student. My question is this: If the name were changed, let's say that's step one. What would you imagine to be steps two, three and four? What would be the difference on this campus next year, the year after that and so



forth? I'll ask the same question of others. I'm interested in sort of "what next" in this.

T. Webber-Fields: Thank you for your question. First, the debate has already sparked some very great changes on campus. The recently introduced Carolina Conversations, I think is a product of the hard work of these students before you now. I think that's an upward trend in Carolina's campus and I think that making a bold statement such as changing the Saunders Building will keep that momentum going. I like the direction that... well, speaking for myself personally, I like the direction that the initiatives that the school is taking and this goes in direct... it aligns with the goals of the school that are coming forward now. This is a first step but it's a great step. It's a bold step, a bold step that needs to be taken. It's a form of action. Conversations are great but action is really where it counts.

O. Babatunde: Just to speak to you quickly on your question, when we're speaking about renaming the building, we're not speaking about just completely changing the name and no reference to Saunders will even be made. In part of our demands, we asked that a plaque that states that Saunders was the original person that occupied this space is put on there so that students have a conversation to think about, "Wow, what does it mean that my school has looked at its history, confronted it and has decided to act in a way that recognizes the multitude of different people that inhabit its space?" I'm very grateful to your comments, Mr. Gardner, that you all understand and accept us as students but it is very painful to have to, on a daily basis, navigate a landscape that the architects of that space wouldn't have wanted me to even be in. For years, students have said this not just because this man had certain politics, but because they're implicated in his politics and his politics are informing today. I think that this shift, this name change, to get back to your question, would show that all students of Carolina have the ability to change their environment, have a claim to this space and that this space does reflect them as well.

R: Further questions?



R: Thank you for your presentation. What role do you see The Silent Sam Coalition playing (inaudible)?

T. Webber-Fields: Thank you for your question. Silent Sam, first and foremost, is an organization that does create, that does acknowledge the history of the school. We do work in educating students about... a lot of the information you presented today is work that Silent Sam does on a regular basis — informing other students about the racialized and historical context of all the buildings and stuff on campus. So The Real Silent Sam has already been instrumental in educating. That's a huge component of the organization. We also tackle issues outside of campus. We use the issues on our campus to connect to larger issues. So The Real Silent Sam has been very much... and we've informed the leadership on this campus. We've met with leaders on campus to inform them of the issues that students are having. That's educational. We do good work in education. We do. Yes. We've been instrumental and I think we'll uphold that tradition going forward.

C. Folt: ...confirm that and I think what you said earlier, it is absolutely true that the Carolina Conversations and so much more have been directly and very positively, 100 percent, positively influenced by (inaudible) and the ones talking to us right now so we do really appreciate that.

T. Webber-Fields: Thank you Chancellor Folt.

A. Gardner: We have, unfortunately, five more speakers. Thank you so much for your time. Dylan, it's our university, not my university. Thank you very much.

[Applause.]

A. Gardner: Our next speaker is Frank Pray, President of the UNC Republicans. I did not have a chance to meet Frank before this. I apologize. Frank, when you come up here, would you tell us what year you are, where you're from, what your major is so we have some background?



F. Pray: Yes. Thank you. I'm a sophomore. I'm from Charlotte, North Carolina. My major is a double major in political science and public policy.

A. Gardner: Thank you. This time, I'm not going to cut you off but I want to make sure that we stay on track.

F. Pray: I'm keeping it short and sweet. Members of the Board of Trustees, fellow Tar Heels and fellow North Carolinians, thank you for taking the time today to come here together as one Tar Heel family and discuss an issue of great importance to our campus community. Over the last several months, the issue of renaming Saunders Hall has come to the forefront of campus dialog, mainly because of the history of its namesake, William L. Saunders. Although Mr. Saunders is commonly known as the man who created the most complete history of the state of North Carolina up to that date — an accomplishment that should be remembered as beneficial for the academic community of our state — there is an unfortunate, darker side to his story that also must be taken into account. Saunders was also the leader of the Ku Klux Klan in North Carolina, one of the vilest terrorist groups to have ever existed in the United States. Herein lies the reason that warrants his name be stripped from Saunders Hall. Saunders was not simply a man who held prominent racist beliefs of the time period. He was a man who took those beliefs and translated them into horrible actions that most individuals, even during that time period, knew were unacceptable. The actions carried out by the Ku Klux Klan, of which he was an integral part, can only be described as acts of terrorism against fellow Americans. When looking at the chancellor's policy on naming university facilities and units, Section E, duration and modification of namings Part 6, revocation of naming approval or conferral, it states that "if the benefactors or honoree's reputation changes substantially so that the continued use of that name may compromise the public trust, dishonor the university's standards or otherwise be contrary to the best interests of the university, the naming may be revoked. However, caution must be taken when, with the passage of time, the standards and achievements seem to



justify a naming action may change and observers of a later age may deem those who confer to naming honor at an earlier age to have erred. Naming should not be altered simply because later observers would have made different judgments.” The UNC College Republicans believe that Saunders’ involvement with the Ku Klux Klan certainly constitutes a change to his reputation that both compromises the university’s public trust and dishonors this university’s standards. The Klan’s use of terrorism was clearly something that is not only considered unacceptable in modern standards, but was considered equally negative during the time period in which he lived. This is the key factor that makes the naming of Saunders Hall objectively different from the naming of other buildings on campus such as Spencer and Aycock. While those buildings’ namesakes held racist beliefs and voted discriminatory measure into law, there is no credible evidence to show that they engaged in the same acts of terrorism that Mr. Saunders did. The College Republicans and conservative students across this campus, who are proud of their heritage and of the history of the old north state, will not support the renaming of those other buildings or any other changes to The Silent Sam Memorial due to that fact. However, Saunders’ involvement with the terrorism of the Ku Klux Klan vastly changes that story. Therefore, the Executive Board of the UNC College Republicans has concluded, after much talk with our members and conservatives around campus, that the Board of Trustees should move to strike William L. Saunders’ name from the hall on Polk Place. We would like to caution that any striking of Mr. Saunders’ name should be accompanied by a commitment to placing a plaque on the building about its history, detailing why it was originally named after Mr. Saunders and why his name was later dropped. In addition, we believe that a healthy conversation should be had before we consider who should be given the honor of a new naming of Saunders Hall. Thank you for your time and interest in this matter. God bless you all and God bless the State of North Carolina.

R:

Thank you. I appreciate your comments. Questions from the committee?



- R:** One of the parts of the presentation that Alston and Chuck presented called for consideration of memorials and naming in three different timeframes, the original act or event, the original meaning of the monument created and the view that would be held by current observers. What is your reflection on that in light of your group's view?
- F. Pray:** In regards to...?
- R:** ...making the distinction between Saunders and McCorkle Place.
- F. Pray:** In regards to McCorkle Place and Silent Sam in particular? First of all, it is our belief that The Silent Sam Memorial is a memorial to the brave North Carolinians who were defending their home state at the advance of the Union Army who was literally raping and pillaging their way through North Carolina on their march to the sea. We're not saying that the Civil War was a good war that should have been fought in the first place but we're saying that the men who died, our ancestors, did not die in vain. There was a reason that they died. They died protecting their homes when the Union Army was advancing. To change the monument in any substantial way that would disrespect that memory and disrespect our ancestors is quite frankly an insult to us and their memories and therefore we can't let that stand.
- R:** Other questions?
- F. Pray:** Thank you for your time.
- R:** Thank you very much. Appreciate it.
- [Applause]
- R:** I'm going to introduce the next speaker that you're not going to ask questions because he's not here.
- R:** I wonder if he knows he's got a really embarrassing picture of himself up there.



R: We can take a screenshot and mortify him.

R: Somebody take a screenshot of that and let's send that to Al.

A. Gardner: Tell Al that's how he showed up here today. I'm pleased to introduce Dr. Al Brophy. Al is the Judge John J. Parker distinguished professor of law at the UNC School of Law and importantly Al has written extensively on race and property law. His work includes books on Reconstruction and the pros and cons of reparations. He's published articles on the history of slavery and the law and the morality of building renaming. He has published articles in numerous places and has worked extensively with Brown, Alabama, U Va. and other universities on their approach to their history. He authored the University of Alabama's public apology for its ties to slavery. He is speaking via recorded video today because he is a guest lecturer at Western Kentucky today as we speak. I asked him to do this video in one take in order to be like our speakers today. There is no editing and he had to do it just like you did. So I'd like to introduce Dr. Al Brophy.

Dr. Al Brophy: Hello members of the Board of Trustees and people attending the Board of Trustees meeting. Thanks for letting me participate remotely in this discussion. I'm really sorry I can't be there in person and I'm really looking forward to reading about this in the Daily Tar Heel. Let me say first off, I applaud the work of those who have recovered the history of William Saunders and what he means and what his legacy was at the 19th and 20th Centuries and going into today. Because of you, we know much more about our university's history and why that is important and how that continues today. You've taught us that less than 100 years ago a key figure in North Carolina's fight against Reconstruction was honored here, at least in part because people believed he was a Klansman. Like many other universities, such as the University of Virginia, William and Mary, the University of Georgia, the University of Alabama and in the North, Harvard, Brown and Princeton, our university was built on money made from enslaved people. We educated the sons of the slave owning class. Our faculty taught that



slavery was right. Unlike many of those schools, however, UNC also had faculty, students, alumni and graduation speakers who took brave stands against the institution of slavery. I believe it's much more important than a name on a building is how we present our history, how we build upon it and overcome the past. I hope we will have a project that puts William Saunders into context so that we will learn about him and his ideas and the ideas that set back the course of racial progress for decades. But I hope we will look at that alongside people like William Gaston of the North Carolina Supreme Court who spoke against slavery in 1832 over in Gerard Hall, as well as the enslaved people whose labor helped build this school and to sustain it and how in the 20th Century this school sometimes supported Jim Crow and at other times opposed it. The University of North Carolina, once build by slaves, is now dedicated to a very different mission. So a building name by itself can't present the complexity and chaos of our history, in which the labor of enslaved people, who would never see this institution, funded it and many generations later we become known for our role in excellent education for everybody without regard to race and we're known especially for opportunities for students of modest means. Only a comprehensive history can do that. Universities truck in ideas and knowledge. This is what we specialize in. The studies of slavery that have lasted for decades now at Brown and that are ongoing at U Va. and William and Mary and Emory and that are emerging at places like Princeton and other schools have gone on... they're not a yes/no, rename/not rename decision. They have focused on understanding their institution's history without trying to hide the negative and to understanding who we and they are and how we're working every day to achieve those ideals. One example of such changes over time, I think, is the Edmond-Padas Bridge in Selma, Alabama — named for a leader of the Alabama Klan and a former Confederate General. It is now one of the best known symbols of the Civil Rights Movement throughout the world. It's my belief that learning that takes place in Saunders Hall is the best repudiation there can be for the violence associated with the end of Reconstruction in our state. But I'm opposed to renaming Saunders Hall, in addition, because I believe that facilitates forgetting our connections that Saunders represented and to the violence of the



post-Civil War era. My favorite example of this kind of forgetting comes from Yale University where a few years ago they took down a portrait of their benefactor Elihu Yale, which had for many decades hung in the room where the trustees met. They took it down, not because... Elihu Yale was being waited on by an enslaved child and they took it down, not because it was a sign of white supremacy but because in the words of a Yale administrator, "It wrongfully implicated Elihu Yale in slavery." It was thus part of the administration's whitewashing of their history. So I hope we're going to have an ongoing and comprehensive history and a discussion around the meaning of that history. This should be an ongoing, difficult dialog, not a one-time event. Thank you for letting me participate in this. I'm really looking forward to hearing the rest of the discussion and from learning from you.

C. Duckett:

I want to thank Dr. Brophy. Obviously there are no questions so I'm going to introduce the next speaker. I'm excited about this as well. It's Dr. Jim Leloudis. Jim is the Associate Dean of the Honors Program at Carolina. He's a professor of history and is the Director of the James M. Johnson Center for Undergraduate Excellence. He's an expert on the history of the modern South, the Jim Crow Era and importantly — very importantly — is an expert on the history of the University of North Carolina Chapel Hill. Jim.

Dr. J. Leloudis:

Thank you, Trustee Duckett and other members of this committee and the entire Board. Like everyone else here, I appreciate this opportunity to examine the history of race at Carolina and the ways that it connects, as we've heard, to very important issues of memory and identity and inclusion in the life of the University today. I also want to say "thank you" to the students, and I'll come back to you in just a second, the alumni, faculty, townspeople who over the years have been quite insistent in their request, their urging us to undertake this kind of self-examination. I'm especially grateful for the students who are here today. I admire your determination. I admire your impatience. I admire your moral courage. I am an alumnus of this institution, as you will soon be. You make me very proud of this place. I know I don't speak only for myself but I speak for fellow faculty members when I say you're the



reason we think there could be no better place than Carolina to be on the faculty. So thank you very, very much. As others have said, this University was born of a slaveholding society and the wealth that sustained it until the time of the Civil War was derived primarily from the labor of black men, women, children who were held as human chattel. North Carolina born historian Edward Baptist in a powerful new book argues that pretty much the same holds for the nation as a whole in this era. If you've not seen the book, you should pick up a copy. It's titled *The Half Has Never Been Told* and in it, Baptist contends, I think quite persuasively, that a moral reckoning is long, long overdue. So for us today, the need for such a reckoning is thrown into a sharper leap by the question of what to do with Saunders Hall. Let me say at the outset, if the options were simply to remove the name or to leave it, I would vote in an instant to remove it for reasons you've heard today. There is no smoking gun to prove William Saunders' leadership in the Klan but that's hardly a surprise. And again, as you've heard, there is also no doubt that Saunders' contemporaries, the eminent historian of North Carolina, Joseph Hamilton who was a defender of the Klan and the trustees who named this building for Saunders in the 1920's celebrated his influence in that organization. Again, I just want to urge us to call the Klan for what it was: a terrorist insurgency that used murder and extralegal violence to overthrow democratically elected governments. So we mustn't, we can't ignore that history because to do so is effectively to absolve William Saunders of his crimes. But I also worry about the consequence of scrubbing Saunders' name and the history it represents from the landscape of this campus. That's why I'm drawn to a third option and that is the option to curate and to bring scholarship and to bring teaching to bear on Saunders Hall and other contested spaces across our campus. Let me say that that curation might well include removing the name and putting a plaque there to commemorate that decision but I think this curation, however it's configured, is vitally important because we can't let this historical moment evaporate. I've been on this campus long enough to see this issue come around and around and around again. Things are said. Things are done. There is no, kind of, ongoing legacy and engagement with these issues. I think we are a weaker institution



for that. Now I understand and respect the concern expressed by some members of the community that there might be a risk here of imposing modern day standards on actors who lived in a very different time and under very different circumstances. I understand that concern, but I also think it's misplaced for two reasons. First, if we're not to judge the past in the light of our own moral principles, then I wonder how we're to evaluate and learn from it. It won't do to say that Saunders and his compatriots engaged in reprehensive behavior and then to add that it's not our place to judge them because they were, after all, simply men of their time, a time in which virulent racism was commonplace. That strikes me as a rather unsettling form of moral relativism that leaves the past utterly unaccountable to those of us who live with its legacies today. And second, I think that concern about treating the past unfairly is grounded in historical inaccuracy. The fact of the matter is that the story of race in public life in North Carolina during the second half of the 19th Century is quite complex and quite remarkable. On two occasions, first in the late 1860s and then again in the mid to late 1890s, black North Carolinians and their white allies — about a third of white citizens — joined forces, forged powerful biracial political alliances and won control of state government. They did so in the first time in 1868 under the banner of the Republican Party and they gave us a new constitution, the constitution that for the first time in North Carolina's history mandated the establishment of a system of public schools and guaranteed universal male suffrage. We still live with that constitution today. Then in the 1890s, black Republicans and white Populists joined in what they called a Fusion Alliance. Together they won control of the legislature and the governor's office. Now this is important because this is the only time and the only place in the south where biracial politics were that successful. The Fusionists again ushered in an era of reform that included expanded investment in public schools, the founding of a land-grant college for African-Americans and passage of one of the fairest election laws in this state's history. William Saunders and the men of his ilk could not defeat those alliances at the ballot box so they turned to violence, violence perpetrated by the Klan in the 1860s and by vigilantes known as the Red Shirts in the 1890s. They turned to violence to silence their opponents. Blacks and



whites, whites whom they charged had acted as race traders. In 1900, white supremacists sealed their victory with a constitutional amendment that stripped black men and large numbers of poor white men of their right to vote. By doing so, they established the reign of Jim Crow, which continued until the Civil Rights revolution of the 1960s. Now as you saw in the presentation, and I'm reminded of this in the classroom, few people on this campus, and I dare say few people across this state know much at all about that history. Every spring semester, I'm still dismayed but I'm over being surprised when I walk into my large survey course, and I'm going to make clear it's not the students' fault, it's ours as educators, but I walk into my large survey course on North Carolina since 1865 and I begin a conversation of a group of 150 or more students. They are the state's best and brightest, and they know little or nothing about this tale. As you might imagine, they begin to engage it with amazement, their eyes increasingly growing wider and their jaws agape. That kind of ignorance leaves us morally and imaginatively impoverished. We fail to recognize that history is governed by contingency and choice, that people make history and that forces of inevitability do not determine its course. I suggest to my students that one way to understand that idea is to think of history as a roadmap cluttered with intersections and alternative routes. If we were to go back in the past and take a different turn at any of the major crossroads — the crossroads of the late 1860s, the crossroads of the late 1890s — we might well end up in a very different world today. For each path chosen, countless other alternatives are left behind. It's instructive to retrace the journey. We may look down some of those paths left behind and be very glad we never traveled down there. But down other paths, paths we knew nothing about, we might gain fresh insight into the pressing concerns of our own time, like those before us today, insights in the ways which our world might be remade. In that sense, studying history is as much about today and tomorrow as it is about yesterday. Knowing the story of William Saunders, recognizing why Silent Sam presides over McCorkle Place, remembering history's losers, those North Carolinians who in the face of organized terror resisted the rule of white supremacy, these things matter. They matter because they have remarkable power to expand our



imagination, to expand our awareness of our own roles as historical actors and of the ways our moral choices can shape the world we hope to create. And so that's why I think it's so vitally important to curate the contested spaces across our campus and to promote an understanding of the journey that brought us to where we stand today. I think we owe that to our students. I think we owe that to the people of this state. Thank you very much.

C. Duckett: Thank you Jim. (Applause) I'm reminded why you got all those A's in 1977 and I didn't.

Dr. J. Leloudis: We were history majors together. Don't believe a word he says. (Laughs)

Phil: Same question I asked others. You advocated for curating the University's history and there is good reason why that would be a good thing but what would you imagine to be the second and third step considering the comments students made about their fatigue at revisiting the sharing of their pain, which I can attest to since many of the things they've said were said when I was a student?

Dr. J. Leloudis: I have to say that is one of the things that stops me and that I wake up at night thinking about because I can talk about that at a cerebral level. I obviously do not walk across this campus and feel that pain. I think that's the first thing to acknowledge. I think maybe the other reason the curation is important is that perhaps we can relieve them of some of the burden of publically expressing that pain, living and reliving that pain by taking ownership of it as an institution and making it our job — not their job — our job to engage in this kind of conversation and the experiences that they've shared with us today. They carry a heavy burden. I think we should be lifting much of that. How we do that exactly, I think it's going to be really exciting to go forward thinking about that.

C. Duckett: Thank you Jim. It's always a pleasure. (Applause) The next speaker is Dr. Deborah Stroman. Deborah has taught in numerous schools at UNC including currently at the Kenan-Flagler Business School. She is involved in first year seminars, has been involved in



teaching Exercise Sports Science and other areas across this campus. A good explanation for Debby, if you know her is she's a mentor. She's a coach. She's an entrepreneur and a former basketball player at Virginia that has her PhD in Business and Leadership. Dr. Stroman is the Chair of the Carolina Black Caucus. Welcome.

Dr. D. Stroman: Thank you. The Black Faculty and Staff Caucus was established in 1974 over 40 years ago to address the challenges and institutional barriers to access that existed for African-American employees at that time. Today, because it's still necessary, we continue to advocate for respect and our inclusion. In addition, we celebrate our achievements and partner with other university administrators, faculty and staff who warmly share our enthusiasm and commitment to excellence. It is important that we publically acknowledge our decision to be a part of a predominantly white institution of higher learning. We chose this complex and amazing dynamic of southern hospitality, demanding workloads and public education. We selected UNC. We value the opportunity to lead, serve and inspire young people. To that end, we are very pleased that the Board of Trustees has decided to address this long-standing issue of the naming of campus buildings. It's quite obvious to most people studying or working within the UNC system that the history of North Carolina reflects the history of the United States. It is good. It is bad. It at times has been very, very ugly. Sadly, many can live most of their lives happily in America never really learning the real history of our great country. When one is presented the opportunity to gain knowledge, to become informed and to recognize the untold stories, it is critical that the opportunity is seized. Today, we, the University of North Carolina, have that chance. To move forward — to heal — we must be educators in this regard. I now read the statement that represents our position regarding the naming of the buildings:

The Carolina Black Caucus, also known as the Black Faculty and Staff Caucus, expresses our sincere interest in the ongoing dialog regarding the naming of buildings on the campus of UNC Chapel Hill. At this time, we are very clear in our deep support and



encouragement of student activism, that is we celebrate the discussion, engagement and collective action of the student perspective and public voice. In addition, we offer our fervent support of the immediate necessity of educational resources to further promote the understanding of the University's racial and cultural history. This occasion affords the University the opportunity to implement strategies and tools to educate and unite administrators, faculty, staff and students on the historical context of particular university donor and leader activities and the current status of blacks of UNC Chapel Hill. Lastly, we strongly recommend further data collection, transparency of findings, acknowledgement and recognition of those University pioneers who courageously struggled and protested to ensure the presence of black people at this university. Respectfully, Deborah Stroman Chairperson, Steering Committee members, Victoria Hammett, Ursula Littlejohn, Oj McGhee, Jackie Overton, Eileen Parsons, Kathy Ramsey, and Nakenge Robertson.

Removing a name will not erase, edit or change the history of the State of North Carolina. Someone once said, "Forgive others, not because they deserve forgiveness but because you deserve peace." We refuse to be a prisoner of the past. We forgive and we embrace peace. Thank you.

A. Gardner: Y'all have been awful quiet over there. Any questions?

R: I have one question, just to make sure I'm clear. So as a stance, obviously we need to curate this. I don't think anybody has stepped up here that says otherwise. Is it your belief, I think I heard you say but I just want to make sure I'm correct, that you don't necessarily support taking the name off the building but it's vitally important that we tell the history, not only of all of the people that are memorialized around here but also importantly people that are missing in this play in that the people that helped make a difference and may not have been recognized to date?

Dr. D. Stroman: Yes. I think everyone is very clear that education is very important around this but also we want our people to be celebrated and



acknowledged. To your question regarding the second and third steps, we talk a lot about micro-aggressions. I think that's a word that's clearly been defined and talked about in the classrooms and outside the classrooms a lot. But we're not talking about the macro-aggressions. What is the macro-aggression? That is institutional racism that exists here at UNC. So my second and third steps would be we need to focus on education but we need to educate our Chancellor, our Provost, our vice chancellors, our deans, our chairs and our full professors. We're talking about changing the climate on campus. We're talking about changing behavior. That means there needs to be some education and some interaction but we cannot just leave it on our students to grassroots this, which is important. We also need those who are leading this institution and leading this state to understand macro-aggressions and how institutional racism affects everyone.

R: I'm going to read something that's going to embarrass somebody but it's important. It was in an email to me. It said, "If everyone could just acknowledge our institution," meaning North Carolina UNC organizations, units, etc., "if we could acknowledge the ugliness and not take it so personal, we can move forward. I believe that even with our ugliness we are still loving, beautiful and caring people with encouraging potential to do great things. There just has to be a collective agreement that we want a better outcome for everyone and that outcome does not mean another person or group has to lose. That's where fear kicks in." That was important and it was written to me by you. I think that probably is one of the best summations of what the collective goal really is, so I want to thank you for that. It meant a lot to me.

Dr. D. Stroman: You're welcome.

R: Deborah, thank you very much. We really appreciate you taking the time.

[Applause.]



A. Gardner: Our next speaker is Professor Eric Muller. Am I pronouncing that correctly? Unfortunately we also didn't have a chance to meet prior to this. Eric is the Governor of Dan K. Moore Distinguished Professor in Jurisprudence and Ethics. He is published extensively on the internment of Japanese Americans during World War II. He's won numerous teaching awards at the law school. And he now serves as the Director for Faculty Excellence, one of the centers, that thank goodness, the Board of Governors showed their wisdom to leave you alone. He's also heading up the study of Ruffin Hall. Perhaps you can share something about that in your comments. Professor Muller.

E. Muller: Thank you very much. I wanted to start as others have done by thanking you for the opportunity to speak to you this afternoon about this important issue. I appreciate your having mentioned that in my scholarship, I focus a great deal on how we think about and how we remember the wrongs of prior generations. I focus chiefly on the mass imprisonment of Japanese Americans during World War II, which is more of a concern out on the West Coast, often than it is here. But as you've noted, I've also written a fair amount about how we should think about Thomas Ruffin, the North Carolina Judge, slave owner, slave trader and author of the most virulent defense of slavery in a judicial opinion that probably ever appeared in any state law report in the antebellum period. And by the way, someone for whom another building is named on our campus. I want to suggest two things to you this afternoon. One, that we must do something to strip the honor from William Saunders that his grandchildren's generation conferred on him in 1922 by naming a building after him. And two, that the best way for us as a leading research university to do that, is not to remove Saunders' name but to make Saunders Hall into a site that teaches future generations the disturbing lesson that Carolina was built, not just on the excellence of a William Friday but on the ugliness of a William Saunders. So first, we must do something to Saunders Hall. We often hear it said about historical figures like William Saunders or Thomas Ruffin for that matter, that they were men of their generation and that it would be unfair to judge their deeds and their commitments from our vantage point today. To my way of thinking,



this argument misses two key points. For one thing, generations are not moral monoliths. Even within generations, there are those who distinguish themselves by bending the arc of history towards justice and those who distinguish themselves by bending it away from justice. We know that this is true in our own generation, right? We know that there is a rich range of ethical behavior and unethical behavior in our own generation. So, why would it not be true of a past generation? It means very little to say that William Saunders was a man of his generation. What's meaningful is what kind of a man of his generation he was and on that I think the evidence is clear. For a second thing, we in our generation have to remember that the naming of Saunders Hall was a retrospective honor conferred by members of our university community who were themselves two generations removed from Saunders himself. The generation of the 1920s, chose to use this building to celebrate not Saunders' commitment to white supremacy, but their own in the 1920s. So, why should our generation give that generation the last word on the subject. Now second, by simply renaming Saunders Hall, we might do a brief service to our own generation but it would soon be forgotten and we would squander the chance to educate ourselves and our children and our grandchildren about aspects of Carolina's history that many would rather forget. Saunders Hall could become a unique site on this campus. A place that surfaces the racism of those who defined and refined the mission of this university after the Civil War and a place that reminds us of how tenaciously, this institution still clung to white supremacy more than 50 years later. How would we alter the exterior and interior of Saunders Hall to accomplish this? I'm not an expert in design and in interpretation. But I have worked with experts in design and interpretation on the building of a museum at the site of one of the Japanese American internment camps. And I know that there are professionals out there who could propose dozens of creative ways to use the walls and the spaces of Saunders Hall to tell a story about Carolina's history that visitors would not just notice but that they would be forced in a sense to confront. Something more engaging and more interactive than a plaque by the door. This references of course this discussion about curation, which Jim Leloudis and others have already, I think very articulately



expressed. We've talked about lectures and presentations and conversation and what I'm adding to the conversation, I hope, is an insistence that we use also, the power of place and the power of that space to work against the instinct to cabin evil and injustice to the past. So, my argument is not to remove the name of William Saunders but to turn the building named for him into a site of provocation. A provocation to remember the ugliness and not just the excellence in Carolina's history. A provocation to reflect on how the advancement of our beloved institution was often entangled with human suffering. And a provocation to each successive generation, our own and future ones, to ask itself or ourselves the uncomfortable question of who among us deserves celebration and who does not. Thank you very much for your time. I appreciate it.

[Applause]

A. Gardner: Art [Inaudible], so we got to ask you a question now.

R: Actually, I think he answered my question so I appreciate that.

E. Muller: Thank you.

R: Thanks very much.

Thank you very much.

A. Gardner: The next speaker is a unique speaker here and he is a UNC alum. His name is Arch Allen. He is a retired attorney from Raleigh if I am correct? Isn't that right? He is currently the Chairman of the Board of the Pope Center for Higher Education. And importantly, Arch is a former trustee here at Chapel Hill and has been dedicated to this place for a long a time. Welcome, Arch.

A. Allen: Thank you for inviting me to speak. I speak personally and not for any organization and I'll just address the Saunders Hall issue. I know you have a couple of other issues on your agenda as well. I support removing his name from the building. I realize reasonable people can differ and you've heard a lot of articulation. I wrote



Chairman Gardner a letter last year setting forth my rationale. Real simply, it's that the Ku Klux Klan was a terrorist organization, not just racially motivated. It was a politically motivated organization as well. Not as erudite as some of the other speakers but in my opinion, murder was a crime in the 19th Century. We do not have to impose 21st Century attitudes on race, white supremacy and other matters to condemn murders that occurred in the 19th Century. The Ku Klux Klan murdered people, white and black —mainly Republicans who controlled the State after the elections of 1868. According to the histories I've read, much of the intimidation by murder and otherwise, by the Ku Klux Klan was politically motivated to suppress the vote in 1870 when the other party took control. I mean, it is really about that simple for me but you can make it as elaborate as you want and I commend you for the great process you're going through and for the history, the historical research you've done. And from what I've read, you've got it right on Saunders and the era. Dr. Clay, anticipating your question, I more recently than my earlier letter wrote Alston Gardner on the issue for whom the building should be renamed and I submitted the name of Governor William W. Holden who was the Governor elected in 1868 and who was impeached for his efforts to suppress the Ku Klux Klan violence that occurred in 1870. In my opinion, Holden would be the perfect antidote to the Ku Klux Klan violence and to the...in my opinion, mistaken naming of the building for Saunders in 1922. I think it is unquestioned that his impeachment was as a result of his efforts to suppress the Ku Klux Klan violence. He was vilified for many decades and I won't get into all that history. Jim's touched on some of it but he's been vindicated by modern historians. I mentioned his two biographies in the letter I sent Alston Gardner. And the North Carolina Senate in 19- ...in 2011, voted unanimously to pardon Holden posthumously, obviously, in a symbolic move. That's about what I have to say. I'll be a little briefer than some of the others, You've had a long meeting but I am happy to try and answer any questions you may have.

R: My question has been answered.



- A. Allen:** I had one thing about Holden I left out, I just dwelled on the Ku Klux Klan issue. He also delivered the commencement address at the university in 1869, before his impeachment obviously. In his commencement address, he spoke of the people's university and it was Holden, not Charles Kuralt, who originated that phrase. And he also publicly in his address opposed a recommendation from the trustees to create a new separate school for the newly emancipated black citizens of North Carolina and he spoke of their being *one* university, The University of North Carolina for blacks and whites. So Holden advocated admission of blacks to the university about a century before the courts ordered the admission. So thank you for letting me add that.
- A. Gardner:** I appreciate you coming over from Raleigh and thank you for your service as a trustee.
- A. Allen:** Thank you very much. Thank you for having me.
- [Applause]
- A. Gardner:** Our final speaker on the agenda is Sam Fulwood who is also an alumnus of the university. He is a Senior Fellow at the Center for American Progress. Prior to working at CAP, he was a journalist. He worked at the Cleveland Plain Dealer, The LA Times, The Atlanta Journal Constitution and the Baltimore Sun and I think the Charlotte Observer. Sam, am I...did I get that right? The Charlotte Observer? He's a frequent speaker on college campuses about national politics and race relations. He's an adjunct professor of journalism at Howard University. He serves on the Board of Visitors for the School of Journalism. So Sam, I was gonna say you get the last word but Cynthia gets the last word. I know that's how that really works.
- S. Fulwood:** Good afternoon. I want to begin my brief remarks with several notes of appreciation. First and foremost, my thanks go to Vice Chairman Alston Gardner who extended this invitation for me to speak before the University's Board of Trustees. Alston is my friend and as such, he knows well my love of this university and all that it



represents to my native state and to our nation. Thank you, Alston, for this opportunity to share my thoughts. I also want to say thank you to the Board of Trustees for taking this matter so seriously. I know that you didn't have to do so. As someone who has made his career out of talking to, writing to and sometimes to preaching to the unconverted on matters of race in America, I know that this is risky business and it is not for the weak-kneed or the thin-skinned to grapple with these matters. So fraught with peril, the scratchy subject of race is often described as a third rail issue, best left ignored or overlooked to avoid public detonation. I'm appreciative that my alma mater is going into this with eyes wide open and minds open and perhaps wearing black jackets. And finally, I want to express my sincere and heartfelt admiration for the students of the university for their activism in pressing the issue of race, history and community on our beloved campus. I am not so old as to have forgotten what it's like to be a student — a black male student — on this predominantly white campus. It wasn't always easy. I vividly remember during my freshman year here at Carolina that black student activists marched to Memorial Hall, circled the seated audience and shouted to drown out a lecture by the Klansman David Duke. What students are doing here today, I believe, is in the highest tradition and totally in keeping with the purpose of public institutions. They are speaking up and issuing challenges on matters they deem important to them, even when their voices make others uncomfortable. I applaud Omololu Babatunde for speaking here today and for her strong advocacy on behalf of the real Silent Sam Coalition. Let there be no doubt, that all of us came here today because we love the University of North Carolina. The question that grabs our immediate attention is rooted in a sense of caring concern about what is best for those of us who do indeed love this place. Love, real love isn't always easy to embrace. The bitter realities and inconvenient truths about subjects of our affection can lead us to wish away things that make us uncomfortable or unhappy. Such is the case, I fear, with the controversy surrounding Saunders Hall. The passions of youth and the desires of contemporary student activists to make this university a pristine place collide head first into ugly historical facts. We know by history, that the university honored William Saunders with a



namesake building. He was a graduate of our university. He was a Confederate Colonel in the Civil War. He was a notable state political leader and he sat on this very same Board of Trustees. Well, not this one but the Board of Trustees. And we know with a high probability of accuracy that he was a leading figure in the establishment of the Ku Klux Klan in the Tar Heel State. We know by logic and reason that Saunders was a man embedded into the culture and the morays of his time and his place. What's more we know that that time and that place denied humanity upon people who look like me or bear my ancestry. That time and place is no more, yet the building bearing Saunders name stands today. I strongly believe that it should continue to bear his name with the prominent explanation and historical contextualization as a single history lesson for future generations. Indeed, I am convinced the scraping his name from the façade of the building would represent a cowardly step towards erasure of our shared history. As unsettling and painful as that history might be, we owe it to future generations to understand why that building bears Saunders' name. In 1922, when the University named the history building for Saunders, his reputation was quite different than it is today. By present day standards, he isn't nearly as heroic as he was nearly a century ago. Saunders Hall stands a reminder of what once was valued on this campus. If viewed in the context of evolving attitudes on race and citizenship, on place and belonging, the history embodied by Saunders Hall stands less as an honor to a reputed Klansman and more of a marker of what we have overcome. That's how I viewed that building and others like it when I was a student here in the 1970s. Context is key. Left alone to stand without meaning and understanding, Saunders Hall makes a lie of the past and mocks current and future generations of Carolina students. I do not favor allowing the building to stand as it presently does. Rather there are lessons to be taught in and about Saunders Hall. Indeed, those lessons extend beyond the red brick walls of the building. Saunders Hall isn't only a building on our beloved campus with a sketchy heritage. Shall we mount a campaign to scrub all meaning and history from them as well? I think not. I have read that the mantra of the student movement to change the building's name is "kicking out the KKK." Some students have told me that offends



them to walk past monuments such as Silent Sam or to sit in classes in a building they associate with heroes of the Confederacy. I know how they feel and I remember having similar discussions with my black friends on campus nearly 40 years ago. Some things seem never to change. But a great many things have occurred since I was a student. The campus is far more diverse and welcoming to students of color than it was back in my day and I say this as someone — a black male student — who loved being on campus from my first day to my reluctant to leave graduation day. Indeed, the march of history proves that only change is constant. For the bulk of my professional life, I was a newspaper journalist, trained in our own school of journalism to seek and speak truth to power with accuracy and precision. It was a mission I embraced because I recognized that history had been unkind to people I most identified with, like my college educated grandparents, and parents. When I entered Carolina in 1974, I was well aware that I was doing something that my ancestors couldn't have done, I knew enough of my personal and state history to know that black youth of my parents' generation, if they were to attend college in North Carolina, were compelled to enroll in segregated, separate and very unequal institutions. This is, relatively speaking, recent history. The buildings on this campus spoke to me, affirming that my place was to be among them and to excel for those who had the ability but were denied the opportunity. I learned from practicing journalism what some call the "rough draft of history," that knowledge provides a baseline for sound public policy and civic decision making. My work today is an extension of that where I study the intersections of race on public policies. Over the course of my career as a journalist and policy analyst, I come to realize that so many mistakes made by politicians and community leaders rest largely upon their ignorance of what came before them. Noted sociologist Joe Feagin, a social theorist who has done remarkable research and scholarship on race and gender issues once told me, that it is impossible to have an intelligent discussion with the average American about racial issues because so few of them are well enough versed in the history of race relations. He said, and I quote, "You need to have three hours of history just to have a decent ten minute conversation." "Little wonder we are," as



Attorney General Eric Holder famously said, “A nation of cowards for our unwillingness to talk about race.” Sometimes as I go about my work, I despair because it seems to be a vast effort to sanitize our history, to remove the rough parts and gloss over the low points because...well, I suspect because it makes us feel better about a history that we seem powerless to change. Perhaps we can’t change the past, but the alternative is to make new history that stands alongside triumphantly with the misdeeds and the errors of the past. As we sit here today, there are politicians across the country seeking to purge the history books being used to teach high school students out of a misguided sense of correcting well-established facts. It is a lamentable trend that’s sweeping across the more regressive communities. In Colorado, for example, some legislators are demeaning that AP History courses become more patriotic and that teachers only teach lessons “depicting American heritage” in a positive light. And effectively to ban any material that could lead to dissent. Even here in North Carolina, there are politicians seeking to persuade the College board, a private organization that certifies high school AP courses for college credit to exclude any material with which those politicians deem to have ideological bias including evolution or black history. Renaming Saunders Hall falls in line with such thinking and I urge you to resist that temptation. Find ways to augment our knowledge but never subtract from it. Our history must be taught fully and accurately to all who crossed the portals on this campus. All who graduate from their studies here, must remember it and pass it along to those who follow. No one should be allowed to hide from or make it easy for others to forget the realities of that history. I’ll take your questions.

[Applause.]

S. Fulwood: I don’t have an answer for you. (Laughs). I’m impressed by something that I did hear one of the earlier speakers say. The idea of turning Saunders Hall into some sort of museum-like quality that really emphasizes the history; good, bad and ugly, appeals to me. And I think that that would be a next step, a way to approach this.

R: Thank you Sam.



Sam, thanks for driving down from DC. I really appreciate you being here. I hope your students you brought with you got something out of this. Thanks very much.

[Applause.]

[Side talk.]

A. Gardner: So, where do we go from here? You've heard eight opinions by some very learned scholars and passionate students. Some wise alumni. We now want to hear from the rest of the community. So, I think as of 4:00 this afternoon, there is now a new tab on the Board of Trustees website, which is just off the main page that will allow you to submit your comments. It will be open for one month so let me tell you right up front, this is not Yik Yak. You've got to give us your name and affiliation with the University. We won't take your comment without it. If you have a proposal for us and we've heard several good ones today from our speakers. We'd like to hear more. If you've got some ideas for addressing this issue, give us the rationale for your ideas, the relevant facts and then how we might implement those ideas. We're excited about creating a solution that teaches our students our history and making our students feel welcome and belonging at University of North Carolina. Keep in mind that everything you submit will be subject to North Carolina Open Records Laws and will be published and all emails sent to members of the Board of Trustees are also I will remind you, are also subject to North Carolina Open Records Laws. I've received a number of them today. They are mostly very thoughtful just to let you know that. Thank you very much. Trustee Duckett?

C. Duckett: Mr. Chairman I move that the University Affairs Committee go into closed session pursuant of North Carolina General Statutes Section 143-318 at 11-A1 to [prevent the disclosure of privileged information under Section 126-22 and the following and also pursuant to Section 143-318 11, 5 and 6.

[End of audio.]

The University of North Carolina at Chapel Hill

EXECUTIVE SUMMARY

Board of Trustees

March 26, 2015

ATTACHMENT R

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	Di Wu	Dentistry	N/A	Assistant Professor	N/A	4/1/2015	\$110,000.00
Addition of Joint Appointment without Tenure								
0								
Promotion to Full Professor								
1	Academic Affairs	Samuel Amago	Romance Studies	Associate Professor	Professor	N/A	7/1/2015	\$92,500.00
2	Academic Affairs	Barbara Ambros	Religious Studies	Associate Professor	Professor	N/A	7/1/2015	\$81,356.00
3	Academic Affairs	Janice Bardsley	Asian Studies	Associate Professor	Professor	N/A	7/1/2015	\$86,305.00
4	Academic Affairs	Drew Coleman	Geological Sciences	Associate Professor	Professor	N/A	7/1/2015	\$101,888.00
5	Academic Affairs	Marcie Ferris	American Studies	Associate Professor	Professor	N/A	7/1/2015	\$79,550.00
6	Academic Affairs	Jordynn Jack	English & Comparative Literature	Associate Professor	Professor	N/A	7/1/2015	\$85,400.00
7	Academic Affairs	Sharon James	Classics	Associate Professor	Professor	N/A	7/1/2015	\$88,127.00
8	Academic Affairs	Torin Monahan	Communication Studies	Associate Professor	Professor	N/A	7/1/2015	\$92,750.00
9	Academic Affairs	Thomas Oatley	Political Science	Associate Professor	Professor	N/A	7/1/2015	\$84,965.00
10	Academic Affairs	Alberto Scotti	Marine Sciences	Associate Professor	Professor	N/A	7/1/2015	\$89,224.00
11	Academic Affairs	Jessica Wolfe	English & Comparative Literature	Associate Professor	Professor	N/A	7/1/2015	\$81,731.00
12	Health Affairs	David Zajac	Dental Ecology	Associate Professor	Professor	N/A	3/27/2015	\$90,325.00
Reappointments to the same Rank								
1	Academic Affairs	Bradley Hendricks	Kenan Flagler	Instructor w/Special Provisions	Instructor w/Special Provisions	N/A	7/1/2015	\$205,000.00
Designation/Reappointments to Departmental Chair								
0								
Designation/Reappointments to Distinguished Professorship								
1	Academic Affairs	Ted Zoller	Kenan-Flagler Business School	Clinical Associate Professor	T. W. Lewis Distinguished Clinical Scholar	N/A	4/1/2015	\$230,493.00
Actions Conferring Tenure								
Promotion Conferring Tenure								
1	Academic Affairs	Renee Alexander-Craft	Communication Studies	Assistant Professor	Associate Professor	Promotion based on research, teaching, and service	7/1/2015	\$71,142.00
2	Health Affairs	Brian Boyd	Allied Health Sciences	Assistant Professor	Associate Professor	Promotion based on excellence in research	3/27/2015	\$110,000.00
3	Academic Affairs	Yong Cai	Sociology	Assistant Professor	Associate Professor	Promotion based on teaching effectiveness, scholarly performance, and service record	7/1/2015	\$81,981.00
4	Academic Affairs	Jean Dennison	Anthropology	Assistant Professor	Associate Professor	Promotion based on teaching accomplishments and research	7/1/2015	\$80,500.00

The University of North Carolina at Chapel Hill

EXECUTIVE SUMMARY

Board of Trustees

March 26, 2015

No.	College/Division	Name	Dept./School	Current Rank	New Rank	Tenure Request Reason	Effective Date	Salary
5	Academic Affairs	Christine Durrance	Public Policy	Assistant Professor	Associate Professor	Promotion based on effective teaching; actively engaged contributor in professional service to the field; highly productive and nationally respected scholar in subfields	7/1/2015	\$100,637.00
6	Health Affairs	Charles Ebert	Otolaryngology/HNS	Assistant Professor	Associate Professor	Promotion based on excellence in clinical scholarship	4/1/2015	\$274,527.00
7	Academic Affairs	Deborah Gerhardt	Law	Assistant Professor	Associate Professor	Promotion based on scholarship, teaching, research, and service	7/1/2015	\$127,026.00
8	Academic Affairs	Fabian Heitsch	Physics & Astronomy	Assistant Professor	Associate Professor	Promotion based on research, service, and teaching	7/1/2015	\$85,429.00
9	Academic Affairs	Nikhil Kaza	City & Regional Planning	Assistant Professor	Associate Professor	Promotion based on scholarly work, productive and creative research, effective teaching, and service	7/1/2015	\$75,400.00
10	Academic Affairs	Miguel La Serna	History	Assistant Professor	Associate Professor	Promotion based on scholarship, teaching, and service	7/1/2015	\$79,354.00
11	Academic Affairs	Cecilia Martinez-Gallardo	Political Science	Assistant Professor	Associate Professor	Promotion based on research, teaching, and service	7/1/2015	\$79,465.00
12	Academic Affairs	Benjamin Meier	Public Policy	Assistant Professor	Associate Professor	Promotion based on effective teaching; actively engaged contributor in professional service to the field; highly productive and nationally respected scholar	7/1/2015	\$84,485.00
13	Academic Affairs	Laura Moore	Geological Sciences	Assistant Professor	Associate Professor	Promotion based on excellence in teaching and research and collaborations	7/1/2015	\$94,120.00
14	Academic Affairs	David Nicewicz	Chemistry	Assistant Professor	Associate Professor	Promotion based on teaching, research, and service	7/1/2015	\$83,524.00
15	Health Affairs	Lisa Rahangdale	OB-GYN	Assistant Professor	Associate Professor	Promotion based on excellence in clinical scholarship	7/1/2015	\$185,777.00
16	Academic Affairs	Kathryn Sabbeth	Law	Assistant Professor	Associate Professor	Promotion based on teaching, scholarship, and service	7/1/2015	\$127,026.00
17	Academic Affairs	Sara Smith	Geography	Assistant Professor	Associate Professor	Promotion based on national impact, exceptional publication quality, and strong research	7/1/2015	\$71,880.00
18	Academic Affairs	Gabriela Valdivia	Geography	Assistant Professor	Associate Professor	Promotion based on national impact, exceptional publication quality, and strong research	7/1/2015	\$72,948.00
19	Academic Affairs	Benjamin Waterhouse	History	Assistant Professor	Associate Professor	Promotion based on research, teaching, and service	7/1/2015	\$77,012.00
New Appointments Conferring Tenure								
0								
Addition of Joint Appointment Conferring Tenure								
0								
Corrections								
1	Academic Affairs	Jeff Spinner- Halev (Correction to last name)	Political Science	Distinguished Professor	Interim Department Chair		1/1/2015	

The University of North Carolina at Chapel Hill

EXECUTIVE SUMMARY

Board of Trustees

July 14, 2014

No.	College/Division	Name	Department/School	Rank	Reason	Requested Increase Amount **	Percent of Increase **	June 30 Salary	Current Salary	New Salary	Effective Date
Compensation Actions						** Based on cumulative increase(s) to 6/30 salary					
1	Health Affairs	Robert Blouin	Pharmacy	Professor/Dean	Increase due to secondary administrative appointment as Director of the Eshelman Institute for Innovation	\$50,817	17.26%	\$294,345	\$303,425	\$345,162	4/1/2015
2	Health Affairs	Tamara Dawkins	Medicine	Assistant Director	Increase due to job change from an EPA Non-Faculty role, Assistant Director, to faculty role as Clinical Assistant Professor	\$7,505	12.61%	\$59,495	\$60,495	\$67,000	4/1/2015
3	Academic Affairs	Jeffrey Greene	Education	Associate Professor	Increase due to retention; Dr. Greene is being actively recruited by the University of Southern California	\$16,775	19.97%	\$84,004	\$92,299	\$100,779	4/1/2015
4	Health Affairs	Carolyn Halpern	Public Health	Professor/Interim Chair	Increase due to new role as Department Chair	\$60,124	36.47%	\$164,876	\$192,266	\$225,000	4/1/2015
5	Health Affairs	Lorne Koroluk	Dentistry	Associate Professor	Increase due to new role as Department Chair	\$19,658	10.90%	\$180,342	\$190,000	\$200,000	4/1/2015
6	Academic Affairs	James Leloudis	Arts and Sciences	Professor/Associate Dean	Increase due to Annual Raise Process; this was missed in submission to APO and now being processed out-of-cycle	\$15,000	12.50%	\$120,034	\$125,034	\$135,034	12/1/2014
7	Health Affairs	Ievgen Muratov	Pharmacy	Research Assistant Professor	Increase due to secondary administrative appointment as Associate Director of the Laboratory of Molecular Modelling	\$6,000	10.39%	\$57,751	\$58,751	\$63,751	4/1/2015
8	Health Affairs	Natalia Surzenko	Public Health	Research Associate	Increase due to promotion from EPA Non-Faculty role, Research Associate, to faculty role as Research Assistant Professor	\$11,590	19.00%	\$61,000	\$67,039	\$72,590	4/1/2015
9	Health Affairs	Lisa Wruck	Public Health	Clinical Assistant Professor	Increase due to promotion from Clinical Assistant to Clinical Associate Professor	\$15,433	12.20%	\$126,500	\$129,030	\$141,933	4/1/2015
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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	N/A

The University of North Carolina at Chapel Hill - EXECUTIVE SUMMARY (EPA Non-Faculty)
Board of Trustees - Meeting Date - 03/26/2015

Compensation Actions													
No.	Name (Last, First)	College/Division	Department/School	Rank/Title	Reason	Justification	Requested Increase \$\$	Requested Increase %	June 30 Salary	Current Salary	Proposed Salary	Effective Date	
1	Cho, Joonhyung	University Development	University Development	Industry Relations Director	1b - External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs to a different position.	This is a promotion resulting from an open, competitive, external recruitment where there were 23 applicants, and 4 candidates were interviewed. In the current position (Technology Development Associate), the duties include managing intellectual property portfolios, patenting, technology marketing, and licensing activity for university-developed innovations; and leading university initiatives to develop, sustain, and maximize corporate collaborations and strategic alliances. In the new role (Industry Relations Director), the duties will include creating, planning, developing, and facilitating productive and growing relationships between UNC-Chapel Hill and corporate and industry organizations within the U.S. and internationally; developing and managing a collection of prospective partner companies; and responsibility for executing partnerships that increase the total size of the partnered-program portfolio. An increase was granted in July 2014 due to the ARP. There are no comparable positions within the work unit. The requested salary results in a market index of 69%. The employee meets the education and experience requirements for this classification with a Master's Degree in Inorganic Chemistry and 7 years of related experience.	25,000	33.33	75000.00	79,000	100,000	3/1/2015	
2	Kant, Andrew	School of Medicine	TraCS Institute	Director	2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job.	This is a salary adjustment related to a permanent increase in job duties or responsibilities. The current duties include serving as Assistant Director for the Kickstart venture development program at UNC. The new additional duties will include serving as program manager for the 4D Strategic Initiative, supporting the translational mission of the NC TraCS Institute by working with faculty investigators to identify, foster, and enable technology commercialization activities for the Drugs, Devices, and Diagnostics (4D) Strategic Initiative. An increase was granted in December 2014 due to the ARP. The requested salary is commensurate with other similarly situated employees, results in a market index of 89%, and creates no equity issues. The employee meets the education and experience requirements for this classification with a Master's Degree in Toxicology and 7 years of related experience.	6,732	11.84	56868.00	57,868	63,600	3/1/2015	

The University of North Carolina at Chapel Hill - EXECUTIVE SUMMARY (EPA Non-Faculty)

Board of Trustees - Meeting Date - 03/26/2015

3	McCall, Crystal	VC Research	SHEPS Center	Assistant Director, Research Admin	2a - Increase in job duties or responsibilities; includes reallocation or reclassification of job.	This is a salary adjustment related to a permanent increase in job duties or responsibilities. The current duties include preparing and packaging of proposals, budgets, and written reports; reviewing and interpreting funding guidelines for a variety of federal and state agencies, foundations, corporate businesses, and others; assisting with the fulfillment of administrative and reporting requirements to various funding agencies; contributing to proposal and progress report development for future funding and continued research activities; and supervising staff in proposal preparation process. The new additional duties will include providing oversight, supervision of both pre- and post-award activities, and transactions for the Sheps Center; participating in protocol development, policies, and procedures, pre-audit procedures, and protocol adherence; assisting with providing technical assistance to collaborating institutions, organizations, and agencies; assisting in the preparation of materials and findings for dissemination; participating in strategic decision making and constituency communications activities; and contributing to proposal and progress report development for future funding and continued research activities. An increase was granted in December 2014 due to the ARP. There are no comparable positions within the work unit. The employee meets the education and experience requirements for this classification with a Bachelor's Degree in Accounting and 10 years of related experience.	9,599	13.44	71401	73,543	81,000	3/1/2015
4	Raker, Kelli	Student Affairs	Student Wellness	Student Health Professional	1a - Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs to a different position.	This promotion results from an approved waiver of recruitment. In the current position (Sexual Violence Program Coordinator), the duties include recruiting, training, and supervising student peer educators to implement primary sexual violence prevention course curricula with identified populations within the UNC community; developing and implementing peer education program curricula based on process and outcome evaluations; and directing and leading sexual violence prevention educational programs that serve to educate students, recruit new students, and train peer educators. In the new role (Interpersonal Violence Program Coordinator), the duties will include coordinating the totality of Interpersonal Violence Prevention, including the grants management, budget management, supervision, and administrative components; providing prevention efforts including culturally relevant outreach education; implementing environmental management strategies and policy consultation regarding a broad range topics relating to violence; promoting healthy relationships, conflict management, hazing prevention, and sexual assault/violence prevention. An increase was granted in December 2014 due to the ARP. There are no comparable positions within the work unit. The employee meets the education and experience requirements for this classification with a Master's Degree in Higher Education and Student Affairs and 7 years of related experience.	7,527	18.83	39973	44,950	47,500	3/1/2015

The University of North Carolina at Chapel Hill - EXECUTIVE SUMMARY (EPA Non-Faculty)

Board of Trustees - Meeting Date - 03/26/2015

5	Schaeffer	Rebecca	University Counsel	University Counsel	4 - Career progression adjustments for demonstrated employee or position competencies within the same/current level.	This is a salary adjustment related to a permanent increase in job duties or responsibilities. The current duties include advising and counseling campus clients (including UNC School of Medicine) regarding compliance. The new additional duties will include coordinating and working closely with outside counsel on compliance audits and creating new policies and procedures; evaluating and advising on research agreements in the U.S. and abroad; and advising and counseling regarding policies and procedures governing emergency health situations. An increase was granted in July 2014 due to the ARP. The requested salary is commensurate with other similarly situated employees, results in a market index of 83%, and creates no equity issues. The employee meets the education and experience requirements for this classification with a J.D. and 9 years of related experience.	26,670	25.81	103330	124,802	130,000	3/1/2015
6	Shelton, Michael	School of Public Health	Advancement	Development Officer	1b - External Competitive Event - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs to a different position.	This is a promotion resulting from an open, competitive, external recruitment where there were 12 applicants, and 3 candidates were interviewed. In the current position (Development Officer), the duties include cultivating, soliciting, and stewardship of annual, planned, and major gift prospects and donors up to \$10,000. In the new role (Director of Development), the duties will include cultivating and soliciting gifts in the \$25,000- \$5,000,000 range from alumni, friends, faculty, staff, and other sources; managing a portfolio of at least 125 donors and prospective donors; and closing a minimum of 25 Rosenau Society gifts each year. An increase was granted in December 2014 due to the ARP. The requested salary is commensurate with other similarly situated employees, results in a market index of 78%, and creates no equity issues. The employee meets the education and experience requirements for this classification with a Bachelor's Degree in Biology and 3 years and 3 months of related experience.	15,800	26.69	59200	60,400	75,000	3/1/2015
7	Wernoski, Richard	School of Pharmacy	School of Pharmacy Dean's Office	Executive Vice Dean	1a - Internal Competitive Event - Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs to a different position.	This promotion results from an approved waiver of recruitment. In the current position (Executive Associate Dean for Administration and Chief Financial Officer), the duties include advising the Dean on matters with strategic financial implications and coordinating strategic planning and evaluation of growth opportunities; ensuring that efficient and accurate financial forecasting, planning, and support systems are in place; and providing leadership and direct supervision of the School's Business Office (Finance, HR, IT and Facilities). In the new role (Executive Vice Dean (Deputy Director)), the duties will include providing leadership and coordination for the activities of the Office of the Dean; representing the Dean in various administrative matters and responding on behalf of the Dean to internal and external concerns and constituents; overseeing a team of an Associate Dean, Assistant Dean, Executive Directors, and Director; serving as Chief Financial Officer for the Eshelman Institute for Innovation; overseeing the appointment, reappointment, promotion, and tenure process; negotiating, implementing, and managing all contracts, Memorandums of Understanding, and Memorandums of Agreement; and providing oversight of finance, operation, and administrative activities. An increase was granted in December 2014 due to the ARP. There are no comparable positions within the work unit. The employee meets the education and experience requirements for this classification with a Master's Degree in Public Administration and 20 years of related experience.	-195,185	-100.00	195185	218,992		3/1/2015