

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
BOARD OF TRUSTEES
UNIVERSITY AFFAIRS COMMITTEE
Wednesday- November 20, 2013
2:00- 4:00 p.m.
Carolina Inn- Chancellor's Ballroom West

OPEN SESSION

FOR INFORMATION ONLY

(No formal action is requested at this time)

1. Remarks from Vice Chancellor for Student Affairs- Winston Crisp
2. Remarks from Chair of the Faculty- Jan Boxill
3. Remarks from Employee Forum Chair- Charles Streeter
4. Remarks from Graduate and Professional Student Federation President-
Kiran Bhardwaj
5. Remarks from the Executive Vice Chancellor and Provost - James Dean Jr..
6. Tuition Price Study- Stephen Farmer, Vice Provost for Enrollment and
Undergraduate Admissions
6. UNC-Chapel Hill Annual Management Flexibility Survey/Report to UNC (Attachment A)
General Administration
Dwayne Pinkney, Vice Provost, Finance & Academic Planning
Matt Brody, Associate Vice Chancellor for Human Resources

Committee Members

J. Alston Gardner, Chair
Phillip L. Clay
Haywood D. Cochrane, Jr.
Charles Duckett
Kelly Matthews Hopkins
Dwight Stone

Administrative Liaison:

Jim Dean, Executive Vice Chancellor and Provost

UNC Management Flexibility Survey

2012-2013



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

UNC Management Flexibility Survey, 2012-2013

Introduction

Your campus has a management flexibility agreement to appoint and fix compensation. Pursuant to the procedures set forth by the University of North Carolina Board of Governors in the Management Flexibility Policy 600.3.4, §C. (3)(b), all UNC institutions granted management flexibility shall provide an annual summary to the Board of Governors regarding personnel actions. This report covers the Fiscal Year July 1, 2012 - June 30, 2013.

One of the requirements is for your campus' Board of Trustees to provide an annual summary to the UNC Board of Governors on personnel actions covered by the agreement. This survey serves as the tool by which you will report your data to UNC General Administration.

The data elements required in this survey correspond with the elements outlined in the Management Flexibility memo sent by Suzanne Ortega and William Fleming on August 2, 2013.

The deadline for completion of this survey is December 6, 2013.

The survey is automatically saved as long as cookies have not been disabled. **You may enter and exit the survey at any time by using the emailed URL 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.** If you do not do this, your information will not be saved. Please remember to hit the NEXT arrow even if you are not planning on answering additional questions at that particular time.

Upon completion of this survey, you will be able to print responses for your records.

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

Eric Fotheringham
UNC General Administration
919.843.6967
emfotheringham@northcarolina.edu

Campus Information

Please enter information for the campus contact person regarding the information entered in the survey should follow-up discussion be needed.

Name	Matthew S. Brody
Working Title	Associate Vice Chacellor for Human Resources
Phone Number	919-962-2897
Email Address	matt_brody@unc.edu

Please enter the date that Management Flexibility was granted (mm/dd/yyyy).

05/01/2002

EPA Appointments

The following names are those identified as EPA employees with SAAO-1 status as of June 30, 2013.

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).

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, 2012" and "Salary as of June 30, 2013."
3. NEW EPA appointments should only have salaries in the column titled "Salary as of June 30, 2013."
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, 2012	Salary as of June 30, 2013	Notes
BLOUIN, ROBERT A	Dean, School of	7/1/2003	261,500.00	294,345.00	
BOGER, JOHN C	Dean, School of	7/1/1990	285,200.00	328,756.00	
CARNEY, BRUCE W	EXECUTIVE VIC	8/1/1980	350,000.00	350,000.00	
CONRAD, LARRY D	Vice Chancellor	2/1/2008	278,100.00		Term 02/15/13
CRISP, WINSTON B	Vice Chancellor	8/1/1992	236,000.00	243,080.00	
DEAN, JAMES W JR	Dean	1/1/1998	343,000.00	403,290.00	
ENTWISLE, BARBARA	Vice Chancellor	7/1/1985	300,000.00	329,000.00	
GIL, KAREN M	Dean, Arts & Sci	7/1/1995	240,000.00	292,000.00	
GRAY, KAROL KAIN	Vice Chancellor	12/1/2011	330,000.00	337,260.00	
GRUMBLES, JULIA SPRUNT	Vice Chancellor	10/1/2012		295,000.00	Hire 10/01/12
KING, SUSAN R	Dean, Journals	1/1/2012	251,900.00	251,900.00	
KUPEC, MATTHEW G	Vice Chancellor	3/30/1992	349,800.00		Term 09/09/12
MARCHIONINI, GARY J	Dean, School of	7/1/1998	220,000.00	246,600.00	
MATSON, STEVEN W	Dean, Graduate	7/1/1983	170,000.00	205,100.00	
MCDIARMID, GROVER WILLIAMSON	Dean, School of	12/31/2008	200,000.00	246,000.00	
MICHALAK, SARAH C	University Librar	9/20/2004	233,800.00	240,814.00	
RICHARDSON, BRENDA G	Vice Chancellor	8/1/2007	245,000.00	252,350.00	
RICHMAN, JACK M	Dean, Social Wc	10/1/1983	202,733.00	267,753.00	
RIMER, BARBARA K	Dean, School of	1/1/2003	290,800.00	324,524.00	
ROPER, WILLIAM L	Dean	3/15/2004	0	0	School of Med
SMITH, MICHAEL R	Dean, School of	7/1/1978	245,800.00	273,174.00	
STROHM, LESLIE C	Vice Chancellor	7/31/2003		325,000.00	

SWANSON, KRISTEN	Dean, School of	8/1/2009	230,000.00	279,200.00	
THORP, H HOLDEN	Chancellor	7/1/1993	420,000.00	432,600.00	
VAN HEUSEN, SARAH	Director, Research	1/1/2009	93,415.00	94,536.00	
WEINTRAUB, JANE	Dean, School of	7/1/2011	300,000.00	329,000.00	
YOPP, JAN J	Dean, Summer Session	8/1/1977	149,300.00	189,779.00	

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, 2012	Salary as of June 30, 2013
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					

Non-Salary Compensation

Did any of the NEW or CONTINUING EPA employees receive non-salary compensation? Please check Yes or No for each name below.

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

[illegible]

	✓	✓
	✓	✓
	✓	✓
	✓	✓
	✓	✓
	✓	✓
	✓	✓

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.

If more than four (4) types of non-salary compensation were provided, please send a full list to the survey administrator.

	Type of Non-Salary Compensation_1	Amount_1	Type of Non-Salary Compensation_2	Amount_2	Type of Non-Salary Compensation_3	Amount_3	Type of Non-Salary Compensation_4
CARNEY, BRUCE W	Car	1835.50					
CONRAD, LARRY D	Comp Tickets	1704.00					
CRISP, WINSTON B	Dues	25.80	Comp Tickets	1704.00			
DEAN, JAMES W JR	Comp Tickets	1470.00					
ENTWISLE, BARBARA	Dues	33.60	Comp Tickets	1200.00			
GIL, KAREN M	Comp Tickets	1704.00					
GRAY, KAROL KAIN	Car	5752.54	Comp Tickets	1704.00			
KUPEC, MATTHEW G	Car	2401.00	Comp Tickets	504.00			
MICHALAK, SARAH C	Comp Tickets	1470.00					
RICHARDSON, BRENDA G	Comp Tickets	1704.00					
STROHM, LESLIE C	Comp Tickets	1704.00					
THORP, H HOLDEN	Car	10,250.00					

Tenure Consideration

How many faculty were reviewed for tenure consideration during this period?

66

Tenure Granted

How many faculty were granted tenure during this period?

65

Faculty Hires

How many new faculty were hired with tenure during this period?

8

Equity Issues

Please prepare and upload a PDF document with a description of the most recent analysis of equity issues relevant to the employment of faculty and administrators.

Please name the uploaded file in the following manner: XXXX_equity.pdf where XXXX=your campus abbreviation.

UNC-CH_equity.pdf
183.9KB
application/pdf

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, 2012 - June 30, 2013 and remedial action taken in response to audit findings.

If your campus had no audit findings for July 1, 2012 - June 30, 2013, please upload a document affirming this.

Please name the uploaded file in the following manner: XXXX_audit.pdf where XXXX=your campus abbreviation.

UNC-CH_audit.pdf
222KB
application/pdf

Compensation Policies

Please prepare and upload a PDF document 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, 2012 and June 30, 2013.

Please name the uploaded file in the following manner: XXXX_compensation.pdf where XXXX=your campus abbreviation.

UNC-CH_compensation.pdf
1.9 MB
application/pdf

Recruitment and Promotion Policies

Please provide URL links to your campus policies and dates of the most recent revisions for the following items.

	URL Link	Date of Revision (mm/dd/yyyy)
Recruitment and Selection of Senior Academic and Administrative Officers (600.3.4 B.1)	<input type="text" value="http://equaloppo"/>	<input type="text"/>
Promotion and Tenure that complies with UNC Code and current federal law (600.3.4 B.1)	<input type="text" value="http://provostun"/>	<input type="text"/>

Promotion and Tenure Review

Please prepare and upload a PDF document with a copy of your campus schedule and process for periodic review of promotion and tenure policies. 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 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.

UNC-CH_promotion.pdf
108.8 KB
application/pdf

Salary Ranges - Administrators

Please prepare and upload a PDF document 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.

UNC-CH_salary_admin.pdf
180.8 KB
application/pdf

Salary Ranges - Tenured Faculty

Please prepare and upload a PDF document explaining the process for establishing salary ranges for tenured faculty within different disciplines. 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.

UNC-CH_salary_faculty.pdf
243.8KB
application/pdf

Please provide URL links to your campus policies and dates of the most recent revisions for the following items.

	URL Link	Date of Revision (mm/dd/yyyy)
Compensation of faculty and non-faculty EPA from non-state sources (600.3.4 B.5)	https://hr.unc.edu	<input type="text"/>
Any non-salary compensation of faculty and non-faculty EPA (600.3.4 B.6)	https://academic	<input type="text"/>

If your campus Board of Trustees delegates the authority granted pursuant to policy to the chancellor, please prepare and upload a PDF document 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.

UNC-CH_accountability.pdf
419.3KB
application/pdf

Please provide evidence of Board of Trustee approval (example: Board minutes) for all 2012-2013 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.

UNC-CH_BOTapproval.pdf
848.9KB
application/pdf

Has your Board of Trustees been made aware of the information submitted in this report in accordance with Management Flexibility Policy 600.34, §C. (3)(b)?

☒ Yes

☐ No

Thank you for taking the time to complete this survey. If all of your information is complete, please select SUBMIT below.

You will have an opportunity to print your responses to this survey on the next page.

Equity Issues

Survey Question

Please prepare and upload a PDF document with a description of the most recent analysis of equity issues relevant to the employment of faculty and administrators.



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

FACULTY SALARY EQUITY STUDY

2013 Follow-Up Report

Office of the Executive Vice Chancellor and Provost

2013 Follow-Up Report to the Faculty Salary Equity Study

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 Camey 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.

2012 FACULTY SALARY EQUITY TASK FORCE REPORT

Presented to Executive Vice Chancellor and Provost Bruce Carney

Executive Summary

The Faculty Salary Equity Task Force¹ 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 Hispanic, Native American, Other	Higher Lower
School of Medicine	74.1%	Male	Female	Lower
		White	African-American	Lower
			Asian Hispanic, Native American, Other	Lower Lower
Other Health Affairs	75.4%	Male	Female	Lower
		White	African-American	Higher
			Asian Hispanic, Native American, Other	Lower 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 60.2%	226 39.8%	456 80.3%	28 4.9%	67 11.8%	14 2.5%	3 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
*Includes African-American, Hispanic, and Native American.						

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 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
*Includes African-American, Hispanic, and Native American.						

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.

¹ Faculty Salary Equity Task Force members included: Laurie McNeil, Chair, College of Arts and Sciences; Ada Adinora, School of Medicine; 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.

EPA Non-Faculty Salary Equity Narrative for Management Flex Survey

UNC-Chapel Hill is in the midst of a significant transformation of its EPA non-faculty compensation program. This transformation began in 2012, when the campus partnered with Aon Hewitt, a leading outside compensation consulting firm, to assist in developing a new compensation framework. While salary ranges for all Tier I Senior Academic and Administrative Officer (SAAO) positions (e.g., Provost, Vice Chancellors, and Deans) are prescribed by UNC General Administration, UNC-Chapel Hill is implementing its own salary ranges under delegated management flexibility for SAAO Tier II positions as well as those in the instructional, research, and public service subcategories. These new salary ranges and related salary setting criteria are intended to create a tighter connection between individual compensation decisions and external labor market and to assist managers in proactively identifying salary equity issues.

The first phase of the new EPA non-faculty compensation program was implemented in January, 2013, with the introduction of new job families, job levels, and associated salary ranges for all SAAO Tier II positions (e.g., Associate Vice Chancellors, Vice Provosts, and Directors). These salary ranges were approved by the Board of Trustees (BOT) and are based on a composite of market salary surveys for identified benchmark jobs in higher education, the non-profit sector, and the private sector. A broad banding salary structure was utilized to group similar UNC-Chapel Hill positions based on job content and then to assign individual positions to specific job families and job levels. Each unique job family and job level combination has a minimum and maximum salary rate and an assigned market reference rate. The market reference rate represents the 75th percentile of labor market, utilizing a composite of multiple outside salary survey data sources. Positions are assigned to specific job families and job levels based on variety of criteria including, but not limited to span of authority, independent judgment and decision making, and the presence of supervisory and/or budgetary authority in the position. By implementing this new structure, the University is better positioned to make more consistent and equitable compensation decisions and to identify pay anomalies, when present.

Specific monitoring of salary equity occurs at multiple levels of the University including individual unit/department heads, school/division HR officers, the University's equal opportunity/ADA office, as well as staff in the classification and compensation and EPA Non-Faculty HR units of central human resources. The salaries of SAAO Tier I and Tier II senior executives are reviewed against a custom cut of UNC-Chapel Hill peers from the College and University Personnel Association's (CUPA) national salary survey database. Specific gaps from established market

reference rates (such as the 75th percentile of UNC-Chapel Hill peer institutions) or internal salary equity issues are identified to the appropriate University senior officer for possible action. The Vice Chancellor for Human Resources reviews the compensation of Chancellor's cabinet members directly with the Chancellor on at least an annual basis. Once the final phase of the University's new compensation structure is in place at the end of the first quarter of calendar year 2014, central human resources will initiate planning for a more comprehensive campus-wide salary equity study of EPA non-faculty positions.

###

Audit Findings

Survey Question

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, 2012 - June 30, 2013 and remedial action taken in response to audit findings.

If your campus had no audit findings for July 1, 2012 - June 30, 2013, please upload a document affirming this.

UNC-Chapel Hill
Internal Audit Findings Related to Payroll and Personnel Issues
07/01/12 to 06/30/13

Report #	Report Title	Report Date	Issue	Resolution
#X-440	Facilities Services - Leave	10/01/12	Management changed leave time to work time for employees left work early after the death of a co-worker or who attended the memorial service for this individual.	Management of this unit has been instructed that these hours cannot be reported as work time. Time and leave records have been corrected.
#X-443	Project Uplift	10/22/12	<p>The Project used an unapproved petty cash fund to pay an undocumented student for work he performed for the Project. The student was not hired through the normal employment process and his wages were not subject to any required withholdings, IRS reporting, and employment taxes.</p> <p>Had the normal employment process been followed, the student employee's social security number would have been required to be verified during the hiring process through the University's eVerify process. UNC Human Resources Department would then have been involved in resolving the issue prior to any payments having been made to the student.</p>	<p>Employment of the undocumented student has been discontinued. University-wide changes to detect and correct this type of issue are in process.</p>
			<p>University policy does not require background checks for all UNC students who will work with "sensitive populations".</p> <p>Currently, UNC students are exempt from background checks if their employment is "incidental to" their primary role as a student – such as graduate assistants or work-study students.</p>	<p>Units that sponsor or have residential/overnight program that involve minor are required to train staff who stay with minors in the overnight facility on the mandatory reporting requirement and to review the program's safety and security policies and procedures.</p> <p>A new policy regarding protection of minors on campus has been drafted and will be implemented in fiscal year 2013/14.</p>

UNC-Chapel Hill
Internal Audit Findings Related to Payroll and Personnel Issues
07/01/12 to 06/30/13

Report #	Report Title	Report Date.	Issue	Resolution
	Independent Contractors Review	05/31/13	<p>Our test work showed that some faculty who taught courses for academic credit had been paid as independent contractors. This practice is not in keeping with Internal Revenue Service (IRS) guidelines.</p> <p>In addition, the University's accreditation agency, the Southern Association of Colleges and Schools (SACS), requires that the University follow its Comprehensive Standard 3.7.1 which states, in part, that:</p>	<p>As part of the audit, it was determined that some instructors were being compensated as independent contractors where instruction was being offered for credit-bearing purposes.</p> <p>To address that circumstance, the Office of the Provost issued a Faculty Pay Policy which stipulated that all persons offering instruction for credit be designated as faculty, hired as faculty, and compensated according to the pay policy.</p> <p>Faculty hired to teach for academic credit cannot be paid as Independent Contractors. Faculty salaries must be paid through the university's Payroll office.</p> <p>All faculty, contractual or tenured, must have their credentials on file with the hiring school/department prior to finalizing the hiring arrangement. The hiring school/department is responsible for ensuring that these credentials are valid and document the individual faculty member's qualifications to serve as an instructor at the level and in the discipline area of the course(s) to be taught</p>
			<p>We found that the Independent Contractor Checklist and review process needed to be improved.... The approval process needed to include checking the contractor's current or</p>	<p>The Independent Contractor Checklist has been enhanced to incorporate all of the suggestions and is being added to the Finance Division Policy and Procedure</p>

UNC-Chapel Hill
Internal Audit Findings Related to Payroll and Personnel Issues
07/01/12 to 06/30/13

Report #	Report Title	Report Date	Issue	Resolution
			<p>previous state work experience before the contractor is approved and not at the time of payment.</p> <p>Our review indicated that the checklist was not always filled out correctly, completely, or in a timely manner by departments and contractors. In certain cases,...smaller payments were made to current or recent employees who should have been paid through payroll or not hired as contractors. While these instances have been addressed as found, collectively they demonstrate a need for additional and more accurate information at the approval level.</p>	<p>Manual. The new ERP implementation of PeopleSoft will provide a process to determine if potential independent contractors are recent employees.</p>
			<p>The Kenan-Flagler School of Business (KFBS) paid one individual as an independent contractor every month since June 1997 for consulting work in media relations.</p> <p>KFBS paid a second individual as an independent contractor since January 2008 to be the Project Manager for the Family Enterprise Institute within the Center for Entrepreneurial Studies. This person also served as a co-instructor for the Family Business classes for degree credit.</p> <p>The Department of Emergency Medicine in the School of Medicine has paid another individual as an independent contractor every month since November 2009 to organize and oversee the UNC Emergency Medicine Ultrasound Program.</p>	<p>The University's contractor relationship with these individuals was reviewed with the Office of University Counsel and the Finance Division for compliance with IRS guidelines. It was agreed that these individuals should be reclassified as employees with adjustments made for past tax withholdings for the calendar year 2012. The recommendations made in the comment above for expanded certifications and improved checklist information should reduce the occurrence of hiring contractors who should be employees.</p>

UNC-Chapel Hill
Internal Audit Findings Related to Payroll and Personnel Issues
07/01/12 to 06/30/13

Report #	Report Title	Report Date	Issue	Resolution
			<p>KFBS paid an intermittent, temporary employee an additional \$44,164 for work performed as a service vendor between December 2009 and July 2012. From December 2005 to December 2009 she was paid only as an employee.</p> <p>The employee submitted invoices for personal services under a vendor name. She was not approved through the independent contractor checklist in disbursement services as required. The checklist approval process would have disallowed vendor payments to an employee since University policy requires a 12 month break in service between employment and service as a contractor.</p>	<p>The individual noted above is no longer an independent contractor and is paid solely through university payroll. The Business School has conducted training on independent contractors to ensure that contractor payments are processed through the Independent Contractor process. KFBS has implemented an initial internal review of all potential contractors to determine employee vs. independent contractor status before following the current procedures for independent contractors available.</p>
			<p>Some University faculty were being paid as part-time employees of the KFBS Exec Ed LLC to teach professional development courses through KFBS's Executive Development Program. In addition, some faculty were being paid as part-time employees of the KFBS Online Education LLC to teach academic courses for credit in the MBA@UNC program.</p> <p>Because they were receiving pay from a source outside the University, these arrangements had historically been treated as External Professional Activity for Pay.</p> <p>However, section II A of the UNC Policy Manual 300.2.2 states:</p>	<p>Kenan-Flagler has moved payments to most adjunct faculty to University payroll. The fourteen individuals who remain on MBA@UNC's payroll will transition to UNC payroll by July 1, 2013. Kenan-Flagler is working with the Provost's Office and the Office of University Counsel to develop a compensation plan that will return payments for all other faculty to University payroll. The compensation plan, upon approval from the Provost's Office, has an implementation target date of July 1, 2014.</p>

UNC-Chapel Hill
Internal Audit Findings Related to Payroll and Personnel Issues
07/01/12 to 06/30/13

Report #	Report Title	Report Date	Issue	Resolution
			<p>.... external professional activities for pay are to be undertaken only if they do not:</p> <p>4. Make any use of the name of the University of North Carolina or any of its constituent institutions for any purpose other than professional identification; or</p> <p>5. Claim, explicitly or implicitly, any University or institutional responsibility for the conduct or outcome of such activities.</p> <p>Both of these programs use the University's name and the University is responsible for the outcome of the teaching activities. The Executive Development program issues UNC Kenan-Flagler Business School certificates for various programs and advertises that UNC faculty develop and teach courses. The MBA@UNC program issues a UNC Masters of Business Administration degree so the University is responsible for the outcome of the faculty's teaching and curriculum development.</p> <p>Further, amounts paid to faculty to teach MBA@UNC and Executive Development courses are not included in their University salary calculations and are not subject to compliance with University policies regarding salary and workload.</p>	

Compensation Policies

Survey Question

Please prepare and upload a PDF document 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, 2012 and June 30, 2013.

TENURED FACULTY 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 a 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 School 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	

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	
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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	
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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	
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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-Max 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 is 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, i.e., we are compiling FY 13 data for analysis right now) 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 salary ranges/ceilings for our tenured faculty:

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 2012-2013 (actual) and FY 2013-2014 (proposed)

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)

2012-2013 (actual)	2013 - 2014 (proposed)
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• Professor & Chair, Division Chief, or Center Director	\$ 1,588,000	\$
• Professor	\$ 1,358,000	\$ 1,358,000
• Associate Professor	\$ 1,210,000	\$ 1,210,000
• Assistant Professor	\$ 679,000	\$ 718,000
• Instructor	\$ 575,000	\$ 575,000

Cardiothoracic Surgery

• Professor & Chair, Division Chief, or Center Director	\$ 1,533,000	\$ 1,969,000
• Professor	\$ 995,000	\$ 995,000
• Associate Professor	\$ 935,000	\$ 935,000
• Assistant Professor	\$ 585,000	\$ 600,000
• Instructor	\$ 395,000	\$ 474,000

All Other Departments

• Professor & Chair, Division Chief, or Center Director	\$ 808,000	\$ 858,000
• Professor	\$ 638,000	\$ 638,000
• Associate Professor	\$ 519,000	\$ 519,000
• Assistant Professor	\$ 448,000	\$ 451,000
• Instructor	\$ 334,000	\$ 334,000

Source: Association of American Medical Colleges, Summary Statistics on Medical School Faculty Compensation, 2011-2012, M.D. Degree, All Schools, All Regions 75th percentile or highest UNC total salary with 25% productivity calculation, or previous prevailing salary ceiling cap.

	2012-2013 2014 (actual)	2013- (proposed)
Allied Health Department		
• Chair/Dean	\$ 278,189	\$ 278,189
• Division Director	\$ 207,922	\$ 210,800
• Professor	\$ 185,065	\$ 190,114
• Associate Professor	\$ 152,944	\$ 170,578
• Assistant Professor	\$ 138,022	\$ 142,369
• Instructor	\$ 108,964	\$ 116,750

Source: 75th Percentile of the 2012 Association of School of Allied Health Professionals 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 data (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

We are in the process of establishing salary ranges. We are doing market research, comparing ourselves to peer institutions and other similar organizations. We will review this information within the school leadership structure, and continue to review it on an annual basis to be sure that we remain competitive.

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=24> (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.

Salary Structure and Salary Setting Guidelines for EPA Non-Faculty Senior Academic and Administrative Officer (SAAO) Tier II Positions

The Office of Human Resources (OHR) received approval for the establishment of a defined salary range structure for EPA Non-Faculty SAAO Tier II positions from the UNC-Chapel Hill Board of Trustees, effective January 1, 2013. The Board's authority to establish these ranges is pursuant to UNC General Administration (GA) Policy 600.3.4, entitled "Granting of Management Flexibility to Appoint and Fix Compensation." The Chancellor has granted OHR the authority and responsibility to maintain and administer this salary range structure in a manner that ensures equity, fairness, and sound stewardship of University resources. Salary administration for SAAO Tier II positions will use the salary structure and salary setting guidelines described in this document, and salary change actions will be processed using established EPA non-faculty salary increase procedures. Questions regarding these guidelines or related salary change procedures should be directed to the OHR EPA Non-Faculty HR unit at 919-962-2897.

PAY PHILOSOPHY

The University's EPA Non-Faculty compensation program for SAAO Tier II positions is designed to provide competitive salaries in order to attract and retain the very best talent and expertise. At the same time, the program must ensure fairness, internal equity, recognize budgetary limitations and provide good stewardship of University and State resources. This is accomplished by providing a salary range structure that affords flexibility to Deans and Vice Chancellors in setting salaries that align with, and when appropriate lead, external labor markets.

PAY STRUCTURE

The SAAO Tier II compensation structure uses a series of job families to cluster similar positions into distinct categories, including:

- Senior Executives (Associate Vice Chancellors, Associate Provosts, and Vice Provosts)
- Academic Administration and University Programs
- Business and Finance
- Clinical Administration
- External Affairs/Development
- Human Resources
- Information Technology
- Student and Academic Services
- University Attorneys
- Centers and Institute Management

These job families are further sub-divided into separate job levels to further differentiate positions by relative scope and complexity. Each unique combination of job family and job level is assigned a specific salary minimum, reference rate and salary maximum. These rates are based on appropriate external job markets. The reference rate represents an approximate midpoint of the defined salary range. Every existing or newly established SAAO Tier II position is assigned to the most appropriate job family, level and coinciding range.

ASSIGNING POSITIONS TO JOB LEVELS

Positions are assigned based on the following factors:

- Size of work unit
- Span of authority (Unit/School/Campus)
- Scope of responsibility (including consequence of error & independent decision making)
- Supervisory/Managerial responsibility
- Comparison to relative positions as appropriate

SALARY SETTING STRATEGY

Specific salary amounts are dependent on a variety of factors:

- Available financial 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
- Internal equity
- Retention or replacement of employees
- Relation to reference rate

Employees hired after January 1, 2013, shall not fall below their assigned range minimum. The salary maximum is a formal limit that may not be exceeded unless the appropriate Dean/Vice Chancellor requests an exception based on a critical University business need. The exception request will require approval by the Chancellor or designee and, depending on the amount, pre-approval by the Board of Trustees.

RELATED DOCUMENTS

[EPA Non-Faculty SAAO Tier II Salary Ranges by Job Family and Job Level](#)

ATTACHMENT A**UNC-Chapel Hill Salary Range Structure for SAAO Tier II Positions**

Effective January 1, 2013

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.
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 provide 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 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).

ATTACHMENT A**UNC-Chapel Hill Salary Range Structure for SAAO Tier II Positions**

Effective January 1, 2013

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 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).

ATTACHMENT A**UNC-Chapel Hill Salary Range Structure for SAAO Tier II Positions**

Effective January 1, 2013

K1	Student & Academic Affairs Services	I	\$46,600	\$60,600	\$74,600	Positions in this job family typically direct activities or programs related to student academic life that focus on the physical, social, cultural and psychological well-being of students and/or the enhancement of the students academic experience at the University. Positions in this job family also include those that have authority to make admissions or financial aid decisions.
K2	Student & Academic Affairs Services	II	\$57,400	\$80,400	\$103,300	
K3	Student & Academic Affairs Services	III	\$96,800	\$145,200	\$193,600	
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		
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	

The Chancellor or his 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).

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, November 15, 2012, at The Carolina Inn, Hill Ballroom, North & Central, at 8:05 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kei Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J. Alston Gardner	Will Leimenstoll
Peter T. Grauer	

Chair Hargrove 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

On motion of Mr. Townsend and duly seconded, the minutes of the emergency meeting of September 19, 2012, were approved as distributed.

(ATTACHMENT A)

On motion of Mr. Townsend and duly seconded, the minutes of the regular meeting of September 27, 2012, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Townsend and duly seconded, the following mail ballot dated October 15, 2012, was approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and items for information.

(ATTACHMENT B)

CHAIR'S REMARKS

Chair Hargrove then commented on the following:

- **Davie Awards Dinner-** Many thanks to the trustees for helping with last night's dinner to honor this year's recipients of the William Richardson Davie Award. It's the highest honor this board can bestow for extraordinary service to the University or to society, and we are pleased to have recognized these outstanding women who have contributed so greatly to the Carolina's success over the years:
 - o **Barbara Fordham**, wife of the late Chancellor Christopher Fordham, who served from 1980 to 1988.
 - o **Barbara Russell Hardin**, wife of Chancellor Emeritus Paul Hardin, who served from 1988 to 1995.

- o **Sara Hart McCoy**, wife of Acting and Interim Chancellor Emeritus Bill McCoy, who served from 1999 to 2000.
- o **Susan Dickerson Moeser**, a current faculty member and wife of Chancellor Emeritus James Moeser, who served from 2000 to 2008.
- o **Diane Jackson Taylor**, former assistant to the dean of the College of Arts and Sciences and wife of the late Chancellor Ferebee Taylor, who served from 1972 to 1980.
- o **Julla Sprunt Grumbles**, former corporate vice president of Turner Broadcasting, a longtime University supporter and our current interim vice chancellor for university advancement; and
- o **Brenda Kirby**, who retired last spring as secretary of this board and of the University after 40 years of service, including 32 years in South Building.

Thanks to everyone who helped make last night a great event for the Board of Trustees and the University.

- **Shirley Ort**. We're also very proud that Shirley Ort, Director of the Office of Scholarships and Student Aid, has been selected to serve a two-year term as vice chair of the Board of Trustees of the College Board, the national nonprofit organization that oversees Advanced Placement classes and SAT exams. She is a member of the national Commission on Access, Admission and Success in Higher Education and has developed a national training workshop for young student aid officers. She also was instrumental in our own Carolina Covenant program, which was the impetus for more than 90 similar programs across the nation.

[A copy of Chair Hargrove's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Thorp spoke about the following:

- **Faculty Honors/Institute of Medicine**. Professors Myron Cohen and Terry Magnuson were recently elected to the Institute of Medicine, the health and medicine branch of the National Academy of Sciences. That's considered one of the highest honors in the fields of health and medicine and recognizes individuals who have demonstrated outstanding professional achievement and commitment to service. Professors Cohen and Magnuson push Carolina's total number of institute members elected from a variety of health-related disciplines since 1979 to 22. We also recently announced that Professor Cohen will be our December Commencement speaker.
- **Faculty Honors/Packard Fellow**. In the Department of Chemistry, Assistant Professor David Nicewicz just received a Packard Fellowship for Science and Engineering. The fellowship is worth \$875,000 over five years in unrestricted grants from the David and Lucile Packard Foundation. Sixteen award winners are picked from all sciences. It's a wonderful honor and very important in the career path of a young faculty member. David is just the third Carolina faculty member to be selected for a Packard fellowship.
- **Administrative Search Updates**. We have decided to re-launch the search process for the Executive Vice Chancellor and Provost, and start the process to fill the position of Vice Chancellor for University Advancement, our chief fundraising officer. Our objective is to move the process along during the spring semester to give the new chancellor an opportunity to provide input and be involved in the interview process and final selections. This will accelerate the transition process within the administration and, I think, help my successor be in the best possible position to hit the ground running. Kristin Swanson has agreed to remain chair of the provost committee with the help of Trustee Gardner. Trustee Lowry Caudill has agreed to lead the committee to recommend a vice chancellor for advancement. We'll announce more information about the membership of the search committees and the process when we have those details finalized.
- **Attainment Metrics**. Last week, I was pleased that our Faculty Executive Committee took a position on attainment metrics in response to the strategic planning process underway for the UNC system by the Board of Governors and President Ross. I support General Administration's

goal of raising the number of North Carolinians who have at least a four-year degree to 31 or 32 percent from 28 percent by 2018. I'm grateful to the FEC for weighing in and keeping this council informed about the issue.

- **Online Education Announcement.** Later this morning, colleagues from a group of leading major universities will be announcing a consortium with some exciting news about a for-credit online education program.
- **Tuition Deliberations.** Today's agenda includes consideration on a set of tuition and fee recommendations that will be presented by Provost Carney.
- **Gender Non-Specific Housing.** This is an important project for the university and it is vital for protecting the safety of our students. I fully support the proposal brought to me a year ago and I am pleased that the committee passed a resolution in support of moving forward with Gender Non-Specific Housing.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll spoke about:

- The Chancellor Search Committee and student involvement
- Campus tragedies and the loss felt by the Carolina community
- Progress by Student Government on their platform goal completion: money.unc.edu, endowment forum, reduced tuition increase for out-of-state undergraduate students
- Engagement with BOG regarding proposed changes to the drop policy
- Proposal for Gender Non-Specific Housing
- Lobbying efforts with University administration, students and parents

[A copy of Mr. Leimenstoll's remarks is located in the Office of the Assistant Secretary.]

TUITION AND FEES PROPOSALS

Bruce Carney, Executive Vice Chancellor and Provost, presented recommendations from the tuition and fees advisory task force. Based on the deliberations of the Task Force, the proposed 2013-2014 tuition increase is as follows:

- Resident Undergraduate- \$600, a 10.3% increase (previously approved in 2011)
- Non-Resident Undergraduate- \$1630, a 6.1% increase
- Resident Graduate- \$509, a 6.5% Increase
- Non-Resident Graduate- \$1630, a 6.8% 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 Carney concluded his remarks by providing a summary of fees certain students pay and explained changes in those fees.

Committee Chair 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.

CHANCELLOR'S SEARCH UPDATE

Chair Hargrove thanked the trustees involved with the excellent progress to date with the Chancellor Search Committee. Two subcommittees have been working productively on public forums, an online survey and a draft leadership statement. We held four public forums last week for staff, the community, faculty and students. This week, we launched a brief five-question online survey and are targeting students, faculty, staff, alumni, parents, friends and community members. We've set a December 15 deadline to complete that part of the information-gathering process.

Our committee interviewed three firms at our first meeting on October 8th. We were unanimous in our decision to engage R. William Funk & Associates to recruit candidates on behalf of the Board of Trustees and the University. Funk & Associates specializes in conducting searches at the senior leadership level for major colleges and universities, especially those that, like Carolina, are members of the prestigious Association of American Universities.

Bill Funk spoke about:

- The context of university searches. There are a number of ongoing searches across the country for college and university leaders. There is a lot of turnover, but there are a number of great candidates out there to consider.
- Challenges of the search. Searches have become more difficult because nearly 60% of all sitting presidents are 60 years old or older (graying of the presidency) and there are not many in the next generation who are aspiring to be educational leaders. Only 30% of Provosts aspire to be a president.
- The process of the search. It takes time to build a structure and get as much input as possible from all stakeholders. Then there are a number of steps to take before starting the candidate selection process and scheduling interviews, and follow-up interviews.

After the December 3rd Chancellor's Search committee meeting, the ad will be complete and will be placed in a number of higher education publications.

INNOVATION & THE ROLE OF DIVERSITY: KEYS TO SUCCESSFUL ENTREPRENEURSHIP

Joe DeSimone, Director of the Kenan Institute of Private Enterprise and professor of Pharmacy, Pharmacology, Biomedical Engineering, and Chemistry spoke about how innovation is needed now more than ever. Research alone is not enough. Trends show a decline in researchers, scientific publications and research & development investments. Therefore, diversity is a fundamental tenet of innovation. There are key ingredients for going from invention to innovation. They are:

- The best design teams are the most diverse;
- Mentorship and apprenticeships are essential;
- Strategy is all about being different;
- The most fertile ground for innovation lies between fields;
- Partnerships with domain experts are critical- we learn the most from those we have the least in common with; and
- This is a contact sport.

Dr. DeSimone concluded his presentation by highlighting the benefits of academic entrepreneurship.

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.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Faculty Chair Remarks.** Jan Boxill spoke about:

8 Week Drop Period. General Administration's proposal to alter the drop/add policy to make it consistent with the other 16 campuses in the UNC System. This proposal has not been well accepted by our campus. A 8 week drop period, instead of the 2 week drop period proposed by GA, is in the best interest of this campus. [A copy of Ms. Boxill's remarks is located in the Office of the Assistant Secretary.]

• **Massive Open On-line Courses (MOOCs) and Other On-line Educational Options.** Provost Carney reported on MOOCs. Three organizations: Udacity, edX, and Coursera are quickly developing critical mass to bring on-line education, at a university level, to the world. It will have a significant impact on undergraduate education. It is designed to enhance and augment how large introductory courses are taught. Two major obstacles are authenticating students and their work, and continued funding to remain self-supporting.

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.

• **Gender Non-Specific Housing: An issue of Student Safety.** Kevin Claybren, Student Coordinator of the Student GNH, and Terri Phoenix, Director of UNC LGBTQ Center, educated the committee on what GNH is and why it is important for student safety.

Ms. Hyde moved approval of a resolution, brought out of the University Affairs Committee, in support of implementing gender non-specific housing at the University of North Carolina at Chapel Hill in a manner and timing to be determined by the Chancellor and the Vice Chancellor for Student Affairs.

Mr. Grauer seconded the motion and it carried.

Chancellor Thorp announced GNH will be implemented beginning in the Fall of 2013.
(ATTACHMENT C)

A copy of the report presentation is located at: www.unc.edu/depts/trustees/
A copy of the report is also filed in the Office of the Assistant Secretary.

BUILDINGS AND GROUNDS COMMITTEE OF THE WHOLE

Bruce Runberg, Associate Vice Chancellor for Facilities Services, gave each of the trustees a book, authored by David Godschalk and Jonathan Howes, entitled The Dynamic Decade: Creating the Sustainable Campus for the University of North Carolina at Chapel Hill, 2001-2011.

Carolyn Elfland, Associate Vice Chancellor for Campus Services presented the following action item to the committee:

• **Carolina Inn Lease Amendment.** Committee Chair Clay moved approval to amend the existing lease of the Carolina Inn property to the Board of Trustees of the Endowment Fund of The University of North Carolina at Chapel Hill. The lease provides for a rent of one dollar per year, terminates on June 30, 2041, and incorporates approximately 5.71 acres. The 5.71 acres is comprised of the Carolina Inn building, the Whitehead building and the surrounding grounds and parking areas. This request is to amend the lease to incorporate an additional .75 acres adjacent to the Whitehead site as shown on the attached map. This .75 acres was formerly occupied by Miller Hall and is now vacant. The additional property will initially be used for surface parking to serve the Carolina Inn

Mr. Townsend seconded the motion and it carried.
(ATTACHMENT D)

REPORT OF THE EXTERNAL RELATIONS & UNIVERSITY ADVANCEMENT COMMITTEE

Committee Chair Don Curtis reported on:

• **University Relations Update.** Nancy Davis, Associate Vice Chancellor for University Relations, spoke about UNC in the news.

A copy of the PowerPoint presentations is located at: www.unc.edu/depts/trustees/
A copy of the presentations is also filed in the Office of the Assistant Secretary.

• **Election Update & Legislative Outlook.** Jennifer Willis, Director of State Relations, spoke about how important it is for the trustees and Carolina supporters to have relationships with the legislators and continue getting our messages across in a positive manner.

A copy of the PowerPoint presentations is located at: www.unc.edu/depts/trustees/
A copy of the presentations is also filed in the Office of the Assistant Secretary.

REPORT OF THE BUDGET, FINANCE & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair, moved ratification by the Board of the following item which was previously approved by the committee. Mr. Curtis seconded the motion and the item carried.

• **Proposed Salary Ranges for EPA Non-Faculty Senior Academic and Administrative Officers (SAAO) Tier II Positions.** Brenda Malone, Vice Chancellor for Human Resources, presented a proposal to establish and implement a competitive, market-based compensation structure for University EPA Non-Faculty SAAO Tier II positions, effective January 1, 2013. Positions with the titles of Chancellor, Provost, Vice Chancellor or Dean are not covered by these ranges. They are considered SAAO Tier I positions – with ranges set entirely by GA.

(ATTACHMENT E)

Ms. Shuping-Russell, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

• **Remarks from Employee Forum Vice Chair.** Dan Barmmer spoke about Forum meetings, Forum communications, staff development funds, and the employee appreciation fair and University Day. [A copy of Mr. Barmmer's remarks is located in the office of the Assistant Secretary.]

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.

• **Budget Update.** Karol Gray, Vice Chancellor for Finance and Administration, provided an overview of the State Biennial Budget process. The State Biennial Budget process begins on the even number years. Each campus in the UNC system prepares and submits biennial budget requests to UNC General Administration. Board of Governors approves UNC budget and submits final recommendation to the Governor. Once approved by the Governor, the NC General Assembly considers the UNC budget request along with the Governor's recommendations. The budget is broken into three components: Continuation Budget, Capital Budget, and Expansion Budget.

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.

• **Development Update.** Julia Grumbles, Interim Vice Chancellor for University Advancement, provided an update on Development.

FY 2012 Progress Report

	11/5/12	11/5/11	% change
New commitments	\$87,464,137	\$86,541,939	1%
Gifts Received	\$75,028,146	\$67,579,538	11%

Pipeline

\$214,121,950 proposals in the pipeline

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.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, 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 BUDGET, FINANCE & AUDIT COMMITTEE

Report of the Committee on Honorary Degrees & Special Awards

Committee Chair Shuping-Russell moved approval of the nominees for Distinguished Alumna/Alumnus Awards to be presented on University Day, October 12, 2013. All nominees were previously presented to the Budget, Finance and Audit Committee and approved by the committee. Ms. Hyde seconded the motion 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.]

Committee Chair Shuping-Russell moved approval of a nominee for an Honorary Degree to be conferred at May Commencement 2013, to the Commencement Speaker. The motion was duly seconded and it carried.

Honorary Degree Candidate Selection

Julia Grumbles presented candidates for an Honorary Degree to be conferred at May Commencement 2014. The trustees discussed the candidates and will present their nominee to the Committee on Honorary Degrees & Special Awards.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated November 5, 2012, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS F-G-H)

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters, and brought forth a request for approval of non-salary compensation. The actions will be voted on in open session.

(ATTACHMENT I)

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss legal and personnel matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner moved approval by the Board of the following personnel actions dated November 5, 2012, which were discussed earlier in closed session. Ms. Hyde seconded the motion and it carried.

- Personnel Actions & Actions Conferring Tenure.

(ATTACHMENT F)

- Compensation Actions.

(ATTACHMENT G)

- For Information- no items.

(ATTACHMENT H)

Chair Hargrove stated that the personnel and salary actions voted on in open session have been distributed to the press.


WALK-ON ITEM— APPROVAL OF NON-SALARY COMPENSATION

Dr. Clay moved approval of the Chancellor's Cabinet and the Deans being eligible, at the Chancellor's discretion, to receive non-salary compensation in the form of tickets to athletic events in an annual amount not to exceed \$2500, subject to appropriate reporting of any personal use as taxable income. This approval is given pursuant to the University's Policy on Deferred and Non-Salary Compensation. Dr. Lerner seconded the motion and it carried.

(ATTACHMENT I)

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:02 p.m.


Assistant Secretary

Recruitment and Promotion **Policies**

Survey Question

Please provide URL links to your campus policies and dates of the most recent revisions for the following items.

Recruitment and Selection of Senior Academic and Administrative Officers (600.3.4 B.1)

Promotion and Tenure that complies with UNC Code and current federal law (600.3.4 B.1)

University of North Carolina at Chapel Hill – Recruitment Policies and Procedures

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/ADA Office is responsible for monitoring the university's equal opportunity and affirmative action efforts; and the recruitment and search process. 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 with an **FTE of 50% or more and no less than one year in length.**

Multiple positions with the same qualifications/requirements can be recruited for on the same requisition. For EPA Non-Faculty jobs, only 1 position number from Position Management is needed to initiate a requisition.

For detailed instructions on **how to complete the Recruitment Requisition form**, please view the UNC User Guide at: <https://unc.peopleadmin.com/hr/>

2. 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 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 and active in position management prior to initiating a recruitment requisition.

☐ EPA Non-Faculty requisitions have 5 fields that are directly populated with data from Position Management. The *position summary, educational requirements, qualifications/experience, working title, and salary range fields* are all pulled from Position Management and may ***not be edited within the recruitment requisition.*** ***Prior to initiating a recruitment requisition for all EPA Non-Faculty positions, the department should review these fields in position management to determine whether or not updates are necessary.***

4. Posting Periods

☐ **Tenured/Tenure Track positions** – must be advertised ***nationally*** for a minimum of **45** days.

☐ **Administrative Appointment with Faculty Rank** (Example: Provost, Deans, Chair) – must be advertised ***nationally*** for a minimum of **45** days.

☐ **Fixed-Term Faculty** – must be advertised ***locally and regionally*** for a minimum of **30** 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 **30 days** and must appear in UNC-CH Employment Opportunities, unless the Equal Opportunity Office approves a request for a shorter advertising period.

☐ **Senior level positions** must be advertised regionally with selected positions advertised nationally (Example: Vice Chancellor's, Directors, and Deans) for a minimum of 30 days.

☐ If the requested **posting period** is less than the default minimum, the user must provide justification in the comments box.

☐ 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

☐ Expectation that after 1 year departments will close existing requisitions with little to no activity **or**

☐ Close existing requisitions and initiate a new requisition to replace the outdated requisition **or**

☐ Submit a request to the EEO Office for an extension as a modify requisition in PeopleAdmin..

5. 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
- ☐ The advertisement should always include the EEO statement for the University: "The University of North Carolina at Chapel Hill is an Equal Opportunity Employer" or "EOE".
- ☐ The advertisement should include the Quick Link Posting URL <http://unc.peopleadmin.com/postings/XXXXX>

Advertisement Sources

- ☐ National professional journals and newspapers
 - ☐ Regional journals and newspapers
 - ☐ Letters and announcements to schools
 - ☐ Professional meetings (***provide name and date of meetings***)
 - ☐ Other recruitment methods (provide the name & addresses for listserv's and web sites)
- ☐ The Equal Opportunity Office has purchased a membership subscription to the **National Minority Faculty ID Program**. Please contact the EEO office for login and password.

Reminder: Check publication dates for National and Professional journals. As you will need to ensure the application deadline is 30 to 45 days after the print advertisement appears. If position is "open until filled" this is not an issue.

7. 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)

8. 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)

- ☐ ***If no females and no minorities are included on the search committee, the department is required to provide an explanation/justification in the comments box.*** Every effort should be made to include female and minorities 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 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/eooada/sct/> or from the Equal Opportunity/ADA Office web site by clicking Online Training.

VI. 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:

Waiver of Recruitment

The **Create Waiver** action 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, and October 20, 2009.

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," "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]

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 §6.1.3. determining that the faculty member has not established his or her contention.
- (6) A decision by the Chancellor under §6.1.3. 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.

⁷ Pursuant 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.

⁸ 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, 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

⁹ See 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-

¹⁰ 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.

¹¹ 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 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 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. [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.

Promotion and Tenure Review

Please prepare and upload a PDF document with a copy of your campus schedule and process for periodic review of promotion and tenure policies. Process should outline who is responsible for review, what is the time line of the review process, and what are the mechanisms in place to make sure the review is completed. (600.3.4 B2)

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

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Lawrence Grossberg, Department of Communications

Subcommittee on Mentorship

Professor Michael S. Waltman, Department of Communication Studies

Professor Doug Shackelford, Kenan Flagler Business School

Professor Gene Orringer, School of Medicine

Professor Laurie McNeil, Department of Physics

Professor Abigail Panter, Department of Psychology

Professor Giselle Corbie-Smith, School of Medicine, Department of Social Medicine

Professor Michele Rivkin-Fish, Department of Anthropology

Professor Heather Williams, Department of History

Consultant:

Professor Rebecca Wilder, School of Dentistry

Salary Ranges - Administrators

Survey Question

Please prepare and upload a PDF document 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)

The University of North Carolina at Chapel Hill follows salaries established by UNC General Administration (UNC - GA) for Tier I Senior Academic and Administrative Officers. In situations when a salary has not been included in the annual Board of Governor's Administrative Salary Study, upon recommendation of the Chancellor, in consultation with the Vice Chancellor for Human Resources, a salary range request is submitted to General Administration for review and approval. Implementation of the salary range is permitted only after approval from UNC - GA has been received.

The proposed salary is established in comparison to a custom cut of UNC-Chapel Hill peers and doctoral-granting research institutions from the College and University Personnel Association's (CUPA) national salary survey database.

The Office of Human Resources is responsible for ensuring that the proposed range is based on available relevant salary data and conforms to UNC Chapel Hill and UNC GA's overall compensation policy and philosophy.

University of North Carolina at Chapel Hill
Salary Range Approval Request – SAAO Tier I
Position – Dean, School of Information and Library Sciences

Position Information			
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	175,088 – 273,528		
Internal Comparisons			
None			
External Comparisons			
Carnegie Extensive	187,244	Min/80th%	Max
Peer Institutions	236,271	112,142/214,232	328,950
UNC System	N/A	140,470/269,297	328,950
Other Salary Data/Sources	N/A	N/A	N/A

SALARY RANGE JUSTIFICATION/RATIONALE:

UNC General Administration does not provide a salary range for this position in the 2012-2013 Administrative Salary Study. We are proposing a range of 175,088 – 273,528. The proposed salary was established based on market survey data from UNC Peer Institutions and College and University Professional Association (CUPA). The CUPA Carnegie market survey evaluates doctoral-granting research institutions.

For questions or additional information, please contact Vanessa Ragland @ 919-962-1456 or Vanessa.Ragland@unc.edu

Range Approved by General Administration: _____

Date: _____

Salary Ranges – Tenured Faculty

Please prepare and upload a PDF document explaining the process for establishing salary ranges for tenured faculty within different disciplines. Process should outline who is responsible for establishment of ranges, 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)

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 a 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		Min	Max
Administration			
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	\$	36,273	\$ 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

Rank		Min	Max
Dental Public Health			
Department Chair		\$ 64,990	\$ 289,598
Professor		\$ 101,866	\$ 334,296
Associate Professor		\$ 65,670	\$ 189,623
Assistant Professor		\$ 56,246	\$ 164,721
Endodontics			
Department Chair		\$ 100,409	\$ 311,563
Professor		\$ 58,397	\$ 223,649
Associate Professor		\$ 81,575	\$ 243,709
Assistant Professor		\$ 75,847	\$ 230,246
Oral and Maxillofacial Pathology			
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			
Professor		\$ 84,494	\$ 253,850
Associate Professor		\$ 68,811	\$ 206,590
Assistant Professor		\$ 61,328	\$ 184,841
Oral and Maxillofacial Surgery (with Clinical Fellowship)			
Department Chair		\$ 153,353	\$ 610,000
Professor		\$ 114,289	\$ 500,000
Associate Professor		\$ 95,649	\$ 484,914
Assistant Professor		\$ 94,756	\$ 407,784
Orthodontics and Dentofacial Orthopedics			
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			
Department Chair		\$ 102,116	\$ 320,970
Professor		\$ 70,155	\$ 278,499
Associate Professor		\$ 73,070	\$ 259,930
Assistant Professor		\$ 57,359	\$ 212,280

Rank	Min	Max
Periodontics		
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-Maxil Prosthetics)	Min	Max

FY14 School of Dentistry Faculty Salary Ranges			
Rank or Title		Min	Max
Administration			
Dean		\$ 188,262	\$ 546,214
Associate Dean		\$ 112,987	\$ 341,126
Assistant Dean		\$ 84,529	\$ 284,915
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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		Min	Max
Dental Public Health			
Department Chair		\$ 64,990	\$ 289,598
Professor		\$ 101,866	\$ 334,296
Associate Professor		\$ 65,670	\$ 189,623
Assistant Professor		\$ 56,246	\$ 164,721
Endodontics			
Department Chair		\$ 100,409	\$ 311,563
Professor		\$ 58,397	\$ 223,649
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Assistant Professor		\$ 72,408	\$ 206,331
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FY14 School of Dentistry Faculty Salary Ranges By Clinical Specialty			
Rank		Min	Max
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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-Max 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 is 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, i.e., we are compiling FY 13 data for analysis right now) 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 salary ranges/ceilings for our tenured faculty:

**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 2012-2013 (actual) and FY 2013-2014 (proposed)**

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)

2012-2013
(actual)

2013 - 2014
(proposed)

• Professor & Chair, Division Chief, or Center Director	\$ 1,588,000	\$
1,588,000		
• Professor	\$ 1,358,000	\$ 1,358,000
• Associate Professor	\$ 1,210,000	\$ 1,210,000
• Assistant Professor	\$ 679,000	\$ 718,000
• Instructor	\$ 575,000	\$ 575,000

Cardiothoracic Surgery

• Professor & Chair, Division Chief, or Center Director	\$ 1,533,000	\$ 1,969,000
• Professor	\$ 995,000	\$ 995,000
• Associate Professor	\$ 935,000	\$ 935,000
• Assistant Professor	\$ 585,000	\$ 600,000
• Instructor	\$ 395,000	\$ 474,000

All Other Departments

• Professor & Chair, Division Chief, or Center Director	\$ 808,000	\$ 858,000
• Professor	\$ 638,000	\$ 638,000
• Associate Professor	\$ 519,000	\$ 519,000
• Assistant Professor	\$ 448,000	\$ 451,000
• Instructor	\$ 334,000	\$ 334,000

Source: Association of American Medical Colleges, Summary Statistics on Medical School Faculty Compensation, 2011-2012, M.D. Degree, All Schools, All Regions 75th percentile or highest UNC total salary with 25% productivity calculation, or previous prevailing salary ceiling cap.

	2012-2013 2014 (actual)	2013- (proposed)
Allied Health Department		
• Chair/Dean	\$ 278,189	\$ 278,189
• Division Director	\$ 207,922	\$ 210,800
• Professor	\$ 185,065	\$ 190,114
• Associate Professor	\$ 152,944	\$ 170,578
• Assistant Professor	\$ 138,022	\$ 142,369
• Instructor	\$ 108,964	\$ 116,750

Source: 75th Percentile of the 2012 Association of School of Allied Health Professionals 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 data (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

We are in the process of establishing salary ranges. We are doing market research, comparing ourselves to peer institutions and other similar organizations. We will review this information within the school leadership structure, and continue to review it on an annual basis to be sure that we remain competitive.

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=24> (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.

Survey Question

Please provide URL links to your campus policies and dates of the most recent revisions for the following items.

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)

Out-of-Cycle Salary Increase Requests for EPA Non-Faculty

OVERVIEW

This procedure outlines the guidelines and procedures for Departments, Centers, and Schools to request "out-of-cycle" permanent increases to base salary for EPA Non-Faculty employees. "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. Waivers of recruitment (EPA to EPA) that result in Increases of 10% or greater require pre-approval of the Board of Trustees and/or the Board of Governors. In most cases, it is preferred that departments plan for and use the EPA annual raise process (ARP) to implement salary adjustments for EPA Non-Faculty employees.

Any internal hire or promotion that is not the result of an outside competitive recruitment where the new base salary will exceed 10% or greater of the last 6/30 salary base requires reporting "for information" to the BOT. Such increases that exceed 10% of the 6/30 salary base require both information reporting to the BOT and pre-approval by the BOG. These processes can occur simultaneously so as not to unduly delay completion of these appointments. Positions filled using waivers of recruitment by the EEO Office or promotions using established career/promotional ladders which are not subject to an outside competitive recruitment are fully subject to these requirements.

JUSTIFICATION FOR AN OUT-OF-CYCLE INCREASE

Out-of-cycle requests should be non-routine in nature and have a specific and detailed justification. The following are justifiable reasons to propose an out-of-cycle salary adjustment:

- Correction of an administrative error

- 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 *Recommendation for EPA Base Salary Adjustment or Supplement Form* which is an Excel worksheet. The form provides a space for the justification of the request. A memo, addressed to the Associate Vice Chancellor for Human Resources, should be

attached providing sufficient justification of the increase (this memo on letterhead is always required for requests which require BOT or BOG approval as noted below).

Increases which are 10% or greater of the employee's June 30th base salary require BOT approval. Increases which are 10% or greater of the employee's June 30th base salary require both BOT and BOG approval. **Please note that calculations of the percentage (%) increase amount are based on the employee's previous June 30 base salary and not their July 1 or current salary.**

Please refer to the EPA Non-Faculty Salary Approval Chart included in the related subjects sections for additional information on required levels of review and approval.

For increases less than 10% of the June 30th base salary, the *Recommendation for EPA Base Salary Adjustment or Supplement Form* and supporting documents must be electronically attached and submitted via a Salary/FTE action in EPAWeb no later than the 15th of the month in which the proposed increase is effective.

For increases equal to or greater than 10% of the June 30th base salary, the *Recommendation for EPA Base Salary Adjustment or Supplement Form* and supporting documents must be sent to the epanfsalaryrequest@unc.edu email address by the salary increase submission deadline.

A current schedule of submission deadlines and approval dates for actions requiring BOT and/or BOG approval is included in the related documents section of this procedure and is updated annually.

DETERMINING THE EFFECTIVE DATE

Except when correcting an administrative error or other exceptional circumstances, out-of-cycle salary increases are authorized only on a current and not a retro-active basis.

Actions requiring either Board of Trustees or BOG Board of Governors approval may not be effective until the day that the final Board approval is

granted. For example, if BOT meets on 1/15, an action requiring BOT's approval may not have an effective date earlier than 1/15. If BOG approval is also required for this action, and the BOG meets and approves the action on 2/18, the earliest effective date for the action is 2/18. Please take into account the Board approval dates when determining the effective date for your proposed increases for actions that require this level of approval.

A current schedule of submission deadlines and approval dates for actions requiring BOT and/or BOG approval is included in the related documents section of this procedure and is updated annually.

RELATED SUBJECTS

[Out of Cycle Salary Request Submission Deadlines](#)

RELATED FORMS

[FY 2013/14 Non Faculty Salary Adjustment/Supplement Form](#)

Salary Structure and Salary Setting Guidelines for EPA Non-Faculty Senior Academic and Administrative Officer (SAAO) Tier II Positions

The Office of Human Resources (OHR) received approval for the establishment of a defined salary range structure for EPA Non-Faculty SAAO Tier II positions from the UNC-Chapel Hill Board of Trustees, effective January 1, 2013. The Board's authority to establish these ranges is pursuant to UNC General Administration (GA) Policy 600.3.4, entitled "Granting of Management Flexibility to Appoint and Fix Compensation." The Chancellor has granted OHR the authority and responsibility to maintain and administer this salary range structure in a manner that ensures equity, fairness, and sound stewardship of University resources. Salary administration for SAAO Tier II positions will use the salary structure and salary setting guidelines described in this document, and salary change actions will be processed using established EPA non-faculty salary increase procedures. Questions regarding these guidelines or related salary change procedures should be directed to the OHR EPA Non-Faculty HR unit at 919-962-2897.

Pay Philosophy

The University's EPA Non-Faculty compensation program for SAAO Tier II positions is designed to provide competitive salaries in order to attract and retain the very best talent and expertise. At the same time, the program must ensure fairness, internal equity, recognize budgetary limitations and provide good stewardship of University and State resources. This is accomplished by providing a salary range structure that affords flexibility to Deans and Vice Chancellors in setting salaries that align with, and when appropriate lead, external labor markets.

Pay Structure

The SAAO Tier II compensation structure uses a series of job families to cluster similar positions into distinct categories, including:

- Senior Executives (Associate Vice Chancellors, Associate Provosts, and Vice Provosts)
- Academic Administration and University Programs
- Business and Finance
- Clinical Administration
- External Affairs/Development
- Human Resources
- Information Technology
- Student and Academic Services
- University Attorneys

- Centers and Institute Management

These job families are further sub-divided into separate job levels to further differentiate positions by relative scope and complexity. Each unique combination of job family and job level is assigned a specific salary minimum, reference rate and salary maximum. These rates are based on appropriate external job markets. The reference rate represents an approximate midpoint of the defined salary range. Every existing or newly established SAAO Tier II position is assigned to the most appropriate job family, level and coinciding range.

Assigning Positions to Job Levels

Positions are assigned based on the following factors:

- Size of work unit
- Span of authority (Unit/School/Campus)
- Scope of responsibility (including consequence of error & independent decision making)
- Supervisory/Managerial responsibility
- Comparison to relative positions as appropriate

Salary Setting Strategy

Specific salary amounts are dependent on a variety of factors:

- Available financial 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
- Internal equity
- Retention or replacement of employees
- Relation to reference rate

Employees hired after January 1, 2013, shall not fall below their assigned range minimum. The salary maximum is a formal limit that may not be exceeded unless the appropriate Dean/Vice Chancellor requests an exception based on a critical University business need. The exception request will require approval by the Chancellor or designee and, depending on the amount, pre-approval by the Board of Trustees.

Related Documents

EPA Non-Faculty SAAO Tier II Salary Ranges by Job Family and Job Level

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

1. 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.](#)

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](#)

Survey Question

If your campus Board of Trustees delegates the authority granted pursuant to policy to the chancellor, please prepare and upload a PDF document with your campus accountability procedures. 600.3.4. B.8

Pre-Approval & Accountability Requirement for EPA Non-Faculty Salary Actions

Salary Code	Description	%	Permitted State Funds									
			Permitted State Funds	Permitted Non-State Funds	Campus HR VC/AVC Human Resources	Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)			
1a	Promotion or Reallocation to Higher-level Class (Includes Waivers of Recruitment and SPA to EPA Conversion)	<10%	Yes	Yes	Y	Y	N	N	N			N
1a	Promotion or Reallocation to Higher-level Class (Includes Waivers of Recruitment and SPA to EPA Conversion)	≥10%	Yes	Yes	Y	Y	N	N	N			Y
1b	Employee applies for job vacancy, is selected competitively, and changes jobs - Must be higher level duties not lateral. EXTERNAL POSTING	<10%	Yes	Yes	Y	Y	N	N	N			N
1b	Employee applies for job vacancy, is selected competitively, and changes jobs - Must be higher level duties not lateral. EXTERNAL POSTING	≥10%	Yes	Yes	Y	Y	N	N	N			N
2a	Permanent adjustment related to substantive increase in job duties or responsibilities	<10%	Yes	Yes	Y	Y	Y	N	N			Y
2a	Permanent adjustment related to substantive increase in job duties or responsibilities	≥10%	Yes	Yes	Y	Y	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 #5 below	<10%	Yes	Yes	Y	Y	N	N	Y			Y
2b	Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease - See note #5 below	≥10%	Yes	Yes	Y	Y	N	N	N			N
3	Retention - See note #6 below	≥25%	Yes	Yes	Y	Y	N	N	N			Y
3	Retention - See note #9 below	<10%	Yes	Yes	Y	Y	N	Y	Y			Y
3	Retention - See note #9 below	≥10%	Yes	Yes	Y	Y	N	Y	Y			Y
4	Career Progression adjustment for demonstrated competencies - SPA ONLY	<10%	NA	Yes	Y	Y	N	N	N			N
8a	Non-State Funds Other - Equity Adjustment	<10%	NA	Yes	Y	Y	N	N	Y			Y
8b	Non-State Funds Other - Labor Market Adjustment	≥10%	NA	Yes	Y	Y	N	N	Y			N
8b	Non-State Funds Other - Labor Market Adjustment	<10%	NA	Yes	Y	Y	N	N	Y			Y
8c	Non-State Funds Other - Merit Adjustment (Awarded only during Annual Raise Process)	<10%	NA	Yes	Y	Y	N	N	Y			Y

Salary Code	Description	%	Permitted State Funds	Permitted Non-State Funds	Campus HR VC/AVC of Human Resources	Chancellor	Office of the President	Board of Trustees (BOT)	Board of Governors (BOG)
8c	Non-State Funds Other - Merit Adjustment (Awarded only during Annual Raise Process)	≥10%	NA	Yes	Y	Y	N	Y	Y
8d	Non-State Funds Other - Prevailing Wage	<10%	NA	Yes	Y	Y	N	N	N
8d	Non-State Funds Other - Prevailing Wage	≥10%	NA	Yes	Y	Y	N	Y	Y
9a	State Funds Other - Equity Adjustment	<10%	Yes	NA	Y	Y	N	N	N
9a	State Funds Other - Equity Adjustment	≥10%	Yes	NA	Y	Y	N	Y	Y
9b	State Funds Other - Labor Market Adjustment	<10%	No	NA	Y	Y	N	N	N
9b	State Funds Other - Labor Market Adjustment	≥10%	No	NA	Y	Y	N	Y	Y
9c	State Funds Other - Merit Adjustment (Awarded only during Annual Raise Process)	<10%	NA	NA	Y	Y	N	N	N
9c	State Funds Other - Merit Adjustment (Awarded only during Annual Raise Process)	≥10%	NA	NA	Y	Y	N	Y	Y
9d	State Funds Other - Prevailing Wage	<10%	Yes	NA	Y	Y	N	N	N
9d	State Funds Other - Prevailing Wage	≥10%	Yes	NA	Y	Y	N	Y	Y

Notes

1. Pre-approval for any temporary employee salary increase exceeding the 10% threshold is required by Campus HR (VC/AVC for Human Resources)
2. Pre-approval is required for individuals employed by other state agencies or UNC campuses and newly hired at UNC CH with an increase from their current base salary
3. An employee who is being rehired following prior service in FY11/12, may not receive an increase upon reemployment unless they are returning to a position with a documented increase in duties
4. Requests for post-docs must follow the same criteria/justifications for increases listed above. Pre-approval for any increase exceeding the 10% threshold is required by Campus HR (VC/AVC for Human Resources)
5. Temporary or Interim Increases that are will be in place 9 months AND are 10% or greater of the June 30 salary requires pre-approval
6. Temporary Increases of 25 % or greater of the June 30 salary requires pre-approval regardless of duration
7. An employee in a temporary job is subject to the same general salary increase prohibitions as a permanent employee
8. Course overloads are considered task-based compensation and are not included in the 10% pre-approval process
9. Retention - Employee must be actively considered for an outside opportunity, or compelling retention risks exists based on the external market for hard-to-fill or unique skill sets.
10. Additional Duties: 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. A Position Modification must be completed in EPAWeb Position Management prior to OHR approval of salary adjustments based on additional duties.
11. Equity Adjustment: 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.
12. 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 relevant market survey data.

Survey Question

Please provide evidence of Board of Trustee approval (example: Board minutes) for all 2012-2013 appointments, temporary appointments, and/or promotions to position type and tenure in which the Board of Trustees cannot or have not delegated authority.

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, July 26, 2012, at The Carolina Inn, Chancellor Ballroom, at 8:02 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Phillip L. Clay, Secretary	Steven J. Lerner
W. Lowry Caudill	Sallie Shuping-Russell
Donald Williams Curtis	John L. Townsend III
J. Alston Gardner	Felicia A. Washington
Peter T. Grauer	Will Leimenstoll

Barbara R. Hyde, Vice Chair was absent.

Chair Hargrove 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

On motion of Mr. Townsend, seconded by Dr. Clay, the minutes of the regular meeting of May 24, 2012, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Townsend, seconded by Dr. Clay, the following mail ballot dated June 18, 2012, was approved as distributed:

- Personnel actions, actions conferring tenure, compensation actions, and items for information.

(ATTACHMENT A)

ELECTION OF OFFICERS

Trustee Caudill, Chair of the Nominating Committee, presented the slate of officers to the Board and moved approval of the following slate of officers for the term July 2012 to July 2013. The motion was duly seconded and it carried.

Wade H. Hargrove- Chair
Barbara R. Hyde- Vice Chair
Phillip L. Clay- Secretary
Erin Schuettepelz- Assistant Secretary

CHAIR'S REMARKS

Chair Hargrove expressed his appreciation to the Board and to the confidence they have placed in the current slate of officers. He mentioned the following:

- **Launching the 21st Century Initiative.** This week, you have participated in excellent sessions on three important topics: college access and completion, undergraduate

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education models, and how research can help solve the world's problems. We are serious about our desire to ensure that the University can:

- Prepare students adequately for the current economy and world.
- Operate in a cost-effective and efficient manner, building upon the impressive work we've already done with Carolina Counts.
- Continue to build on the remarkable research being conducted by our faculty, and to find more ways to integrate this into our undergraduate curriculum.
- **Joe DeSimone.** Professor DeSimone was appointed director of the Frank Hawkins Kenan Institute of Private Enterprise, part of the Kenan-Flagler Business School. The institute pursues cutting-edge research, educational programs and policy initiatives in entrepreneurship, economic development and global competitiveness. In addition, Joe was selected for induction into the National Academy of Sciences, one of the greatest honors a U.S. scientist can receive. He is the 12th UNC faculty member to be elected to the academy.
- **Subcommittee of the Faculty Executive Committee Report.** Faculty Chair Jan Boxill's reported on African and Afro-American studies yesterday in the Academic Affairs Committee. I appreciate the seriousness evident in the work by Steve Bachenheimer from the School of Medicine; Michael Gerhardt from the School of Law; and Laurie Maffly-Kipp from the Department of Religious Studies.
- **Update on Trustee Efforts to Hire Outside Firm.** We are hiring an outside private firm to assess and validate the new academic controls for independent study courses that the University already has implemented. Trustees Gardner, Caudill and Clay are participating in the firm interviews. This board has invested substantial time and energy in this difficult issue, and the University's work to root out the problems and fix them. It will be very important to glean any additional insights that we can from the outside firm to make sure the new policies and procedures are the best possible.
- **Board of Governors Panel.** President Ross, Chair Peter Hans, Panel Chair Lou Bissette and his colleagues are working on this issue with us. The commitment of the faculty, this board and the Board of Governors demonstrates the resolve we all have to make sure we're doing everything possible to prevent any recurrence.

[A copy of Chair Hargrove's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Thorp mentioned the following:

- **21st Century Public University Vision Kickoff.** It's exciting to see the initial building blocks for the initiative coming together. It is critical to engage the University community and other people interested in the University's future when we launch that part of this process in the fall. We will be pushing hard for a high level of participation.
- **International AIDS Conference.** AIDS is a great example of a major focus of research at Carolina that's having a global impact. We have one of the nation's highest-ranked HIV/AIDS programs, with dozens of researchers working toward new prevention strategies, reducing stigma and finding a cure. The University is well represented this week at the International AIDS Conference in Washington, D.C. Our delegation includes all five health affairs schools, as well as the schools of social work and journalism and mass communication, for work conducted in more than 10 countries, including the Dominican Republic, China, Kenya, Malawi and Zambia. Presenters include Professor Mike Cohen, who leads the landmark HIV Prevention Trials Network study named the 2011 Breakthrough of the Year by the journal Science. Key contributors include Professor Charles van der Horst in the medical school.
- **Northside Initiative.** I'm excited to tell you about a new initiative in the Northside community being supported by the Chapel Hill Foundation Real Estate Holdings, the not-for-profit corporation founded by the UNC-Chapel Hill Foundation. Our foundation has

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approved a request to contract with the Center for Community Self-Help in Durham to conduct a study and develop a five-year plan to stabilize the neighborhood. We're excited about working collaboratively with Self-Help, the residents and all interested parties to seek the right balance between owner-occupied housing of all types (affordable, workforce and market) with the rental needs of our students. Through the interests of people like Credit Communications Studies Professor Della Pollack, (also executive director of The Jackson Center for Saving and Making History), we're also interested in showing the University's commitment to cultural and historical preservation.

- **African and Afro-American Studies Update.** Thanks to the trustees for your efforts to retain the outside firm to assess the new academic controls we've put in place. We are grateful to Professors Bachenheimer, Gerhardt and Maffly-Kip and everyone on the Faculty Executive Committee for the hard work of the special subcommittee. I was also pleased with the thoughtful approach taken by the Board of Governors review panel last Friday. We welcome the involvement by people who care about the University. It will only help us make sure we are doing everything possible to prevent this from happening again.

- **State Budget Update.** I want to highlight some key points about the state budget for fiscal 2012-2013 approved last month by the General Assembly:

- Salary increase- 1.2 percent increase for all staff employees covered under the State Personnel Act. For staff and faculty exempt from the act, we are receiving funding equivalent to a 1.2 percent increase and will have flexibility to administer these increases at the campus level.
- Campuses also will keep the revenue associated with the tuition increases previously approved by the UNC Board of Governors. Those funds will be particularly helpful to us in addressing need-based financial aid, retaining faculty, restoring courses, and graduate student aid.
- Repairs and Renovations- we expect to gain about \$2.8 million here from the \$13 million allocated for on UNC campuses.

- **Faculty Research Funding.** Despite the challenging economy and the sunset of the federal stimulus funding, the high quality of our faculty's research and scholarship continues to attract high levels of contract and grant support. We project this year's total number at about \$767 million.

- **Fundraising.** For the fiscal year that ended last month, our numbers are up for both total gifts and commitments. Gifts increased by 4 percent to \$287.4 million, our second-best year ever. New commitments jumped even more – by 8 percent – to \$331.4 million. The other good news is that the number of donors is up over last year by more than 1,000 and now tops the 78,000 mark. We're extremely grateful for our loyal alumni and friends, who do so much to make the University's work possible.

- **Student Aid Website.** We have launched a new website, <http://greatstudents.unc.edu> to help broaden the view that people have of students who receive financial aid.

- **Faculty Retention Report.** Later in today's meeting, you'll hear from Provost Carney about some important progress this year with faculty retention. The report shows that when we have the funds we can be proactive and successful in keeping our best faculty. Keeping and attracting the very best faculty is, in my view, perhaps the most important issue facing the University today.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll commented on what student government has been doing this summer:

- **Money.unc.edu.** A comprehensive financial resources website is expected to launch in January 2013.
- **The UNC Mobile app.** Development is underway.

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- **University Dialogues.** Initiative to increase transparency, collaboration, and communication between students and administrators.

DIGITAL HUMANITIES

Barbara Entwisle, Vice Chancellor for Research, reported that digital humanities is an area of research, teaching, and knowledge creation at the intersection of computing and humanities. The Carolina Digital Humanities Initiative was announced July 10, 2012, and includes a \$1.39 million grant from the Andrew W. Mellon Foundation. It will help the university to create the Carolina Digital Humanities Initiative, a \$5 million effort that will explore the application of cutting-edge digital technologies to humanities research, teaching, graduate training and public engagement. She concluded her report by highlighting Carolina Digital Humanities Initiative Components and Carolina Digital Humanities Initiative Integration and Coordination.

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.

REPORT ON FACULTY RETENTION

Bruce Carney, Executive Vice Chancellor and Provost, gave a brief report on retention success rates, major retentions, and pre-emptive retention measures.

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.

BUILDINGS AND GROUNDS COMMITTEE OF THE WHOLE

Committee Chair, Phillip L. Clay, called on Bruce Runberg, Associate Vice Chancellor for Facilities Services to present the following items for action.

- **Designer Approval- Kenan Stadium Structural Repairs.** Dr. Caudill moved approval to provide exterior repairs to the upper and lower portions of Kenan Stadium on the north and south sides. The repairs include seating areas, concourse, ramps, and stairs. The majority of repairs will focus on concrete cracks and spall repairs along with the interface of steel guardrails to the concrete structure. The advance planning budget is \$100,000 with funding from the Athletic Department. The project budget is \$1.5M and is funded by University funds. The committee recommended the selection of three firms in the following priority order:

- | | |
|-----------------------------------|----------------|
| 1. LHC Structural Engineers | Raleigh, NC |
| 2. ATLAS Engineering, Inc. | Raleigh, NC |
| 3. SKA Consulting Engineers, Inc. | Greensboro, NC |

LHC Structural Engineers was recommended because of its recent and relevant experience and strength of its team.

Ms. Shuping-Russell seconded the motion and it carried.
(ATTACHMENT B)

- **Designer Approval- ITS Manning and Franklin, UPS Upgrades.** Dr. Lerner moved approval to increase the uninterrupted power supply (UPS) capacity of the ITS Manning Data Center and protects the assets of the University by providing reliable power. The project budget is \$3.0M and will be funded by University funds. The committee recommended the selection of three firms in the following priority order:

- | | |
|---------------------------|-------------|
| 1. Dewberry & Davis, Inc. | Raleigh, NC |
|---------------------------|-------------|

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

Dewberry & Davis, Inc. was recommended because of its recent and relevant experience and strength of its team.

Dr. Caudill seconded the motion and it carried.
(ATTACHMENT C)

• **Approval of Restrictive Covenants- Carolina North Conservation Areas.** Dr. Clay moved approval of the Declaration of Restrictive Covenants, which will place approximately 258 acres of the 947-acre Carolina North property into permanent conservation. The University and the Town of Chapel Hill are parties to a Development Agreement, dated July 1, 2009, governing the development of the Carolina North property. The Board of Trustees approved the Development Agreement on June 25, 2009. The Development Agreement requires this land to be placed into permanent conservation prior to the University beginning construction on the first building at Carolina North. Three separate conservation areas make up the 258 acres: the Crow Branch conservation area, the Bolin Creek East conservation area, and the Bolin Creek West conservation area (*see attached "Map of Carolina North Conservation Areas"*). These three conservation areas have significant ecological attributes, including segments of Bolin Creek and Crow Branch Creek, sections of mature hardwood forest, wetlands, and aquatic and terrestrial habitat.

The mechanism for this type of permanent land conservation required by the State Property Office is the recordation of restrictive covenants following their approval by the necessary governmental bodies. The Declaration of Restrictive Covenants prohibits the construction or placement of any type of buildings, structures or roads in the conservation areas. Other prohibited activities within the conservation areas include the removal of healthy, native trees and shrubs; dumping or landfill activities; land excavation; and other acts detrimental to maintaining the land and water in its natural condition.

The Declaration of Restrictive Covenants permits the land in the conservation areas to be used for a variety of purposes. Permitted activities and land uses within the conservation areas include the following: recreational, research and education activities; sustainable trail maintenance activities; existing uses of the land and existing conditions (as of the July, 1, 2009 effective date of the Development Agreement), and other land uses and activities to the extent not prohibited by the restrictive covenants.

Mr. Hargrove seconded the motion and it carried.
(ATTACHMENT D)

• **Disposition by Land Lease.** Ms. Shuping-Russell moved approval to authorize a ground lease to the Educational Foundation, Inc. for the installation of a new video board along the outfield wall of Boshamer Stadium. The lease will have a rate of one dollar per annum with a maximum term of one year. The video board is an improvement over the existing board's technology and will be approximately eight feet larger laterally. The site encompasses approximately 0.17 acres of land as depicted on the attached map. Access to the leased premises will be granted through the Boshamer parking lot. The project has a total budget of \$750,000, which is fully funded by the Educational Foundation, Inc., and an estimated duration of three weeks. Upon completion of the project, the lease will terminate and the Foundation will convey the improvements to the University by way of gift.

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Mr. Curtis seconded the motion and it carried.

(ATTACHMENT E)

The following items were presented for information only (no formal action was requested at this time).

- **Semi-Annual Report on Capital improvement Projects.** Bruce Runberg, Associate Vice Chancellor for Facilities Services, updated the committee on the capital improvement projects.

(ATTACHMENT F)

- **Semi-Annual Report on Leases.** Gordon Merklein, Executive Director of Real Estate Development, updated the committee on leases.

(ATTACHMENT G)

- **Addition to the President's House.** Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning & Design and University Architect, reported that this project provides a 1,900 SF addition to the President's House to better accommodate public functions and to improve accessibility in the house. This project is funded by private gifts to UNC General Administration. The design is presented to the Board of Trustees for information.

(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.

BUDGET, FINANCE, & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair moved ratification of the following action items which were previously approved by the committee. The motion was duly seconded and both items carried.

- **Annual Audit Certification Letter Process.** Phyllis Petree, Director of Internal Audit, presented the Annual Audit Certification Letter to the committee. This letter satisfies a UNC Board of Governors requirement for the Budget, Finance, & Audit Committee to certify in writing that they:

- Formally approved the annual internal audit plan (done in September 2011);
- Received at least four reports relative to internal audit matters from the Director of Internal Audit (presentations made in July and September 2011 and January, and May 2012)
- 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

(ATTACHMENT I)

- **Transfer to the University of the Endowment's Distribution.** Vice Chancellor Gray 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

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already approved, by mail ballot, the proposed transfer for University expenditure during the 2012-2013 fiscal year.

(ATTACHMENT J)

The following items came to the committee for information only (no formal action was requested at that time).

• **Remarks from the Employee Forum Vice Chair.** Dan Barmmer spoke about:

- Personnel Flexibility
- Peer recognition awards
- Community Garden Update

[A copy of Mr. Barmmer'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.

• **Board of Visitor's Update.** Linda Tarrson, BOV Chair, reported that the BOV members from 1956-2009 have given approximately \$20.5 million to the university. The BOV would like to be more active on campus and engaged with the legislature.

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.

• **Budget Update.** Vice Chancellor Gray reported on the status of the budget for FY 2012-2013.

- This year's budget provides a salary increase of 1.2 %.
- The campuses will retain the revenue associated with the tuition increases previously approved by the UNC Board of Governors.
- An increase of \$25.1 million for Need-based Financial Aid was funded from the lottery which is a significant increase for the UNC System.
- UNC-Chapel Hill received a \$3,116,956 reduction for not meeting the enrollment growth targets due to a variety of factors.
- Chapel Hill was expected to receive \$12.3 million from the 10-11 fiscal year budget, this amount was reduced to \$10.3 million on June 21, 2012. The final amount approved was \$2,284 million. The reductions were necessary to cover the deficit in the Medicaid budget. Our original R&R list was allocated to several important projects totaling \$12 million.-A reminder that our total deferred maintenance needs are \$645 million.
- Revenues met projected budget. Expenditures were only 1.3% under budget.
- Moody's - Assigned Aaa ratings to the University of North Carolina at Chapel Hill.

There was brief discussion and questions about the repair and renovations projects and funding.

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.** Matt Kupec, Vice Chancellor for University Advancement, provided an update on Development. His report included the following highlights:

FY 2012 Final Report	06/30/12	06/30/11	% change
New Commitments	\$331,396,829*	\$305,564,778	8%

*Avg. \$27.6M per month

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Gifts Received	\$287,419,666	\$277,024,332	4%
Pipeline- \$193,399,236 proposals in the pipeline			

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.

ACADEMIC AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the following items for information only (no formal action was requested at that time).

- **Faculty Chair's Comments.** A copy of Professor Boxill's remarks is located in the Office of the Assistant Secretary.

- **New Degree Approvals.** Provost Carney gave us a summary of new degree programs have been approved:

- 1) M.A. in Public Policy
- 2) M.A. and Ph.D. in American Studies
- 3) M.S. in Management
- 4) D.N.P. (received approval to plan the program)

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.

- **Performance Funding Metrics.** Provost Carney reported on the core measures of performance metrics, and highlighted campus-specific measures regarding student success and faculty scholarship, and operational and academic effectiveness. A report will come in November, and it will compare us with our peers.

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 Clay, 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 BUDGET, FINANCE, & AUDIT COMMITTEE

Report of the Naming Committee

Matt Kupec presented naming recommendations which were previously presented to the Budget, Finance & Audit Committee and approved by the committee. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Ms. Shuping-Russell moved ratification by the Board of the naming recommendations. The motion carried.

REPORT OF THE ACADEMIC AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated July 16, 2012, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS K-L-M-N)

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LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several legal matters.

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss personnel and legal matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss further personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE ACADEMIC AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, moved approval by the Board of the following personnel actions dated July 16, 2012, which were discussed earlier in closed session. The motion was duly seconded and it carried.

- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT K)
- Compensation Actions.
(ATTACHMENT L)
- For information.
(ATTACHMENT M)
- Walk-on Item.
(ATTACHMENT N)

Chair Hargrove 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 Hargrove adjourned the meeting at 11:54 p.m.


Assistant Secretary

**BOARD OF TRUSTEES EMERGENCY MEETING
The University of North Carolina at Chapel Hill**

The Board of Trustees met in emergency session on Thursday, September 19, 2012, at The University of North Carolina at Chapel Hill, South Building, Room 105, at 4:01 p.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

W. Lowry Caudill
Steven J. Lerner
Sallie Shuping-Russell
Will Leimenstoll.

Wade H. Hargrove, Chair, Barbara R. Hyde, Vice Chair, Phillip L. Clay, Secretary, Donald Williams Curtis, J. Alston Gardner, John L. Townsend III, and Felicia A. Washington joined the meeting via teleconference.

Peter T. Grauer and H. Kel Landis were absent.

Chair Hargrove 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."

CHAIR'S REMARKS

Chair Hargrove welcomed the trustees and media. He thanked the trustees for meeting on such short notice.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Chair Hargrove, 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) (5) and (6).

CLOSED SESSION

PERSONNEL ACTIONS

Chancellor Holden Thorp advised the Board on a personnel matter. The matter is to be voted on in open session.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove reconvened the meeting in open session.

OPEN SESSION

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APPOINTMENT OF INTERIM VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT

On motion of Townsend, and duly seconded, the motion to approve the appointment of Julia Grumbles as Interim Vice Chancellor for University Advancement carried.

Chair Hargrove called for the following resolution to be read aloud:

**RESOLUTION OF SUPPORT
H. HOLDEN THORP
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
September 19, 2012**

WHEREAS, Chancellor Holden Thorp has announced his intention to resign at the end of the fiscal year ending June 30, 2013;

WHEREAS, the Board of Trustees have unanimously appealed to Chancellor Thorp to reconsider his decision, and respect his unwavering devotion and service to the University;

WHEREAS, UNC-Chapel Hill Board of Trustees fully endorses the resolutions passed in support of Chancellor Thorp by the executive branch of the student government, UNC-Chapel Hill Faculty Council and General Faculty, the Council of Chairs of the College of Arts and Sciences, and the UNC-Chapel Hill Employee Forum;

NOW, THEREFORE, BE IT RESOLVED THAT the UNC-Chapel Hill Board of Trustees unanimously believes Carolina is better today because of him and emphatically requests that Chancellor Thorp reconsider his decision because we think it is in the best interest of this university.

Chair Hargrove moved approval of the resolution. Ms. Shuping-Russell seconded the motion and it carried.

ADJOURNMENT

There being no further business to come before the Board, Chair Hargrove adjourned the meeting at 5:15 p.m.

BOARD OF TRUSTEES MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in regular session on Thursday, September 27, 2012, at The Carolina Inn, Chancellor's Ballroom, at 8:00 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettpelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J. Alston Gardner	Will Leimenstoll
Peter T. Grauer	

Chair Hargrove 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

On motion of Mr. Grauer seconded by Ms. Hyde, the minutes of the regular meeting of July 26, 2012, were approved as distributed.

Ratification of Mail Ballots

On motion of Ms. Hyde, seconded by Dr. Clay, the following mail ballot dated August 13, 2012, was approved as distributed:

- Personnel actions, actions conferring tenure, compensation actions, and items for information.
(ATTACHMENT A)

CHAIR'S REMARKS

Chair Hargrove reported on:

- **Chancellor Thorp's Announcement.** Thank you to the trustees for their thoughtful work last week as we grappled with Chancellor Thorp's decision to leave his position next year, June 30, 2013. I'm pleased that the campus and local community came together so emphatically to show their support and appreciation for Chancellor Thorp.
- **Chancellor Search Committee.** This board has a critical responsibility to launch a national search to identify the most qualified person to lead the University. We have finalized a 21-member search committee, which I will chair with the assistance of Trustees Barbara Hyde and Felicia Washington as vice chairs of the search committee. Our objective will be to attract the very best candidates possible and determine a slate of finalists to suggest to the full board and, ultimately, to President Ross for consideration by the Board of Governors. We will keep the campus community and public informed about the search process through a soon-to-be-launched website, chancellorsearch.unc.edu.

CHANCELLOR'S REMARKS

Chancellor Thorp spoke about the following:

- **Thank You.** Thank you to the board, students, faculty, staff, the community and our alumni for your overwhelming and humbling support. I also deeply appreciate the support of President Tom Ross and the Board of Governors throughout these recent months. For the next nine months, I will do everything needed to make Carolina an even greater University. I am still very committed to access to higher education, access to health care, and creating and disseminating knowledge that satisfies human curiosity and enables citizenship, equity and prosperity.
- **Julia Grumbles.** Julia Sprunt Grumbles, a former executive at Turner Broadcasting in Atlanta, has been appointed as our interim vice chancellor for advancement. She starts work next week. Julia is a devoted, engaged alumna who has made important contributions to our fundraising efforts as a volunteer, especially with the Women's Leadership Council. She will provide excellent guidance and support to a talented development staff that has been so successful in advancing the University's mission.
- **Hunter Rawlings.** It is a great honor for us to welcome Hunter Rawlings, president of the American Association of Universities, here today for his lecture about research universities and the future of public higher education. I want to encourage everyone here to join us at noon in Gerrard Hall. This is a rare opportunity to hear from one of America's best spokespersons for higher education. Not only does Hunter lead one of the most prestigious higher education organizations, but he has been a college president (Cornell and Iowa), an administrator (at the system and campus level), a department chair and a faculty member. His field is ancient history, and he is also an accomplished scholar and author. The issues that Hunter is concerned about are a vital part of the national debate right now. They also address the essence of our University *is* and how its future will be shaped.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll gave an update on the following items:

- **Student Government:**
 - Introduction of the Executive Branch
 - Gearing up for Chancellor search, Provost search, and Vice Chancellor for University Advancement search

[A copy of Mr. Leimenstoll's remarks is located in the Office of the Assistant Secretary.]

ANNUAL UPDATE: UNDERGRADUATE ADMISSIONS AND SCHOLARSHIPS & STUDENT AID

Provost Carney introduced the speakers for each portion of the presentation.

- **Undergraduate Admissions 2012-2013 by Stephen Farmer, Vice Provost for Enrollment and Undergraduate Admissions.** He reported on the Class of 2016—29,497 applications were received; 7,847 were admitted; and 3,914 were enrolled at the University. 56,390 people visited campus this year and the Great Care initiative was launched. Each visitor was surveyed and an overwhelming percent reported they felt greatly welcomed and taken care of on campus. The class average SAT is 1304. He also spoke about the demographics of the class, engagement, the transfer class, and competition.
- **Financial Aid 2012-2013 by Shirley A. Ort, Associate Provost and Director of Scholarships and Student Aid.** The Office of Scholarships and Student Aid supports the instructional mission of the University by recognizing and rewarding academic talent, removing financial barriers for students, and furthering mutual goals of excellence and equity. Ms. Ort spoke about income of students who receive aid, processing trends, financial aid offers made, disbursement, funding trends, and challenges moving forward.

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.

2012-2013 ACC GOVERNING BOARD CERTIFICATION FORM

Leslie Strohm, Vice Chancellor and General Counsel, presented information concerning 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.

Mr. Curtis moved approval of the ACC Form. The motion was duly seconded and it carried. In signing the form, Chair Hargrove 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)

ELECTION OF MEMBERS TO THE BOARD OF TRUSTEES OF THE ENDOWMENT FUND

North Carolina General Statute 116-36 and Board of Governors' regulations require that the Board of Trustees elect the membership of the Endowment Board of Trustees. There are two (2) vacancies.

Ms. Shuping-Russell moved approval to elect to the Board of Trustees of the Endowment Fund, John Townsend and Peter Grauer each for a three (3) year term ending in 2015. Ms. Hyde seconded the motion and it carried.

(ATTACHMENT C)

ELECTION OF MEMBERS TO THE BOARD OF DIRECTORS OF THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL FOUNDATION, INC.

The Bylaws of the Foundation provide that the Board of Trustees shall elect two directors from the membership of the Board of Trustees and three directors from the membership of the Endowment Trustees. There is one (1) vacancy in the Endowment category of directors.

Mr. Townsend moved approval to elect Peter Grauer to the Board of Directors of the University of North Carolina at Chapel Hill Foundation, Inc. for a term concurrent with his term as an Endowment Trustee. The motion was duly seconded and it carried.

(ATTACHMENT D)

BUILDINGS AND GROUNDS COMMITTEE OF THE WHOLE

Bruce Runberg, Associate Vice Chancellor for Facilities Planning and Construction introduced Jeff Kidd, Director of UNC Property Office to present the following action items to the committee:

- **Acquisition by Lease (Strategic)- Office Space for Renaissance Computing Initiative (RENCI).** This item requires further discussion and will be brought back to the November meeting. No action will be taken at this time.

(ATTACHMENT E)

• **Disposition by Sale- Approximately 1.23 Acres of Vacant Land.** Mr. Townsend moved approval to sell approximately 1.23 acres of vacant land located approximately two miles north of main campus adjacent to the Timber Hollow Apartment Complex on Martin Luther King Jr. Blvd. This 1.23 acres is a portion of an approximately 5.26 acre 1940 acquisition by the University, originally acquired to facilitate the construction of a main electric service line to the campus. The entire 5.26 acre parcel was encumbered by a Duke Energy utility easement dating back to 1941.

The motion was duly seconded and it carried.

(ATTACHMENT F)

Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning & Design and University Architect presented the following item for information only (no formal action was requested at this time).

• **Carolina North Update.** A copy of the annual report was passed out to the trustees, and Ms. Wu reported that work continues on Carolina North.

BUDGET, FINANCE & AUDIT COMMITTEE OF THE WHOLE

• **Self-Liquidating Debt Resolution-** Brian Smith, Director of Treasury and Risk Management Services, presented for action a resolution authorizing the University to issue debt for projects recently approved in the 2012 legislative session with construction expected to begin within one to two years. Projects under subject resolution include: chilled water infrastructure improvements; steam and hot water infrastructure improvements; Craige Parking Deck; athletic facilities master plan and their phase I improvements; and Odum Village replacement. These projects have been approved by the BOG and the General Assembly.

Also, the University is financially leveraged relative to its public university bond rating peer group, but the University does carry the following high bond ratings with stable to positive outlooks: Moody's- Aaa ("Stable" outlook); Fitch Ratings- AAA ("Stable" outlook); and S&P- AA+ ("Positive" outlook).

Mr. Grauer moved to approve the self-liquidating debt resolution. The motion was duly seconded and it carried.

(ATTACHMENT G)

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.

• **2012-2013 Audit Plan Presentation and Approval.** Phyllis Petree, Director of Internal Audit, presented a summary of internal audit projects completed or in progress between and April 23, 2012 and August 26, 2012.

Mr. Grauer moved to approve the audit plan. Mr. Townsend seconded the motion and it carried.

(ATTACHMENT H)

The following items are presented to the committee for information only (no formal action was requested at that time).

• **Internal Audit Report.** Phyllis Petree presented the summary of the final status of the 2011/2012 audit work schedule and progress toward completing the 2012/2013 audit schedule.

• **Fiscal Year End Reporting.** Vice Chancellor for Finance and Administration, Karol Gray, reported the following:

State Outlook Summary

- The State ended the fiscal year on a good note, with \$392 million or 1.8% above their projected revenues.
- Even though it is too early to predict this fiscal year's revenues, it appears that a slowdown in the economic recovery has caused collections to weaken, creating a \$26 million revenue target shortfall for the first two months of FY 2012-2013. The first few months of a fiscal year are the least important months as an indicator of revenue trends for the full year.

Repairs and Renovation Update

- The University's total Repairs and Renovation allocation is approximately \$8.9 million.
- This shows an increase of \$6.7 million more than was presented at the July BOT. The increase is for fiscal year 2011 funding that was never received.
- Ten projects were identified with these funds (ex. Roof and structural repairs, fire and safety needs as well as improvements to roads and walkways).
- The University typically receives approximately 20% of the total R&R funds allocated system wide. For the first time, the State budget office is withholding 5% for contingency on projects that are over \$2 million.
- We anticipate receiving the funds from the State Budget Office in late September to early October of this year.
- In response to the question addressed at the last meeting it was noted that the building code deficiencies represent 29% of our total backlog of the deferred maintenance of \$640 million.

Fiscal Years 2010/2011 and 2011/2012

- The schedule represents current operating funds and excludes endowment and construction funds.
- Total university revenues for fiscal year ending 11-12 was \$3.3 billion with total expenses and transfers of \$3 billion.
- The remaining funds are used for restricted purposes for the Auxiliary operations and Gifts and Grants.
- 52% of the expenses support salaries and benefits.

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.

Committee Chair Shuping-Russell acknowledged receipt of a letter sent to the trustees from the Sierra Coalition.

UNIVERSITY AFFAIRS COMMITTEE OF THE WHOLE

The following items are presented to the committee for information only (no formal action was requested at that time).

• **Tuition Task Force Update.** Executive Vice Chancellor and Provost, Bruce Carney, highlighted what the task force accomplished, highlighted the tuition increase history, and showed comparisons with our public peers. He concluded his remarks by addressing remaining needs.

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.

• **Greek Affairs Update.** Aaron Bachenheimer, Director of the Office of Fraternity & Sorority Life and Community Involvement, spoke about the performance-based recruitment policy, and highlighted the Spring 2012 academic performance summary and the Fall 2012 academic plan.

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.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, 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

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters.

REPORT OF THE BUDGET, FINANCE & AUDIT COMMITTEE

Report of the Naming Committee

Provost Carney presented naming recommendations. Mr. Grauer moved approval by the Board of the naming recommendations. Mr. Gardner seconded the motion and it carried. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Report of the Committee on Honorary Degrees & Special Awards

Chancellor Thorp reminded the Board that they will be choosing a candidate for an honorary degree to be conferred at May Commencement 2013. No action is requested at this time. [A copy of the Report of the Committee on Honorary Degrees & Special Awards is filed in the Office of the Assistant Secretary.]

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated September 17, 2012, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS I-J-K-L)

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss legal and personnel matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner moved approval by the Board of the following personnel actions dated September 17, 2012, which were discussed earlier in closed session. The motion was duly seconded and the items carried.

- Personnel Actions & Actions Conferring Tenure.
(ATTACHMENT I)
- Compensation Actions.
(ATTACHMENT J)
- For information- no items.
(ATTACHMENT K)
- Walk-on Items.
(ATTACHMENT L)

Chair Hargrove stated that the personnel and salary actions voted on in open session have been distributed to the press.

REPORT OF THE COMPENSATION COMMITTEE

Chair Hargrove reported that Chancellor Thorp reviewed the performance and compensation recommendations for senior administrators.

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:14 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 15, 2012, at The Carolina Inn, Hill Ballroom, North & Central, at 8:05 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettpelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J. Alston Gardner	Will Leimenstoll
Peter T. Grauer	

Chair Hargrove 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

On motion of Mr. Townsend and duly seconded, the minutes of the emergency meeting of September 19, 2012, were approved as distributed.

(ATTACHMENT A)

On motion of Mr. Townsend and duly seconded, the minutes of the regular meeting of September 27, 2012, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Townsend and duly seconded, the following mail ballot dated October 15, 2012, was approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and items for information.

(ATTACHMENT B)

CHAIR'S REMARKS

Chair Hargrove then commented on the following:

- **Davie Awards Dinner-** Many thanks to the trustees for helping with last night's dinner to honor this year's recipients of the William Richardson Davie Award. It's the highest honor this board can bestow for extraordinary service to the University or to society, and we are pleased to have recognized these outstanding women who have contributed so greatly to the Carolina's success over the years:
 - **Barbara Fordham**, wife of the late Chancellor Christopher Fordham, who served from 1980 to 1988.
 - **Barbara Russell Hardin**, wife of Chancellor Emeritus Paul Hardin, who served from 1988 to 1995.

- **Sara Hart McCoy**, wife of Acting and Interim Chancellor Emeritus Bill McCoy, who served from 1999 to 2000.
- **Susan Dickerson Moeser**, a current faculty member and wife of Chancellor Emeritus James Moeser, who served from 2000 to 2008.
- **Diane Jackson Taylor**, former assistant to the dean of the College of Arts and Sciences and wife of the late Chancellor Ferebee Taylor, who served from 1972 to 1980.
- **Julia Sprunt Grumbles**, former corporate vice president of Turner Broadcasting, a longtime University supporter and our current interim vice chancellor for university advancement; and
- **Brenda Kirby**, who retired last spring as secretary of this board and of the University after 40 years of service, including 32 years in South Building.

Thanks to everyone who helped make last night a great event for the Board of Trustees and the University.

- **Shirley Ort**. We're also very proud that Shirley Ort, Director of the Office of Scholarships and Student Aid, has been selected to serve a two-year term as vice chair of the Board of Trustees of the College Board, the national nonprofit organization that oversees Advanced Placement classes and SAT exams. She is a member of the national Commission on Access, Admission and Success in Higher Education and has developed a national training workshop for young student aid officers. She also was instrumental in our own Carolina Covenant program, which was the impetus for more than 90 similar programs across the nation.

[A copy of Chair Hargrove's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Thorp spoke about the following:

- **Faculty Honors/Institute of Medicine**. Professors Myron Cohen and Terry Magnuson were recently elected to the Institute of Medicine, the health and medicine branch of the National Academy of Sciences. That's considered one of the highest honors in the fields of health and medicine and recognizes individuals who have demonstrated outstanding professional achievement and commitment to service. Professors Cohen and Magnuson push Carolina's total number of institute members elected from a variety of health-related disciplines since 1979 to 22. We also recently announced that Professor Cohen will be our December Commencement speaker.
- **Faculty Honors/Packard Fellow**. In the Department of Chemistry, Assistant Professor David Nicewicz just received a Packard Fellowship for Science and Engineering. The fellowship is worth \$875,000 over five years in unrestricted grants from the David and Lucile Packard Foundation. Sixteen award winners are picked from all sciences. It's a wonderful honor and very important in the career path of a young faculty member. David is just the third Carolina faculty member to be selected for a Packard fellowship.
- **Administrative Search Updates**. We have decided to re-launch the search process for the Executive Vice Chancellor and Provost, and start the process to fill the position of Vice Chancellor for University Advancement, our chief fundraising officer. Our objective is to move the process along during the spring semester to give the new chancellor an opportunity to provide input and be involved in the interview process and final selections. This will accelerate the transition process within the administration and, I think, help my successor be in the best possible position to hit the ground running. Kristin Swanson has agreed to remain chair of the provost committee with the help of Trustee Gardner. Trustee Lowry Caudill has agreed to lead the committee to recommend a vice chancellor for advancement. We'll announce more information about the membership of the search committees and the process when we have those details finalized.
- **Attainment Metrics**. Last week, I was pleased that our Faculty Executive Committee took a position on attainment metrics in response to the strategic planning process underway for the UNC system by the Board of Governors and President Ross. I support General Administration's

goal of raising the number of North Carolinians who have at least a four-year degree to 31 or 32 percent from 28 percent by 2018. I'm grateful to the FEC for weighing in and keeping this council informed about the issue.

- **Online Education Announcement.** Later this morning, colleagues from a group of leading major universities will be announcing a consortium with some exciting news about a for-credit online education program.

- **Tuition Deliberations.** Today's agenda includes consideration on a set of tuition and fee recommendations that will be presented by Provost Carney.

- **Gender Non-Specific Housing.** This is an important project for the university and it is vital for protecting the safety of our students. I fully support the proposal brought to me a year ago and I am pleased that the committee passed a resolution in support of moving forward with Gender Non-Specific Housing.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll spoke about:

- The Chancellor Search Committee and student involvement
- Campus tragedies and the loss felt by the Carolina community
- Progress by Student Government on their platform goal completion: money.unc.edu, endowment forum, reduced tuition increase for out-of-state undergraduate students
- Engagement with BOG regarding proposed changes to the drop policy
- Proposal for Gender Non-Specific Housing
- Lobbying efforts with University administration, students and parents

[A copy of Mr. Leimenstoll's remarks is located in the Office of the Assistant Secretary.]

TUITION AND FEES PROPOSALS

Bruce Carney, Executive Vice Chancellor and Provost, presented recommendations from the tuition and fees advisory task force. Based on the deliberations of the Task Force, the proposed 2013-2014 tuition increase is as follows:

- Resident Undergraduate- \$600, a 10.3% increase (previously approved in 2011)
- Non-Resident Undergraduate- \$1630, a 6.1% increase
- Resident Graduate- \$509, a 6.5% increase
- Non-Resident Graduate- \$1630, a 6.8% 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 Carney concluded his remarks by providing a summary of fees certain students pay and explained changes in those fees.

Committee Chair 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.

CHANCELLOR'S SEARCH UPDATE

Chair Hargrove thanked the trustees involved with the excellent progress to date with the Chancellor Search Committee. Two subcommittees have been working productively on public forums, an online survey and a draft leadership statement. We held four public forums last week for staff, the community, faculty and students. This week, we launched a brief five-question online survey and are targeting students, faculty, staff, alumni, parents, friends and community members. We've set a December 15 deadline to complete that part of the information-gathering process.

Our committee interviewed three firms at our first meeting on October 8th. We were unanimous in our decision to engage R. William Funk & Associates to recruit candidates on behalf of the Board of Trustees and the University. Funk & Associates specializes in conducting searches at the senior leadership level for major colleges and universities, especially those that, like Carolina, are members of the prestigious Association of American Universities.

Bill Funk spoke about:

- The context of university searches. There are a number of ongoing searches across the country for college and university leaders. There is a lot of turnover, but there are a number of great candidates out there to consider.
- Challenges of the search. Searches have become more difficult because nearly 60% of all sitting presidents are 60 years old or older (graying of the presidency) and there are not many in the next generation who are aspiring to be educational leaders. Only 30% of Provosts aspire to be a president.
- The process of the search. It takes time to build a structure and get as much input as possible from all stakeholders. Then there are a number of steps to take before starting the candidate selection process and scheduling interviews, and follow-up interviews.

After the December 3rd Chancellor's Search committee meeting, the ad will be complete and will be placed in a number of higher education publications.

INNOVATION & THE ROLE OF DIVERSITY: KEYS TO SUCCESSFUL ENTREPRENEURSHIP

Joe DeSimone, Director of the Kenan Institute of Private Enterprise and professor of Pharmacy, Pharmacology, Biomedical Engineering, and Chemistry spoke about how innovation is needed now more than ever. Research alone is not enough. Trends show a decline in researchers, scientific publications and research & development investments. Therefore, diversity is a fundamental tenet of innovation. There are key ingredients for going from invention to innovation. They are:

- The best design teams are the most diverse;
- Mentorship and apprenticeships are essential;
- Strategy is all about being different;
- The most fertile ground for innovation lies between fields;
- Partnerships with domain experts are critical- we learn the most from those we have the least in common with; and
- This is a contact sport.

Dr. DeSimone concluded his presentation by highlighting the benefits of academic entrepreneurship.

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.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Faculty Chair Remarks.** Jan Boxill spoke about:

8 Week Drop Period. General Administration's proposal to alter the drop/add policy to make it consistent with the other 16 campuses in the UNC System. This proposal has not been well accepted by our campus. A 8 week drop period, instead of the 2 week drop period proposed by GA, is in the best interest of this campus. [A copy of Ms. Boxill's remarks is located in the Office of the Assistant Secretary.]

• **Massive Open On-line Courses (MOOCs) and Other On-line Educational Options.** Provost Carney reported on MOOCs. Three organizations: Udacity, edX, and Coursera are quickly developing critical mass to bring on-line education, at a university level, to the world. It will have a significant impact on undergraduate education. It is designed to enhance and augment how large introductory courses are taught. Two major obstacles are authenticating students and their work, and continued funding to remain self-supporting.

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.

• **Gender Non-Specific Housing: An Issue of Student Safety.** Kevin Claybren, Student Coordinator of the Student GNH, and Terri Phoenix, Director of UNC LGBTQ Center, educated the committee on what GNH is and why it is important for student safety.

Ms. Hyde moved approval of a resolution, brought out of the University Affairs Committee, in support of implementing gender non-specific housing at the University of North Carolina at Chapel Hill in a manner and timing to be determined by the Chancellor and the Vice Chancellor for Student Affairs.

Mr. Grauer seconded the motion and it carried.

Chancellor Thorp announced GNH will be implemented beginning in the Fall of 2013.
(ATTACHMENT C)

A copy of the report presentation is located at: www.unc.edu/depts/trustees/

A copy of the report is also filed in the Office of the Assistant Secretary.

BUILDINGS AND GROUNDS COMMITTEE OF THE WHOLE

Bruce Runberg, Associate Vice Chancellor for Facilities Services, gave each of the trustees a book, authored by David Godschalk and Jonathan Howes, entitled The Dynamic Decade: Creating the Sustainable Campus for the University of North Carolina at Chapel Hill, 2001-2011.

Carolyn Elfland, Associate Vice Chancellor for Campus Services presented the following action item to the committee:

• **Carolina Inn Lease Amendment.** Committee Chair Clay moved approval to amend the existing lease of the Carolina Inn property to the Board of Trustees of the Endowment Fund of The University of North Carolina at Chapel Hill. The lease provides for a rent of one dollar per year, terminates on June 30, 2041, and incorporates approximately 5.71 acres. The 5.71 acres is comprised of the Carolina Inn building, the Whitehead building and the surrounding grounds and parking areas. This request is to amend the lease to incorporate an additional .75 acres adjacent to the Whitehead site as shown on the attached map. This .75 acres was formerly occupied by Miller Hall and is now vacant. The additional property will initially be used for surface parking to serve the Carolina Inn

Mr. Townsend seconded the motion and it carried.

(ATTACHMENT D)

REPORT OF THE EXTERNAL RELATIONS & UNIVERSITY ADVANCEMENT COMMITTEE

Committee Chair Don Curtis reported on:

• **University Relations Update.** Nancy Davis, Associate Vice Chancellor for University Relations, spoke about UNC in the news.

A copy of the PowerPoint presentations is located at: www.unc.edu/depts/trustees/
A copy of the presentations is also filed in the Office of the Assistant Secretary.

- **Election Update & Legislative Outlook.** Jennifer Willis, Director of State Relations, spoke about how important it is for the trustees and Carolina supporters to have relationships with the legislators and continue getting our messages across in a positive manner.

A copy of the PowerPoint presentations is located at: www.unc.edu/depts/trustees/
A copy of the presentations is also filed in the Office of the Assistant Secretary.

REPORT OF THE BUDGET, FINANCE & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair, moved ratification by the Board of the following item which was previously approved by the committee. Mr. Curtis seconded the motion and the item carried.

- **Proposed Salary Ranges for EPA Non-Faculty Senior Academic and Administrative Officers (SAAO) Tier II Positions.** Brenda Malone, Vice Chancellor for Human Resources, presented a proposal to establish and implement a competitive, market-based compensation structure for University EPA Non-Faculty SAAO Tier II positions, effective January 1, 2013. Positions with the titles of Chancellor, Provost, Vice Chancellor or Dean are not covered by these ranges. They are considered SAAO Tier I positions – with ranges set entirely by GA.

(ATTACHMENT E)

Ms. Shuping-Russell, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Remarks from Employee Forum Vice Chair.** Dan Barmmer spoke about Forum meetings, Forum communications, staff development funds, and the employee appreciation fair and University Day. [A copy of Mr. Barmmer's remarks is located in the office of the Assistant Secretary.]

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.

- **Budget Update.** Karol Gray, Vice Chancellor for Finance and Administration, provided an overview of the State Biennial Budget process. The State Biennial Budget process begins on the even number years. Each campus in the UNC system prepares and submits biennial budget requests to UNC General Administration. Board of Governors approves UNC budget and submits final recommendation to the Governor. Once approved by the Governor, the NC General Assembly considers the UNC budget request along with the Governor's recommendations. The budget is broken into three components: Continuation Budget, Capital Budget, and Expansion Budget.

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.

- **Development Update.** Julia Grumbles, Interim Vice Chancellor for University Advancement, provided an update on Development.

FY 2012 Progress Report

	11/5/12	11/5/11	% change
New commitments	\$87,464,137	\$86,541,939	1%
Gifts Received	\$75,028,146	\$67,579,538	11%

Pipeline

\$214,121,950 proposals in the pipeline

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.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, 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 BUDGET, FINANCE & AUDIT COMMITTEE

Report of the Committee on Honorary Degrees & Special Awards

Committee Chair Shuping-Russell moved approval of the nominees for Distinguished Alumna/Alumnus Awards to be presented on University Day, October 12, 2013. All nominees were previously presented to the Budget, Finance and Audit Committee and approved by the committee. Ms. Hyde seconded the motion 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.]

Committee Chair Shuping-Russell moved approval of a nominee for an Honorary Degree to be conferred at May Commencement 2013, to the Commencement Speaker. The motion was duly seconded and it carried.

Honorary Degree Candidate Selection

Julia Grumbles presented candidates for an Honorary Degree to be conferred at May Commencement 2014. The trustees discussed the candidates and will present their nominee to the Committee on Honorary Degrees & Special Awards.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated November 5, 2012, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS F-G-H)

LEGAL ADVICE

Vice Chancellor and General Counsel Leslie Strohm advised the Board on several legal matters, and brought forth a request for approval of non-salary compensation. The actions will be voted on in open session.

(ATTACHMENT I)

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss legal and personnel matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss legal and personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove reconvened the meeting in open session.

OPEN SESSION

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner moved approval by the Board of the following personnel actions dated November 5, 2012, which were discussed earlier in closed session. Ms. Hyde seconded the motion and it carried.

- Personnel Actions & Actions Conferring Tenure.
(ATTACHMENT F)

- Compensation Actions.
(ATTACHMENT G)

- For Information- no items.
(ATTACHMENT H)

Chair Hargrove stated that the personnel and salary actions voted on in open session have been distributed to the press.


WALK-ON ITEM— APPROVAL OF NON-SALARY COMPENSATION

Dr. Clay moved approval of the Chancellor's Cabinet and the Deans being eligible, at the Chancellor's discretion, to receive non-salary compensation in the form of tickets to athletic events in an annual amount not to exceed \$2500, subject to appropriate reporting of any personal use as taxable income. This approval is given pursuant to the University's Policy on Deferred and Non-Salary Compensation. Dr. Lerner seconded the motion and it carried.

(ATTACHMENT I)

ADJOURNMENT

There being no further business to come before the Board, the meeting adjourned at 2:02 p.m.


Assistant Secretary

BOARD OF TRUSTEES EMERGENCY MEETING
The University of North Carolina at Chapel Hill

The Board of Trustees met in special session on Thursday, December 20, 2012, at The Carolina Inn, Hill Ballroom Central & North, at 10:00 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettpelez called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J. Alston Gardner	Will Leimenstoll
Peter T. Grauer	

Chair Hargrove 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."

CHAIR'S REMARKS

Chair Hargrove thanked the Board and members of the University community for being here today. He said that the Board is keenly aware of the interest of the taxpayers of North Carolina, of alumni and friends of the University in the matters being discussed. It's the Board's hope that they will receive answers to the key questions that all of us have been asking for more than a year. Chair Hargrove welcomed Governor Martin, thanked him for leading this important investigation. He also welcomed representatives of the firm Baker Tilly and expressed appreciation for their service to the Board.

After receiving the results of the Hartlyn-Andrews report last spring, the Board felt the need for a professional independent firm experienced in auditing educational institutions to review the new academic reporting and audit controls that had been recommended by Dean Gil and her colleagues. Whatever the previous deficiencies that existed in the University's academic audit controls, it was the view of the Board of Trustees and of Chancellor Thorp and of Dean Gil that the conspicuous lapses of the past cannot be repeated and that management controls must be in place to assure immediate detection and correction of any irregularities of this kind going forward. Chair Hargrove then asked Trustee Gardner to report on the process for selecting a consulting firm. Trustee Gardner mapped out the process:

- Spoke with a number of other universities who helped identify firms with expertise in this area.
- Consulted with faculty and university leaders including Provost Bruce Carney; Jennifer Conrad, the Senior Associate Dean of the Kenan-Flagler Business School; Bobbi Owen, the Senior Associate Dean for Undergraduate Education in the College of Arts and Sciences; and Chris Derickson, the Registrar of the University.
- Identified a number of firms and narrowed it to three.

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- Invited Deloitte Consulting, Heron Consulting and Baker Tilly to come to campus and present their capabilities
- Trustees Caudill, Hargrove and Clay attended some of the presentations. The consensus was that Baker Tilly's team had the right combination of experience and expertise to best help the campus review all the policies, procedures, systems and processes related to undergraduate education.
- Recommended that Chancellor Thorp hire Baker Tilly.

Chair Hargrove thanked Trustee Gardner and mentioned that the report by Governor Martin and Baker Tilly is impressive. It's one of five investigations into these matters, each of which is independent of the other. The report from Governor Martin appears to be thorough and comprehensive. He received the full support of the University's administration and staff in connection with the investigation.

Chair Hargrove continued that members of the University community and those for whom this institution means so much will find portions of the report painful. It would be unfair however, to allow the failures of a few individuals to sully the reputation and the good name of each of the other 3,500 faculty members and 8,000 staff employees who had no knowledge of, nor played in any part in, any of these indiscretions and who have dedicated their professional lives to making this one of the world's most respected educational and research institutions. The failures and irregularities here strike at the very core values of this University. In facing and correcting the problems, we honor more than 200 years of commitment by members of the faculty, the staff and the administration and Trustees, past and present, to ensure that every student who comes to Chapel Hill receives a rigorous, challenging and meaningful academic experience. These irregularities must never, ever be allowed to occur again. The Trustees and Chancellor Thorp are joined in this commitment by President Ross, by the Board of Governors' Chair Peter Hans and members of the Board of Governors' Academic Review Panel. Chair Lou Bissette and members of that panel, Hari Nath, Walter Davenport, Ann Goodnight and James Deal, are with us today.

Chair Hargrove pledged to do everything that the Board can do to resolve these issues. Following the meeting, the Board of Governors' Academic Review Panel will meet with Governor Martin and with Baker Tilly at the Spangler Center at General Administration. The members of that panel will report their findings to the full Board of Governors next month. Today's report reflects a collective commitment of this Board, that of Chancellor Thorp, President Ross, and the Board of Governors to ensure and protect the academic integrity of this great University for generations to come.

CHANCELLOR'S REMARKS

Chancellor Thorp thanked everyone for being at the meeting, and he spoke about how important it is to maintain and rebuild the integrity of the University. Chancellor Thorp said the following:

We come here with a mix of sadness, anger, and hope- sadness because of the toll that this has taken on the University and the people who love it; anger because of the irresponsible actions of a few people; and hope because today is an important milestone for our University and for all of us. For years we've been proud and you might even say boastful of always doing things the right way. We can't run away from what we've learned. We made mistakes in the past. We were complacent. We didn't ask hard questions that should have been asked, and we didn't live up to our reputation. We have

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to acknowledge that we had an environment that placed too much trust on people and not enough emphasis on having the systems in place to catch the issues that we're here to talk about today. We still need a system of trust, but we also need appropriate accountability. We have to acknowledge all of these things and we have to get better. We can't be the world-class university that we are and the economic driver for the State that we are if there are any questions about our integrity. He then introduced Governor Martin and thanked him for his time and energy. He also introduced and thanked Baker Tilly for their leadership in the investigation. We will implement the reforms they have suggested so that this never happens again.

I've had the opportunity to be briefed by Governor Martin and Baker Tilly on their report and I'm confident that no other university has ever opened itself to this kind of investigation. The hard questions have been asked and today we have the answers. We're here today to receive the reports and to embrace any findings and move forward as a much stronger university. Jim Martin's credentials were perfect for this assignment. In addition to being a former Governor and Congressman, he is a former Davidson College Chemistry faculty member who served on the faculty, athletics and admissions committees. Governor Martin accepted no payment for this assignment, and I'm confident that at the time he agreed to do it, he had no idea how much time it was going to take. Governor, we are very grateful. Thank you.

Chancellor Thorp continued:

When Governor Martin and Baker Tilly agreed to this assignment, I told them to explore any and all issues as they saw fit with no restrictions. And as has already been said, and I believe Governor Martin will say again, we have cooperated fully. Over the past year we have strived to understand what went so wrong, and we have focused on implementing every reform possible to ensure that we are never in this position again. This is an important day for the University of North Carolina at Chapel Hill. We are embracing these findings and we are moving forward as a stronger University. I hope that ultimately we will be judged not only by what happened here, but by what we are doing about it. So thank you all for being here today.

PRESENTATION OF POLICY AND PROCEDURES REVIEW

Raina Rose Tagle, of Baker Tilly, reported that this was an objective, external assessment regarding the efforts of the Institution to enhance academic policies, procedures, processes and systems.

In thinking about the types of controls (preventative and corrective), the cost effectiveness, and the practicality of what will succeed in an academic environment, Baker Tilly was given by the University a set of criteria against which to assess the new policies, procedures, processes and systems that the University has put into place. In short, Baker Tilly was assessing the design of the new policies, procedures, processes and system. Operational effectiveness was not tested since these are new changes.

The Hartlyn-Andrews Report and the report of the Independent Study Task Force was the start of Baker Tilly's work to identify what are the risks that all of these new changes are intended to address, what could go wrong and how to best implement the changes. The review process was iterative and Baker Tilly worked with the institution to enhance the policies and procedures.

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Ms. Rose Tagle stated that the Baker Tilly review found no gaps in the new policies, procedures and systems put in place by the University. Ultimately, Baker Tilly believes that the work performed by the University will position this institution well as it looks toward the future.

PRESENTATION BY GOVERNOR MARTIN & BAKER TILLY

Governor James Martin gave a full report on his review and findings surrounding the academic anomalies. Last summer, the University of North Carolina at Chapel Hill requested that the Governor undertake a deeper review to investigate "serious anomalies" related to the course offerings and methods of instruction within the Department of African and Afro-American Studies (AFRI/AFAM). The University engaged Baker Tilly, a national advisory firm, to assist with the review. Baker Tilly has experience in working with other institutions on sensitive matters and is accustomed to performing such reviews objectively, but also cooperatively. The review team worked independently from University leadership and staff, but with their full cooperation. We were granted unfettered access to University systems, records, and personnel. Specifically, we were ask by the university to find out when this problem began and why and to see if anything like it had occurred in other departments and to, above all, follow the evidence. We were expected to be independent and thorough. And we began with a general attitude of caution, if not suspicion, regarding any view that we received that could not be corroborated.

The review looked at every course in every department taught by every instructor with grades and grade changes for every student going back as far as useful electronic data were available, back to 1994. That included 172,580 course sections, taught by 12,715 instructors for a total of 118,611 undergraduate students. That required processing almost five million data elements. We interviewed 86 individuals, most at our request but some at their own initiative. Those interviews include student-athletes, undergraduate students, faculty, staff, administrators, current and former coaches, advisors, counselors, tutors and one mom. In every aspect, cooperation throughout the university was impeccable and our access was unrestricted. We did receive a number of additional opinions and observations, but limited our findings to those we could corroborate.

Findings:

- This was not an athletic scandal. It is an isolated academic scandal, contained to one department, AFRI/AFAM.
- As the internal Hartland-Andrews review surmised, the anomalous courses in the department did not begin in 2007. The first course occurred in the fall of 1997.
- We found nothing inconsistent with the internal Hartlyn-Andrews Review. We found red flags in other departments that aroused our curiosity, but found reasonable, acceptable explanations for those courses. After pursuing a large number of leads, we found no evidence to implicate parties other than those identified by the Hartlyn-Andrews Review.
- Within AFRI/AFAM, no other faculty member was involved unethically, other than former Chairman Nyang'oro and Administrator Crowder. Eight other professors were unwittingly and indirectly compromised in dozens of instances in which someone else signed their signatures to Grade Rolls, and Grade Change Forms, without their knowledge or authorization to do so.
- The patterns of activity with Type 1 and Type 2 courses spiked in the 2003 – 2006 span. It disappears in the summer of 2009, when Administrator Crowder retired. While the review can't confirm that all of the independent course sections flagged in the department were

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defective (in fact, some may be legitimate), you can see the magnitude during this timeframe.

- Enrollments in these courses were never restricted to student-athletes, although in a few instances their proportions exceeded 40% occasionally reaching a very high percentage and occasionally very low. Some courses had no student-athletes at all.
- In general, grade changes do not appear to be isolated or reserved for student-athletes.
- The total number of all course sections offered in AFRI/AFAM over this span was 1,992. The total number of Type 1 and Type 2 anomalous lecture courses was 167. The total enrollment within the department was 66,584 while the total enrollment in the anomalous courses was 4,194, or 6%.
- In the course of the review, a clear motive was not discerned. The evidence is consistent with one hypothesis that these courses were provided for the primary purpose of enlarging the department's enrollment. As a generality, no one was paid for having more than the number of courses. There is no evidence that anyone outside the department was active in its instigation or its continuance. There is no evidence that counselors or students or coaches had anything to do with perpetrating this abuse.
- On two occasions in 2002 and 2006, leaders of Academic Support for Student Athletes brought the Faculty Athletic Committee information about students taking independent study courses, including that that one professor might be teaching lecture classes in an independent study format. At the time, that information regarding independent studies was not deemed to be alarming by the FAC.

Governor Martin continued by commenting on grade inflation as a concern throughout higher education.

Members of the Board of Trustees asked numerous questions of Governor Martin and Raina Rose Tagle of Baker Tilly.

A copy of the full report is located in the Office of the Assistant Secretary.
A copy of the presentation is located in the Office of the Assistant Secretary.

RECESS

Chair Hargrove recessed the Board meeting at 12:12 p.m. to attend a press conference.

RECONVENE

Chair Hargrove reconvened the Board meeting at 12:58 p.m.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, 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).

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION


Chair Hargrove reconvened the meeting in open session.

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OPEN SESSION

ADJOURNMENT

There being no further business to come before the Board, Chair Hargrove adjourned the meeting at 2:07 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, January 24, 2013, at The Carolina Inn, Hill Ballroom, at 8:00 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J. Alston Gardner	Will Leimenstoll

Peter T. Grauer was absent.

Chair Hargrove 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. Townsend, and seconded by Ms. Shuping-Russell, the minutes of the regular meeting of November 14-15, 2012, were approved as distributed.

Ratification of Mail Ballots

On motion of Mr. Townsend, and seconded by Ms. Hyde, the following mail ballot dated November 20, 2012 was approved as distributed:

- Matters related to the Endowment Fund.

(ATTACHMENT A)

On motion of Mr. Townsend, and seconded by Ms. Hyde, the following mail ballot dated December 10, 2012, was approved as distributed:

- Personnel actions and actions conferring tenure, Compensation Actions, and items for information.

(ATTACHMENT B)

CHAIR'S REMARKS

Chair Hargrove thanked Trustee Lerner for hosting dinner at his house last night. President Tom Ross and BOG Chair, Peter Hans joined the Trustees for dinner. He also welcomed Peaches Blank, a member of the Board of Governors and former Chair of the NC State Board of Trustees. He then reported on the following:

- **National Academy of Inventors-** Congratulations to Chancellor Thorp and Dr. Oliver Smithies for recently being named charter fellows of the National Academy of Inventors. The academy is a nonprofit organization that recognizes investigators who translate their research

findings into inventions that make a tangible impact on quality of life, economic development and the welfare of our society. The academy recognized Chancellor Thorp for launching the "Innovate@Carolina: Important Ideas for a Better World" initiative on campus and co-authoring "Engines of Innovation— The Entrepreneurial University in the 21st Century," a UNC Press book that makes the case for research universities as agents of societal change. He holds 12 U.S. patents and co-founded Viamet Pharmaceuticals, which is developing drugs for prostate cancer and fungal infections. Dr. Smithies, the Weatherspoon Eminent Distinguished Professor of Pathology and Laboratory Medicine. In 2007, he received the Nobel Prize in Medicine for discoveries that laid the foundation for today's research into gene therapy. He holds six U.S. patents, is a member of the National Institute of Medicine and the National Academy of Science and received the Albert Lasker Award, often called the U.S. equivalent of the Nobel Prize. Holden Thorp and Oliver Smithies represent the very best of academic research at Carolina, and we are enormously proud of their accomplishments.

- **Chancellor Search Update-** Since our last meeting, the Chancellor Search Committee has met twice this month, including last Friday, and we're scheduled to meet again on February 4th. We're pleased with the progress of the search, and we will keep the board informed.

- **Sexual Abuse on Campus-** The Board is aware of allegations that the University has not been sufficiently sensitive to alleged sexual abuse on campus. We take this quite seriously and we are working with the chancellor, campus and legal counsel. I want to encourage everyone to reserve final judgment until all the facts are in. Because these allegations have been presented for independent review with the Office of Civil Rights, it would be premature and inappropriate for any of us to comment at this point on much of these allegations. Be assured that the campus community is taking this very seriously and we will deal with it in a responsible and timely manner.

- **UNC/N.C. State Trustees Joint Meeting-** This afternoon we'll meet with members of N.C. State University's Board of Trustees to talk about the many ways in which our campuses collaborate and can do even more together in the future. Bob Winston is responsible for establishing the tradition of meeting together, and it's proven to be a very valuable investment of time. We're delighted that Chair Barbara Mulkey and her colleagues have been receptive to continuing these trustee-level conversations. One current example of collaboration between the two campuses is through the Blackstone Entrepreneurs Network, a five-year initiative to help the Research Triangle become headquarters for high-growth companies with the greatest potential to create new jobs. In addition to UNC and N.C. State, other partners include N.C. Central, Duke and the Council for Entrepreneurial Development. There is a long list of other partnerships between just the two campuses, and quite often with many other partners from higher education, nonprofits and the private sector. I encourage the trustees, along with faculty, staff and students, to continue conversations with your counterparts at N.C. State about we can expand our collaborative efforts. There's tremendous value in working with our sister UNC campuses and other partners for the common good, especially in the current economic climate. It's good for our campuses and the state.

CHANCELLOR'S REMARKS

Chancellor Thorp reported on the following:

- **UNC/NC State Joint Meeting-** Provost Bruce Carney and Provost Warwick Arden from N.C. State will give us an update on current partnerships, and then Chancellor Woodson and I will lead the discussion on creating new ones in the context of the strategic directions committee appointed by President Ross and the Board of Governors. Collaboration among the UNC sister campuses is an important part of the current discussion about the future of higher education in North Carolina. Here's one snapshot of what our faculty's research with their counterparts at N.C. State has produced to date:

- o 23 U.S.-issued patents
- o 6 U.S. patent applications
- o 8 foreign-issued patents
- o 66 foreign patent applications
- o 5 commercialization agreements; and
- o 5 start-up companies

We're incredibly fortunate to have such strong relationships with our colleagues at N.C. State, and I look forward to the discussions this afternoon.

- **Kiplinger's ranking-** Kiplinger's ranked UNC the #1 value in public higher education -- "stellar academics" at a bargain price. 12th time in a row we've been #1; 5 other UNC campuses are in the top 52. Access and affordability allow us to attract great students from a broad range of backgrounds with diverse interests and career goals. No aspect of this University is more crucial to who we are as a campus. It's the marriage of that with academic excellence that creates the unique environment here. This ranking is great recognition for the University and affirms our core values. Thank the trustees for their support of our tuition policy and the University's approach to need-based financial aid.

- **State Budget Outlook-** Jennifer Willis, our state liaison, reported to the External Relations and University Advancement committee yesterday. While we aren't going into this biennium facing the \$2 billion operating budget shortfall we did in 2011, we don't expect much opportunity for expansion funds. There has been a lot in the news about the fiscal cliff. Congress took a step back with its January 1 vote to address tax provisions, and that's good news for things like research and development tax credits.

- **Personnel and search updates:-**

- o Nursing Dean Kristen Swanson is leading the search for the next executive vice chancellor and provost. She will convene the first meeting of that committee next week. Trustee Gardner is representing the Board for that search.

- o Trustee Lowry Caudill is chairing the search for the vice chancellor for development. That committee met for the first time on Tuesday. We faced a similar personnel situation with vacant provost and vice chancellor for finance and administration positions in 2000. Initiating these searches now will help accelerate the transition process and put my successor in the best possible position.

- o Larry Conrad, our vice chancellor for information technology and chief information officer, is heading to the University of California – Berkeley to become chief information officer. Larry has done so much in the last five years to advance information technology. Through his efforts, our IT infrastructure that supports teaching and research is stronger than ever and our systems are more secure and stable. And he has worked to reduce recurring IT costs by about \$12 million. Chris Kieft is serving as interim vice chancellor and assume the CIO responsibilities until my successor can make a decision about a permanent successor. Chris has been the associate vice chancellor for administrative systems and business transformation. He came from Stony Brook University, where he served as CIO. He has 25 years of higher education administrative experience, including more than two decades at Yale.

- **Sexual Assault Response Plan/Gina Maisto Smith-** We're closely monitoring developments involving a complaint about how we handle sexual assault reports that was filed last week with the Office for Civil Rights (OCR) in the U.S. Department of Education. We have not seen the complaint. The Office for Civil Rights is evaluating the allegations, and that process typically takes up to a month. If the Office for Civil Rights determines that an investigation is warranted, we will cooperate fully with their independent, outside review. From a policy perspective, media reports suggest the allegations focus on our past practices – not what's in place now. Because of federal and state privacy and personnel laws, we can't talk publicly

about specific cases involving individual students or the job performance of a former employee, but we can comment on the allegation appearing in media stories that we underreported sexual assault cases. Leslie Strohm, our vice chancellor and general counsel, will address that issue in a few minutes. A year ago, the OCR issued the "Dear Colleague" letter about the responsibilities of campuses under Title IX of the Education Amendments of 1972. As a result, many campuses including ours launched an extensive review of policies and procedures for addressing and responding to sexual assault allegations. Those guidelines were the basis for what we've implemented this academic year. Student well-being is one of the biggest issues facing colleges and universities. It's a daunting responsibility to get this right.

I've been talking to colleagues around the country because we can always learn from other campuses. Especially helpful was a conversation with President Carolyn Martin at Amherst, which has faced some similar challenges and responded to them thoroughly and positively. As a result, I'm pleased to announce that we have talked with Gina Maisto Smith, who has been helping the Amherst community more fully discuss these topics, and are seeking the required approvals to retain her. Gina is a nationally recognized lawyer who consults with colleges and universities about sexual misconduct issues including campus responses to the "Dear Colleague" federal guidelines. Previously, Ms. Smith was a prosecutor for sex crimes cases. In talking with her, we feel she has excellent ideas and experience that could bring a healthy outside perspective to where we are on our campus today. I'm appealing to everyone who believes this work is important to participate. We feel good about the changes we've made this year and the deliberative process from which they originated. But we'll welcome all additional feedback.

In the meantime, it's important to recognize the extent to which so many people at Carolina have been working diligently to overhaul our previous process. I commend all of the campus departments, including Student Affairs, the Office of University Counsel and the Equal Opportunity/ADA Office, that have been part of those efforts. Vice Chancellor Crisp and I have talked with students about sexual assault response and interpersonal violence regularly during my open house sessions with students. The Faculty Council passed a resolution last spring supporting the need for changing our policies. Those discussions and that process produced a policy that we believe complies with the new federal guidelines and is fair and supportive to students.

Vice Chancellor and General Council, Leslie Strohm, presented a clarification on the allegations regarding sexual assaults on campus. All UNC Counsel has on these allegations are what has been published in the newspaper and has not been provided the content of the complaint. Therefore, it is possible that it contains additional information that hasn't been reported. Also, allegations, even those printed on the front page of a popular newspaper, can be false. The allegations about under reporting are false and they are wrong.

Ms. Strohm then reported on the process for the Campus Security Report:

- It is a document we are required to prepare by federal law. It has to be publically posted each year by October.
- The Office of General Counsel begins preparing the document in January, gathering data from student affairs, human resources, campus police, Chapel Hill police, Carrboro police, and any and all jurisdictions in and around campus, UNC Hospitals, and all university property.
- The document is usually over fifty pages.
- Once the data is compiled, it is organized and reviewed extensively.

Ms. Strohm provided the BOT with two handouts (a memo and a report) which compares the allegation memo that lists 12 reported incidents and the UNC Counsel report which covers these 12 plus 7 additional sex offenses that are not mentioned in the memo. Some false allegations are result of misunderstanding. Conversations about sexual violence are worth having. The attention these allegations bring to OCR will certainly bring light to a situation which needs attention at a national level and UNC Counsel will be participating in those discussions.

Vice Chancellor for Student Affairs, Winston Crisp, noted that, historically, sexual assaults are under reported. This issue is of utmost importance to the office of Student Affairs. Sexual violence and other forms of violence are a real problem in our society and on this campus. We have the responsibility to provide all the support and access to services to those victims. We also have a responsibility to provide a fair and equitable adjudicative process on these issues. Much hard work will continue to take place in this area. We have been working for well over a year to overhaul the processes and policies so that they are consistent with federal and state guidelines, and with our desire for what we want our campus to be. That work is ongoing and includes input from a wide variety of people, including some of those behind this complaint. We have a number of resources available and there are new positions that specifically support student complaints about violence and assault. There is always work to be done, and we will continue to do the work and do it well.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll thanked Leslie and Winston for addressing the difficult challenge of the sexual assault allegations. He acknowledged their hard work for students over the years and the integrity and care with which they have acted towards all students that come to them. He then spoke about the following:

- Safety Student Task Force
- 5 Year Strategic Plan through the Association of Student Governments
- Student Body President campaigning is underway

A copy of Mr. Leimenstoll's remarks is located in the Office of the Assistant Secretary.]

REPORT ON INVESTMENT FUNDS

Jonathon King, President and Chief Executive Officer of the UNC Management Company, Inc., presented this report to the Board:

- UNC Investment Fund Summary.
 - 1) Market Value of the Investment Fund at June 30, 2012- \$3.18 Billion, a 2.1% increase from last year.
 - 2) We are confident that the UNC Investment Fund will continue to produce attractive long-term returns with a relatively low level of volatility.
- UNC Chapel Hill Foundation Investment Fund Summary.
 - 1) The market value of UNC CH Foundation Investment Fund at June 30, 2012- \$2.14 Billion, an \$80 million decrease from last year, but there has been a 5.5% return in the first six months of FY 2013.
 - 2) \$119 million was distributed from the Endowment Fund for spending in 2012.

Mr. King also detailed the investment fund objectives and implementation. He also highlighted the challenges and successes in the investment market over the last year and significant SIPP changes. Following his report, he entertained questions from the Trustees.

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.

The Buildings and Grounds Committee met as a Committee of the Whole.

REPORT OF THE BUILDINGS AND GROUNDS COMMITTEE

Committee Chair, Phillip L. Clay called on Bruce Runberg, Associate Vice Chancellor for Facilities Services, to present the following action items to the committee:

- **Design Approval- South Road Pedestrian Bridge.** Committee Chair Clay mentioned that this item has been removed from the agenda and will come back to the committee at a later time.

- **Designer Selection- Odum Village Replacement.** Ms. Hyde moved approval to replace the existing Odum Village housing units with a new 500 bed suite or efficiency style apartment units. Various on-campus sites will be considered as part of the advance planning effort. The project budget is \$25M and will be funded by Student Life and Residential Education. The committee recommended the selection of three firms in the following priority order:

1. Clark Nexsen Raleigh, NC
2. O'Brien Atkins / Mitchell Matthews Durham, NC
3. Pierce Brinkley Cease + Lee / Ayers Saint Gross Durham, NC

Clark Nexsen was recommended because of the strength of its team and its recent and relevant experience.

Mr. Curtis seconded the motion and it carried.

(ATTACHMENT C)

- **Designer Selection- General Storeroom Reroofing.** Mr. Hargrove moved approval to replace the existing roof of the 97,000 SF General Storeroom Building which is located within the Giles F Horney Complex. The project budget is \$879,000 and will be funded by the 2011-2012 Repair and Renovations Appropriations. The committee recommended the selection of three firms in the following priority order:

1. REI Engineers Raleigh, NC
2. Falcon Engineering Raleigh, NC
3. Atlas Engineering Raleigh, NC

REI Engineers was recommended because of the strength of its team and its recent and relevant experience.

Mr. Curtis seconded the motion and it carried.

(ATTACHMENT D)

Mr. Runberg presented the following item for information only; no formal action was required by the committee.

- **Semi-Annual Capital Report.** Mr. Runberg reported that seven projects were finished. \$107 million worth of projects are still under construction and design. We still have a healthy backlog for the year to come. He asked if there were any questions.

(ATTACHMENT E)

Gordon Merklein, Executive Director of Real Estate Development, presented the following item to the committee for action.

- **Property Acquisition by Lease- Office Space for UNC Center for Developmental Sciences.** Ms. Hyde moved approval to acquire approximately 11,026 SF of office space located at 100 E. Franklin St. in Chapel Hill for use by the UNC Center for Developmental

Sciences. The lease term will be five years, with a renewal option for an additional five years, at an initial annual rate of \$245,000 with 2% annual escalation. Riddle Commercial Properties Inc. was selected as the lessor through a public bid process. Board of Trustees approval is required because the annual rent for this lease exceeds \$150,000.

Ms. Shuping-Russell seconded the motion and it carried.

(ATTACHMENT F)

Gordon Merklein, Executive Director of Real Estate Development, presented the following item to the committee for information only; no formal action was required by the committee.

- **Semi-Annual Lease Report.** Mr. Merklein directed the committee to the attachment and asked if there were any questions.

(ATTACHMENT G)

Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning and Construction, presented the following item for information only; no formal action was required by the committee.

- **Carolina North Update.** Anna Wu provided an update to the committee. She spoke about the conservation areas and finalizing our third-party monitor. The restrictive covenants have been approved by the trustees and by the council of state in December of 2012. We have identified some signage to identify those areas. They will be installed around the edges of the conservation areas to let the users of the forest know they are entering those areas. A public information session will be scheduled for the neighbors to introduce our third-party monitor. We have completed a land stewardship policy, available on our website. This policy documents the management practices for the conservation areas and development areas.

REPORT OF THE EXTERNAL RELATIONS & UNIVERSITY ADVANCEMENT COMMITTEE

Committee Chair, Don Curtis, reported on the following:

- **Legislative Session Update.** Jennifer Willis reported that there is a lot going on in the General Assembly and that there has a lot of new membership.

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.

- **UNC Press Update.** John Sherer, Director of UNC Press, gave the update.

REPORT OF THE BUDGET, FINANCE & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Comprehensive Annual Financial Report for FY 2010-2011.** Dennis Press, University Controller, presented an overview of The University's Comprehensive Annual Financial Report (CAFR) for FY 2011-12.

- The University's financial position at June 30, 2012 remained solid.
- The financial statements received an unqualified audit opinion issued by the State Auditor. Also, there were no financial audit findings and no audit adjustments were required.
- Net assets increased \$131 million in 2012, less than the \$391 million increase in 2011. Major factors include a reduction in state appropriations support of \$100.8 million for FYE 2012 and the lower return on the long-term investment fund of 2.1 percent in 2012 compared

to 15.3 percent for 2011. Continued strength in contracts and grants funding and private fundraising and additional tuition revenues provided important resources.

- The state appropriations net decrease was \$48.2 million, or 9.0%, as funds were received for additional student enrollment, operating funds for new buildings, and restoration of non-recurring budget reductions.
- Operating expenses remained essentially flat with an increase of 0.7% and a total of \$2.4 billion. The only significant increases in the major expense categories reported in the income statement were in depreciation of capital assets which increased by 10.5% and in scholarships and fellowships which increased by 6.3%. The remaining expense categories had very slight or negative changes from the prior year.

(ATTACHMENT H)

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.

A copy of the Report is located at <http://www.unc.edu/depts/trustees/>

• **Review of First Half Fiscal Year 2012-2013 Budget Status.** Karol Gray, Vice Chancellor for Finance and Administration, reported on the status of the budget to actual for the first half of the fiscal year ending December 31, 2012. Overall there were no significant variances to both the revenue and expenditures that warrant attention. Revenues for the first six months of the fiscal year was \$1.793 billion compared to budget of \$1.8 billion, a difference of \$14,726 million less than a 1% difference. The expenditure budget is under budget by \$115 million or 7.1%. Compared to the two fiscal years actual, expenditures are higher than the two previous years.

• **Review of Outlook Fiscal Year 2013-2014 Budget.** The Budget Committee is planning on a potential budget cut of 2% or 5% cut which could mean \$9.5 million or \$24 million to the University. The State's economy is expected to continue the trend of slow, yet steady, economic growth. The University has received the \$8.8 million and just received spending authority from the Office of State Budget Management (OSBM) on Friday. We are in the process of spending the project funds promptly.

• **Update on Carolina North Update.** Bruce Runberg, Associate Vice Chancellor for Facilities, presented the funding and phases of the work accomplished to date on Carolina North. The University has invested \$7.15M toward planning Carolina North over the last ten years.

• **Internal Audit Report.** Phyllis Petree, Director of Internal Audit, presented a summary of internal audit projects completed or in progress between August 26, 2012 and December 16, 2012. Two projects, the review of the Office of the Executive Director for the Arts and of Advancement expenses, identified significant control weaknesses issues which have been corrected.

(ATTACHMENT I)

• **Development Update.** Julia Grumbles, Vice Chancellor for University Advancement, provided an update on Development. She highlighted the following:

• FY 2013 Progress Report

	1/14/13	1/14/12	% change
○ New Commitments	\$137,854,704	\$153,980,473	-12%
○ Gifts Received	\$129,436,357	\$140,204,777	-8%
○ Pipeline	\$241,915,792 proposals in the pipeline		

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.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, University Affairs Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Faculty Chair Remarks by Jan Boxill.** Faculty Chair, Jan Boxill mentioned:
 - **Governor Martin Report.** While the faculty understands the need to move forward, some faculty are concerned that the Martin Report misrepresents a discussion about independent study courses and that the report implies the Faculty Athletics Committee knew and let academic fraud continue under the guise of academic freedom.
 - **2013-2018 UNC Strategic Plan.** We have seen the full draft of the Strategic Plan, entitled, "Our Time, Our Future: The UNC Compact with North Carolina" which was distributed last Thursday January 17th. The Board of Governors listened to the faculty's concerns and implemented a number of changes.
- **Executive Officers Update & Student Enrichment Fund.** Will Leimenstoll, Student Body President, has his Student Government Cabinet present updates on:
 - The Student Advisory Committee to the Chancellor (SACC).
 - Money.unc.edu and its database search information on scholarships and student aid, as well as public information on financial aid websites. This website centralizes all the financial websites available to UNC students.
 - UNC Mobile App development and expansion.
 - "Tarheel Certified". This program offers training for student organizations which would be required in order for them to become 'certified' by UNC. This pilot program is in the development and preliminary testing phases.
 - Student government's review of MOOC's. This online possibility allows UNC to essentially educate the world and "flip" the classroom approach. It could shorten the diploma program and lessen the financial burden of higher education.
 - Jon Curtis Student Enrichment Program which provides grant funding for expanded educational experiences.

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.

• **Applied Sciences.** Karen Gil, Dean of the College of Arts and Sciences, reported on the new Applied Sciences Program in the College of Arts and Sciences. It is the first new science department at UNC-CH in forty years. The plan is to strengthen the basic sciences while being even more applied. The Department of Applied Physical Sciences and the expansion of the Biomedical Engineering Department connects the UNC School of Medicine and the College of Arts and Sciences with the NCSU College of Engineering which is allowing expansion of research, increase in academic exposure and provides both undergraduate and graduate opportunities. The Department of Applied Physical Sciences is also seeking to expand and combine academics, research and entrepreneurship at an interdisciplinary and interdepartmental level.

• **Global Visiting Students at UNC.** Ron Strauss, Executive Vice Provost and Chief International Officer, spoke about global visiting students on UNC campus. Carolina is looking at a program which will allow international students to study for up to one year on our campus.

This program allows students who are well-qualified to continue their international college degree while studying on our campus, and includes both graduate and undergraduate opportunities. Brazil's Science Without Borders Program will pay full out-of-state tuition for their students to participate in this UNC program. This benefits both the international student as well as our homeland students.

(ATTACHMENT J)

- **Provost's Remarks.** Provost Carney reported that he has appointed a committee to review distance learning (MOOCS) that will be headed by Carol Tresolini.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, and seconded by Ms. Hyde, 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 BUDGET, FINANCE & AUDIT COMMITTEE

Report of the Naming Committee

Ms. Shuping-Russell presented naming recommendations which were previously presented to the Budget, Finance & Audit Committee and approved by the committee. Ms. Shuping-Russell, Committee Chair, moved ratification. Mr. Townsend seconded the motion and it carried. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Shared Audit Services

Director of Internal Audit, Phyllis Petree, reported to the committee on a plan to centralize internal audit services.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated January 14, 2013, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS K-L-M)

LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several legal matters.

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss personnel matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss personnel matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove 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 January 14, 2013, which were discussed earlier in closed session. The motion was duly seconded and the motion carried.

- Personnel Actions and Actions Conferring Tenure.
(ATTACHMENT K)
- Compensation Actions.
(ATTACHMENT L)
- For Information.
(ATTACHMENT M)

ADJOURNMENT

There being no further business to come before the Board, Chair Hargrove adjourned the meeting at 12:37 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, March 28, 2013, at The Carolina Inn, Hill Ballroom, at 8:04 a.m. Chair Hargrove presided.

ROLL CALL

Assistant Secretary Erin Schuettpelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
W. Lowry Caudill	John L. Townsend III
Donald Williams Curtis	Felicia A. Washington
J: Alston Gardner	Will Leimenstoll
Peter T. Grauer	

Chair Hargrove 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."

Chair Hargrove and Dr. Lerner recused themselves of an action on the Buildings & Grounds Committee agenda due to prior business relationships with Mr. Ron Strom who is associated with Clancy Theys and the Construction Manager at Risk Selection for Odum Village.

CONSENT AGENDA

Approval of Minutes

On motion of Mr. Grauer, and duly seconded, the following minutes were approved as distributed:

- Minutes of the special meeting of December 20, 2012.
(ATTACHMENT A)

On motion of Mr. Townsend, and seconded by Mr. Leimenstoll, the following minutes were approved as distributed:

- Minutes of the regular meeting of January 24, 2013.

On motion of Mr. Townsend, and seconded by Dr. Lerner, the following minutes were approved as distributed:

- Minutes of the emergency meeting of March 18, 2013.
(ATTACHMENT B)

Ratification of Mail Ballot

On motion of Mr. Townsend, and seconded by Ms. Hyde, the following mail ballot was approved as distributed:

- February 18, 2013- Personnel actions and actions conferring tenure, compensation actions, and personnel changes for information.

(ATTACHMENT C)

CHAIR'S REMARKS

- **Governor Martin Report.** The Board received the detailed report of an independent investigation, conducted by former Governor Jim Martin, of a distressing pattern of academic irregularities within the University which apparently began in 1997. Despite extreme measures to understand and rectify the situation, questions continue to be asked by some about the investigations, whether other individuals were involved in these irregularities and what possible motive either of these two individuals might have for engaging in this wrongdoing. I wish to assure the public and the University community that there are no facts – no evidence – in connection with this matter of which I am aware that has not been publicly disclosed. The University and the citizens of North Carolina are indebted to Governor Martin for his service to the University – service for which he accepted no compensation and for which he contributed hundreds of hours of his personal time. This is one more instance in which Governor Martin demonstrated his abiding and longstanding commitment to the service of the people of this State.
- **Sexual Assault Complaints.** The Board is fully aware of, and sensitive to, the concerns that have been expressed for students – both accuser and accused – in instances of sexual assault. These issues surrounding the current controversy are very serious and every effort is being made to address these issues in a thoughtful and equitable manner. We'll hear more on this subject from Chancellor Thorp and from Gina Smith, the outside consultant retained by the University to work with students and University personnel. There is a zero tolerance at this University for assault – sexual or otherwise – and it is incumbent upon the University to spare no effort in dealing with these issues in a sensitive manner and in compliance with all laws and regulations.
- **Chancellor's Search.** The search is underway, a truly impressive pool of highly qualified candidates has expressed interest in the position, and we fully anticipate fulfilling our commitment to have a new Chancellor named and in place at the start of the new fiscal year in July.
- **U.S. News and World Report rankings.** I'd like to commend our many schools and programs that were ranked by U.S. News and World Report for the 2014 edition of "America's Best Graduate Schools." Here are some of the highlights:
 - The School of Medicine is ranked 1st in Primary Care and tied for 22nd in Research overall. Dean Bill Roper is with us today to give us an update on the health care system. Congratulations to you on this recognition for the School of Medicine.
 - The School of Information and Library Science, led by Dean Gary Marchionini, was ranked 2nd for its master's degree program. The school ranked 1st in digital librarianship and tied for 1st in archives and preservation.
 - The College of Arts and Sciences, headed by Dean Karen Gil, ranked in the top 10 for Ph.D. programs in sociology, sociology of population, African-American history and developmental psychology.
 - Also ranked were programs in the Gillings School of Global Public Health, the Kenan-Flagler Business School, the School of Education and the law school. These national rankings affirm the outstanding work done in many areas at this University. Congratulations to all.
- **Will Leimenstoll, Student Body President.** Chair Hargrove thanked Will for his service on the board. He has worked tirelessly on many issues, including financial aid and has helped communicate with the student body about the new policies and procedures the campus has implemented regarding the difficult issue of sexual assault. Will was recently named a Luce Scholar, and after graduation, will spend a year studying in Asia. Christopher Lambden will join the board in May.

Chair Hargrove then called on Secretary Clay to read the following resolution of appreciation:

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**RESOLUTION OF APPRECIATION
WILL LEIMENSTOLL
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
March 28, 2013**

WHEREAS, Will Leimenstoll served as President of the UNC student body in 2012-2013, and as a member of the University's Board of Trustees, and was an insightful and creative advocate for students and a valuable voice in board discussions; and,

WHEREAS, Will, was an inspiring leader and manager who built a great team in student government and kept them focused on collaboration and results, and in so doing, brought out the best in others and himself; and,

WHEREAS, Will, as co-chair of the Tuition and Fee Advisory Task Force, endeavored to address the disparities between in-state and out-of-state students and helped develop an effective solution; and,

WHEREAS, Will, as a trustee, listened and contributed a thoughtful and compassionate voice to board deliberations, exhibiting a level of wisdom and insight well beyond his years; and,

WHEREAS, Will served on the Chancellor Search Committee, providing a constructive voice for students in deliberations about the future leadership of the University; and,

WHEREAS, Will as student body president and trustee, capped a distinguished career at Carolina in scholarship and service, concluding a distinguished undergraduate academic record as a recipient of the prestigious Henry Luce Scholarship;

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of the University of North Carolina at Chapel Hill congratulates Will Leimenstoll for a job well done, and expresses its deepest appreciation for his outstanding work on behalf of the University, its student body, and once and future Tar Heels everywhere.

On motion of Dr. Lerner, and duly seconded, the Board approved adoption of the resolution and applauded Student Body President Leimenstoll.

- Nancy Davis, Associate Vice Chancellor for University Relations. Nancy recently retired after 30 years of service to the State of North Carolina. Twenty-three of those years were at Carolina. She led communications efforts for the campus and provided invaluable counsel to Chancellors Hooker, McCoy, Moeser and Thorp, other administrators and to past and present members of this Board.**

Chair Hargrove then called on Secretary Clay to read the following resolution of appreciation:

**RESOLUTION OF APPRECIATION
ASSOCIATE VICE CHANCELLOR NANCY DAVIS
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
March 28, 2013**

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WHEREAS, Nancy Davis has served the University of North Carolina at Chapel Hill for twenty-three years as a communicator and exceptional administrator, most recently as Associate Vice Chancellor for University Relations;

WHEREAS, Ms. Davis led the University Relations team with consummate professionalism, integrity and grace, establishing an atmosphere of collegiality and dedication, mentoring many young communicators, and proving herself as both a strategic and tactical thinker; and,

WHEREAS, Ms. Davis presided over key projects, including a campus-wide redesign of the University's graphic identity, bringing order and polish to communications and enabling the campus to speak with one voice; and the creation of a news studio that enabled the University's faculty to be available for media; and,

WHEREAS, Ms. Davis, as an advisor to successive chancellors, administrators, and faculty and student leaders provided invaluable counsel and thoughtful advice, proving to be unflappable and tireless in the execution of her job; and,

WHEREAS, Ms. Davis was a source of great wisdom and creative ideas for current and former trustees, skillfully advising them on difficult issues, and exhibiting a sure knowledge of the best ways to communicate the outstanding activities of Carolina's faculty, staff and students to alumni, parents, friends, and the people of North Carolina and beyond; and,

WHEREAS, Ms. Davis as an alumna and devoted Tar Heel, always considered what was best for the University, listening with her heart and her head, and always exhibiting exemplary commitment to tell the University's story;

NOW, THEREFORE, BE IT RESOLVED THAT Members of the Board of Trustees of the University of North Carolina at Chapel Hill hereby express their boundless gratitude and appreciation to Nancy Davis for her exceptional service and dedication to the University and to her home state of North Carolina, and wish her the very best in her well-deserved retirement after thirty years of total service to North Carolina.

On motion of Ms. Hyde, and duly seconded, the Board approved adoption of the resolution and applauded Ms. Davis.

- **Nominating Committee.** The nominating committee will recommend Board officers for next year. Barbara Hyde, Phil Clay and Felicia Washington have agreed to serve, and Barbara will chair the group. The committee will present their slate at the May meeting, and officers will be appointed in July. [A copy of the Chair's remarks is located in the Office of the Assistant Secretary.]

CHANCELLOR'S REMARKS

Chancellor Thorp commended SBP Leimenstoll for his great service to the university and also commended Nancy Davis for her exceptional 30 years of service to the university. He then spoke on the following:

- **Governor's Budget Proposal.** We remain committed to providing high-quality teaching, research and public service to help ensure economic competitiveness for North Carolinians. The proposed cuts are concerning, but we're pleased with the support for many important components of the Board of Governors' strategic plan. We will work closely with President

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Ross, the General Assembly and Governor McCrory in the next steps of the budget process in Raleigh.

• **Rawlings Panel.** Hunter Rawlings, president of the AAU, will be here on April 19 to lead a roundtable discussion about the balance of academics and athletics on college campuses. President Rawlings will lead a panel of distinguished higher education and athletic leaders including:

- Jim Delany, commissioner of the Big Ten athletic conference;
- Bob Malekoff, associate professor and chair of the sport studies department at Guilford College;
- Amy Perko, executive director of the Knight Foundation, and
- Patricia Timmons-Goodson, former associate justice of the N.C. Supreme Court, an alumna and a Guilford College trustee

We're asking the panel to make recommendations about the role of athletics in the life of the University. Joining the panel at its first meeting on the 19th will be several speakers to help launch the panelists' initial conversation and this process. Today I'm pleased to announce that this lineup includes:

- Jay Bilas, ESPN broadcaster and attorney;
- Bubba Cunningham, Director of Athletics;
- Joy Renner, Faculty Athletics Chair and Associate Professor and Director of Allied Health Sciences;
- Jay Smith, Professor of History; and
- Richard Southall, Associate Professor in Exercise and Sport Science.

The campus community will also have an opportunity to comment at this first meeting, which will be held at the Carolina Inn from 1 p.m. to 3 p.m. This is a good opportunity to have an honest conversation that will lead to recommendations for best practices moving forward.

• **Gina Smith/Campus Conversation on Sexual Assault.** Later in our agenda this morning, you will hear firsthand from Gina Smith, a nationally recognized consultant on sexual misconduct issues. Gina has spent the past several weeks engaging our campus community in dialogue about our policies and practices with a goal of making recommendations about how we can strengthen the support the University can provide to people affected by sexual assault and misconduct. The University is cooperating fully with the U.S. Department of Education's Office for Civil Rights and Clery Act Compliance Division in their efforts to assess how we have handled and reported about sexual assault cases. Earlier this month, we added two new employees to help us respond to people who experience sexual assault and investigate allegations. They are:

- **Ew Quimbaya-Winship**, Student Complaint Coordinator/Deputy Title IX Officer, Student Affairs office; and
- **Jayne Grandes**, Investigator in the Equal Opportunity/Americans with Disabilities Act Office.

The issue of dealing with sexual assault goes directly to the safety and security of our students and their ability to succeed academically. We take very seriously our responsibilities to them and to follow the federal guidelines in the Dear Colleague letter. [A copy of the Chancellor's remarks is located in the Office of the Assistant Secretary.]

STUDENT BODY PRESIDENT'S REMARKS

Mr. Leimenstoll, Student Body President, gave his final report. Mr. Leimenstoll reported on:

• **Sexual Assault Issues.** I worry about most is that students who experience sexual assault now and in coming months won't feel safe coming to the university for help. As I have previously stated along with the other elected officials representing the students, faculty, and staff of UNC, I have full faith that leaders of this university are 100% committed to tackling the challenge of sexual assault. I hope that future survivors of sexual assault know that this university most

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certainly does not seek to silence them, and instead wants to support them and get them the help they need to the best of its ability.

- **Honor System.** Our university's tradition of student-self-governance is one of its defining characteristics. The Honor System is a vital part of this tradition with a very practical application. I have urged my successor and the incoming Honor System leaders to think critically about how best to protect student self-governance and ensure the system's continuity into the future.
- **Christy Lambden** is the 2013-2014 Student Body President. Christy is a Junior Philosophy major from Shepton Mallet, England. He will do an incredible job representing and advocating for students and I look forward to hearing about all the wonderful things he and his team accomplish next year.
- **Divestment from coal and responsible investing.** This spring 77% of students voted to tell our university to divest from coal. Given the amazing diversity of our student body, the fact that 77% of them voted to make this a priority is quite impressive. Our university has a responsibility to lead by example, stop investing in dirty fuels of the past, and start investing in a cleaner future. While I know endowment issues are unbelievably complex, I urge the Board to do as much as practicable on this topic next year and beyond.

Mr. Leimenstoll concluded his remarks by thanking his fellow Trustees, Chancellor Thorp, Ms. Schuettpeitz, and other administrators in the room for a great year. [A copy of Mr. Leimenstoll's remarks is filed in the Office of the Assistant Secretary.]

UNC HEALTH CARE SYSTEM UPDATE

Bill Roper, Vice Chancellor for Medical Affairs, CEO of UNC Health Care System, and Dean of the School of Medicine gave the report. He highlighted:

- **Mission of UNC Health Care:** To provide comprehensive patient care, facilitate physician education and research excellence and promote the health and well-being of all North Carolinians.
- We are anchored by a strong academic medical center and community hospitals
- Community and faculty physician groups extend across central NC and are aligned with the UNC School of Medicine.
- Nationally-recognized School of Medicine leads critical research and trains tomorrow's medical professionals
- We serve North Carolina every day
- We coordinate care in communities across the state through programs like Area Health Education Centers (AHEC) and University Cancer Research Fund (UCRF)
- We are recognized for leading, teaching and caring

Dr. Roper concluded his remarks by speaking about state funding issues, physician shortages, and other budgetary concerns.

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.

CAMPUS CONVERSATION UPDATE

Gina Maisto Smith, an outside consultant, updated the Board on the work that is being done regarding sexual assault issues on campus. She spoke about the need for culture change, and was pleased with the support and help she received from her meetings with student groups, faculty and staff. She is excited to engage in further conversations and begin to educate the campus community on how to appropriately handle sexual assault cases. She then spoke about four areas of focus:

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1. **Culture/Climate Change-** We have to change the climate and tend to the victims and the accused through proper education.
2. **Policy-** The current policy is compliant and well written, but it could be modified for clarity of language and presentation style.
3. **Training-** Train on 3 levels: campus community, implementers, adjudicators.
4. **Implementation-** we need better structures and processes.

Chair Hargrove thanked Ms. Smith for her work thus far.

REPORT OF THE EXTERNAL RELATIONS & UNIVERSITY ADVANCEMENT COMMITTEE

- **Legislative Session Update.** Jennifer Willis, Director of State Relations gave a brief update about the Governor's budget.

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.

- **North Carolina Public Radio- WUNC: An Update.** Connie Walker, General Manager of WUNC, spoke about WUNC financials.
- **William and Ida Friday Center for Continuing Education: An Update** Rob Bruce, Director of the William and Ida Friday Center, reported on all the opportunities provided by the Friday Center.

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.

REPORT OF THE BUDGET, FINANCE & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair, moved ratification the following action items to the board, which were previously approved by the committee. Both items were duly seconded and each item carried.

- **Withdrawal from the Quasi-Endowment for the Benefit of the Cystic Fibrosis Research Center.** The Cystic Fibrosis Research Center is requesting approval to withdraw \$300,000 from principal for use in connection with expenses related to research. The Board of Trustees of the Endowment Fund approved this withdrawal by mail ballot on February 25, 2013.

(ATTACHMENT D)

- **Update to the Internal Audit Charter.** Phyllis Petree, Director of Internal Audit, presented revisions to the Internal Audit Charter for approval. The changes update the Charter to include the current definition of internal auditing and the revised name of the Budget, Finance, and Audit Committee. Provides additional details regarding responsibilities, and adds information about a quality assurance and improvement program.

(ATTACHMENT E)

Ms. Shuping-Russell presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Remarks from Employee Forum Chair.** Jackie Overton spoke about success in staff development. A number of staff have taken classes to become a notary public, and to improve public speaking skills. The community garden continues to play a vital role in providing food and collegiality. Several partnerships are underway across campus to make sure employee voices are heard.

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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.

• **Budget Update.** Karol Gray, Vice Chancellor for Finance and Administration, provided a three year analysis of actual revenues and expenditures for July through February and year to date budget for fiscal year 2012-13. For the first eight months of this fiscal year, all trending patterns are on target at approximately 67% for both revenues and expenditures. Over the three years, state appropriations have declined and tuition and fees have increased. All other revenues have remained relatively consistent. Expenditures have increased slightly due to the 2012-13 salary increase of 2.2%. On March 20, 2013, Charles Perusse, UNC System's Chief Financial Officer, distributed guidelines to all the Universities restricting expenditures for salary adjustments, travel and purchasing from General Fund appropriations only. It is anticipated that these expenditure restrictions will remain in effect the rest of this fiscal year. On March 20th the Governor released his budget. This is the first step in the state's multi-step budget process. The Governor's budget includes additional funding for enrollment, building reserves, Strategic Plan initiatives, a 1% salary increase and repair and renovation funds.

Areas of particular concern to the University are:

- Increase of 12.3% for our non-resident tuition with those dollars going to the state.
- No additional recurring funds for need based financial aid were identified (effectively resulting in \$25 million reductions).
- The UNC system would receive only 33% of the State Repair and Renovation funds rather than the customary 50%.
- At this time, UNC Chapel Hill is expecting a 5.4% cut of general fund state appropriations which equates to a \$27.54 Million budget reduction.

Karol Kain Gray also provided an overview of revenue generators of scholarships and libraries:

- Student Stores
 - \$16.1 Million donated to scholarships in the past 20 years
 - \$300,000 in FY12
- Trademarks and Licensing
 - In FY12 more than 2,000 students received scholarships that were paid from the \$3.89 Million in licensing revenue.
- Carolina Inn
 - \$200,000 was donated to libraries in FY12.

PeopleSoft implementation is underway. The Finance, Human Resources, and Payroll modules are scheduled to be implemented in January 2014.

• **123 West Franklin Street Update.** Gordon Merklein, Executive Director of Real Estate Development, provided an update on the 123 West Franklin Street redevelopment project:

- Mixed use project including office, retail, apartments, parking and open space.
- Recently approved by Chapel Hill Town Council.
- Project will be on a ground lease from Real Estate Holdings to Cousins Properties, who will own, lease, and manage the buildings.
- \$110 million investment in downtown Chapel Hill.
- Construction estimated to begin in early 2014 with occupancy in mid-2016.

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.

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• **Sequestration Update.** Barbara Entwisle, Vice Chancellor for Research, discussed the impact of the sequestration:

- Agencies can cut their spending on new awards, continuing awards, or both.
- Ultimate impact is difficult to project, but could be as much as \$28M, or more for federal FY13.
- We will continue to communicate with funding agencies, investigators, PIs making adjustments within their research programs, and will consider bridge programs.

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.

• **Development Report.** Karol Gray, Vice Chancellor for Finance and Administration, presented the Development Update in the absence of Julia Grumbles, Interim Vice Chancellor for University Advancement.

FY 2013 Progress Report

	3/18/13	3/18/12	% change
New Commitments	\$197,437,129	\$211,140,599	-6%
Gifts Received	\$188,754,865	\$187,716,117	1%
Pipeline	\$268,039,435 proposals in the pipeline		

Other info and trends: New commitments are improving. At the last BOT meeting, it was down -8%. Gifts received are 1% above last year. As a reminder, last year was the 2nd best fundraising year in UNC history. Private donors are down but grants are up.

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.

• **Divestment from Coal.** A group of students from the Sierra Student Coalition gave the committee information about their report that the university stop investing in coal. Included in the packet of materials is a resolution. Ms. Shuping-Russell explained that the Budget, Finance, and Audit committee is not responsible for handling this matter, but would pass the materials to body who does handle it. [A copy of the materials given to the committee is filed in the Office of the Assistant Secretary.]

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

• **Provost's Remarks.** Executive Vice Chancellor and Provost, Bruce Carney reported on academic support for student athletes has moved to the Provost's Office. He introduced Michelle Brown, Incoming Director of the Academic Support Program for Student-Athletes, who is from the University of Florida.

• **Faculty Chair's Remarks.** Jan Boxill provided a brief report on matters of importance to the faculty and the life of the University including: searches for a chancellor and provost, budget, the sexual assault matter, and the strategic plan.

[A copy of Ms. Boxill's remarks is located in the Office of the Assistant Secretary.]

• **Vice Chancellor's Remarks & Student Affairs Update.** Winston Crisp, Vice Chancellor for Student Affairs spoke about the loss of trust by some students focused around the sexual

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assault issues. He also Introduced new Student Complaint Coordinator/Deputy Title IX Officer-Ew Quimbaya-Winship.

- **Law School Admissions & Update.** Jack Boger, Dean of the Law School spoke about how the recession of 2008 has significantly impacted the law profession. He mentioned that UNC's Law school is not following the national trend, which is good. We are excelling where the national trend is showing a tremendous decrease in admissions.

Trustee Landis commended the idea of increasing the scope of Law education to more than just a law degree.

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.

BUILDINGS AND GROUNDS COMMITTEE

Chair Hargrove and Dr. Lerner stepped out to recuse themselves from actions of the committee due to a conflict of interest mentioned at the beginning of the meeting.

Dr. Clay, Committee Chair, mentioned that the following item was not voted on by the committee and will be postponed to a later date.

- **Design Approval- South Road Pedestrian Bridge.**
(ATTACHMENT F)

Dr. Clay, Committee Chair, moved ratification by the board for the following action items which were previously approved by the committee. The motion was duly seconded and each item carried.

- **Designer Selection- Vivarium Equipment Replacement.** This project will replace the aging equipment used for the care of animals in the various facilities operated by the Division of Laboratory Animal Medicine. The project budget is \$4.8M and will be funded by Division of Laboratory Animal Medicine receipts. The committee recommended the selection of three firms in the following priority order:

- | | |
|------------------------|-----------------|
| 1. Wagner Architecture | New Hill, NC |
| 2. Perkins + Will | Morrisville, NC |
| 3. BHDP Architecture | Durham, NC |

The firms were selected for the past performance on similar projects, in depth knowledge regarding animal facilities, proposed design approach, and their team structure.

(ATTACHMENT G)

- **Construction Manager at Risk Selection- Odum Village Replacement.** This project will replace the existing Odum Village housing units with 500 new beds that will either be suites or efficiency style apartment units. Various on-campus sites will be considered as part of the advance planning effort. The project budget is \$25M and will be funded by Student Life and Residential Education. The committee recommended the selection of three firms in the following priority order:

- | | |
|--|---------------|
| 1. Clancy Theys + RJ Leeper, Joint Venture | Raleigh, NC |
| 2. HJ Russell + Woodline Solutions | Durham, NC |
| 3. Balfour Beatty + Daniele Company | Charlotte, NC |

The firms were selected for their strong team, their understanding of the project and their experience in all the project areas.

Mr. Hargrove and Dr. Lerner were out of the room and did not vote on this item.

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(ATTACHMENT H)

- **Property Disposition by Ground Lease- Kenan Flagler Business School Foundation.** This project will authorize a ground lease to the Kenan Flagler Business School Foundation (Foundation) for the renovation of portions of the Kenan Center and McColl Buildings, both of which are currently utilized by Kenan Flagler Business School. This lease will expedite facility improvements to both buildings by converting several underutilized common spaces into faculty office spaces. The project, to be completed Fall 2013, is estimated to cost \$250,000, and will be funded entirely by the Foundation. The following steps describe the process of construction:
 - The site is leased by the State of North Carolina on behalf of the University to the Foundation for a term lasting through the construction period but no later than the date the University accepts the completed improvements.
 - The Foundation contracts for the design and construction of the project according to the plans and specifications approved by the Foundation and the University.
 - The Foundation constructs the project using its own resources.
 - Upon completion of the construction of the project in accordance with the plans and specifications, the Foundation conveys by way of a gift the improvements to the University.

(ATTACHMENT I)

The following item was presented for information only; no formal action was required by the committee.

- **Repair & Renovation.** We have a considerable backlog of projects and the cost for these is considerable. We need approximately \$60 million to fund the current projects and the Governor's budget for R&R doesn't cover even half of the need.

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.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, 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 BUDGET, FINANCE, & AUDIT COMMITTEE

Report of the Committee on Honorary Degrees & Special Awards

Committee Chair Shuping-Russell presented the names to the committee. She then moved ratification by the Board of the following nominees for an Honorary Degree to be conferred at May Commencement 2014. The motion carried.

Report of the Naming Committee

Bruce Carney presented naming recommendations which were previously presented to the Budget, Finance, & Audit Committee and approved by the committee. Ms. Shuping-Russell moved ratification by the Board of the naming recommendations. The motion carried. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

Board of Visitors Nominations

Linda Douglas, Director of Community Relations, presented the slate and information concerning nominations for the class of 2017. Ms. Shuping-Russell moved approval for

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ratification by the Board of the nominees for serving on the Board of Visitors. The motion carried. [A copy of the Board of Visitors nomination information is filed in the Office of the Assistant Secretary.]

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated March 18, 2013, for the Board's consideration. The actions will be voted on in open session.
(ATTACHMENTS J-K-L)

LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several personnel and legal matters.

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss personnel and legal matters.

DEEP EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Deep Executive Closed Session to discuss personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove 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 March 18, 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)
- Personnel changes for information. (No items).
(ATTACHMENT L)

Chair Hargrove 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 Hargrove adjourned the meeting at 2:20 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 Wednesday, May 23, 2013, at The Carolina Inn, Chancellor Ballroom West, at 8:04 a.m. Chair Hargrove presided.

OATH OF OFFICE

The Honorable James Stanford, Orange County Clerk of Superior Court, administered the Oath of Office to Student Body President Christopher David McCartney Lambden.

Chair Hargrove welcomed incoming trustee Chuck Duckett. He will be sworn in at the July meeting.

ROLL CALL

Assistant Secretary Erin Schuettepelz called the roll and the following members were present:

Wade H. Hargrove, Chair	H. Kel Landis
Barbara R. Hyde, Vice Chair	Steven J. Lerner
Phillip L. Clay, Secretary	Sallie Shuping-Russell
Donald Williams Curtis	John L. Townsend III
J. Alston Gardner	Felicia A. Washington
Peter T. Grauer	Christopher D. M. Lambden

W. Lowry Caudill was absent.

Chair Hargrove 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

On motion of Mr. Townsend, seconded by Dr. Clay, the minutes of the regular meeting of March 28, 2013, were approved as distributed.

Ratification of Mail Ballot

On motion of Ms. Shuping-Russell, and duly seconded, the following mail ballot dated April 15, 2013, was approved as distributed:

- Personnel actions and actions conferring tenure, compensation actions, and for information items.

(ATTACHMENT A)

CHAIR'S REMARKS

Chair Hargrove mentioned the following items:

- May Commencement Ceremony
- Dinner for departing trustees and Chancellor Thorp.

Chair Hargrove called on Secretary Clay to read the following resolutions.

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**RESOLUTION OF APPRECIATION
WADE HAMPTON HARGROVE
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Wade Hargrove has served with distinction on the Board of Trustees of the University of North Carolina at Chapel Hill for the last four years, and as board chair for the last two years; and,

WHEREAS, Mr. Hargrove as chair provided steady leadership, devoting considerable time and attention to ably guiding the Trustees and the University through significant challenges; and,

WHEREAS, Mr. Hargrove has helped with the financial stewardship of the University, serving as chair of the Endowment Fund, the UNC Foundation Board and the Real Estate Holdings Board, and as a member of the Investment Fund Board, providing council to the Chancellor and fellow board members on timely issues;

WHEREAS, Mr. Hargrove enthusiastically assumed additional responsibilities when the University called upon him to chair the search committee that selected Carol Folt as the University's 11th chancellor; and,

WHEREAS, Mr. Hargrove has been a devoted alumnus and parent, serving the School of Law and the School of Journalism and Mass Communication on various boards, helping to found the UNC Center for Media Law and Policy, as a member of the General Alumni Association Board and the UNC Board of Visitors; and,

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of the University of North Carolina at Chapel Hill recognizes Wade Hargrove for his service and thanks him for his valuable leadership for the University.

On motion of Ms. Hyde, and duly seconded, the Board approved adoption of the resolution and applauded Mr. Hargrove.

**RESOLUTION OF APPRECIATION
BARBARA ROSSER HYDE
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Barbara Hyde is stepping down after two terms on the University of North Carolina at Chapel Hill Board of Trustees, during which she provided thoughtful guidance as Board Vice Chair for four years; and,

WHEREAS, Ms. Hyde's leadership was a tremendous resource for the Board as she served as Chair of the Student Affairs Committee, Vice Chair of the University Affairs Committee and the Compensation Committee; and as a member of the Buildings and Grounds and External Relations and University Advancement Committees; bringing to deliberations a quiet competence and broad understanding of the University; and,

WHEREAS, Ms. Hyde was strong advocate for the students' perspective in board discussions, and supported their involvement in Board deliberations; and was as an excellent mentor for the student body presidents who served with her; and,

WHEREAS, Ms. Hyde enthusiastically assumed additional responsibility when the University called upon her to serve as vice chair of the search committee that selected Carol Folt as the University's 11th chancellor; and,

WHEREAS, Ms. Hyde has further served the University's interests as chair of the Advisory Board for the Institute for Arts and Humanities, as a member of the Carolina First Campaign

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Steering Committee, and as co-chair of the Carolina Women's Leadership Council; and has been recognized for her achievements with the General Alumni Association's Distinguished Service Medal;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees of The University of North Carolina at Chapel Hill salutes Barbara Rosser Hyde for her devotion to her alma mater and thanks her for her service.

On motion of Mr. Hargrove, and duly seconded, the Board approved adoption of the resolution and applauded Ms. Hyde.

**RESOLUTION OF APPRECIATION
H. KEL LANDIS III
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Kel Landis has served as a member of the University of North Carolina at Chapel Hill Board of Trustees for the last year, graciously stepping in to replace Trustee Eddie Smith; and,

WHEREAS, Mr. Landis was a valued addition to Board discussions as a member of the University Affairs Committee and the External Relations and University Advancement Committee; and,

WHEREAS, Mr. Landis, as a member of the UNC Foundation Board, brought his considerable financial expertise to the management of the University's investments; and,

WHEREAS, Mr. Landis has been an active proponent of the University in multiple ways, especially as a member of the Kenan-Flagler Business School's Board of Visitors, the UNC Board of Visitors, which he chaired; and as a trustee of the Kenan Institute of Private Enterprise, which is housed at UNC; and,

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of The University of North Carolina at Chapel Hill salutes H. Kel Landis III for his dedication to his alma mater and thanks him for his service.

On motion of Mr. Washington, and duly seconded, the Board approved adoption of the resolution and applauded Mr. Landis.

**RESOLUTION OF APPRECIATION
FELICIA A. WASHINGTON
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Felicia A. Washington has served as a member of The University of North Carolina at Chapel Hill Board of Trustees for four years, during which she contributed invaluable guidance; and,

WHEREAS, Ms. Washington served as Chair of the Conflicts of Interest and Legal Affairs Committee, Vice Chair of the Student Affairs Committee, and as a member of the University Affairs and the Budget, Finance and Audit Committees; and,

WHEREAS, Ms. Washington brought her legal expertise and interest in diversity to Board deliberations, serving as a voice for minority alumni and as an advocate for Carolina's commitment to access and affordability; and,

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WHEREAS, Ms. Washington further served the University through her involvement in efforts to engage minority alumni with the campus, advising Development and Diversity and Multicultural Affairs staff on outreach and promotion; and,

WHEREAS, Ms. Washington enthusiastically assumed additional responsibility when the University called upon her to serve as vice chair of the search committee that selected Carol Folt as the University's 11th chancellor; and,

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees of The University of North Carolina at Chapel Hill salutes Felicia A. Washington for her devotion to her alma mater and thanks her for her service.

On motion of Ms. Washington, and duly seconded, the Board approved adoption of the resolution and applauded Ms. Washington.

**RESOLUTION
BOARD OF TRUSTEES
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Wade H. Hargrove, Barbara R. Hyde, H. Kel Landis III, and Felicia A. Washington have served the people of North Carolina and the University of North Carolina at Chapel Hill faithfully and wisely as Trustees of the University; and

WHEREAS, Mr. Hargrove, Ms. Hyde, Mr. Landis, and Ms. Washington have ended their service as Trustees;

NOW, THEREFORE, BE IT ENACTED BY THE BOARD OF TRUSTEES OF THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL THAT

1. Mr. Hargrove, Ms. Hyde, Mr. Landis, and Ms. Washington are elected Honorary Trustees of the University of North Carolina at Chapel Hill.
2. Those elected to the position of Honorary Trustee of the University of North Carolina at Chapel Hill shall be invited to attend all regular meetings of the Board.
3. Those elected to the position of Honorary Trustee of the University of North Carolina at Chapel Hill shall become members ex-officio of the Board of Visitors.
4. An Honorary Trustee shall cease to hold that position if he or she again becomes a Trustee.

On motion of Mr. Grauer, and duly seconded, the Board approved adoption of the resolution and applauded the departing trustees.

**RESOLUTION OF APPRECIATION
CHANCELLOR H. HOLDEN THORP
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Holden Thorp has served as the 10th chancellor of the University of North Carolina at Chapel Hill, the oldest public university campus in the nation and his alma mater; capping three decades of involvement with the University; and,

WHEREAS, under his leadership, Carolina has enhanced its standing as one of the most influential research universities in the United States and around the world, fulfilling its mission of education, research, and service for North Carolina; and,

WHEREAS, Chancellor Thorp has presided over the University's rise to the top 10 research universities in federal research funds; an unprecedented 43 percent increase in admissions

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applications; a position of national leadership in critical discussions about college costs, retention and attainment, and the role of research universities in economic growth; and,
WHEREAS, Chancellor Thorp has endeavored to make innovation and entrepreneurship part of the fabric of University life, inspiring collaborations, projects and new ideas to translate knowledge beyond the campus to improve peoples' lives and solve the world's greatest problems; and,
WHEREAS, Chancellor Thorp was committed to an improved working climate for employees; a stronger relationship with the local community; and above all, a secure living and learning environment for students; and,
WHEREAS, in response to the great recession, Chancellor Thorp initiated a review of the University's structure and operations to help make the University more efficient, and through the efforts of hundreds of employees developed a series of initiatives that saved millions of dollars in annual operations and made the University a leader in the quest for administrative excellence; and,
WHEREAS, Chancellor Thorp with his wife Patti Worden Thorp, who has contributed to the University and the community through her support for the arts, North Carolina Children's Hospital, community improvements, and more; have made a lasting difference in the life of the University;
WHEREAS, he steps down on June 30, 2013, to become provost at Washington University in St. Louis;
NOW, THEREFORE BE IT RESOLVED THAT the Board of Trustees offers its highest praise and commendation to Holden Thorp for his exemplary leadership of and deep love for the University of North Carolina at Chapel Hill, and expresses its deepest gratitude for his devoted service.

On motion of Ms. Shuping-Russell, and seconded by Mr. Lambden, the Board approved adoption of the resolution and applauded Chancellor Thorp.

**RESOLUTION OF APPRECIATION
EXECUTIVE VICE CHANCELLOR AND PROVOST BRUCE W. CARNEY
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Bruce Carney, Executive Vice Chancellor and Provost, and Samuel Baron distinguished professor of physics and astronomy, has served as the University's chief academic officer for the last four years with vision, enthusiasm and authority; and,
WHEREAS, Provost Carney launched the development and implementation of the 2012 Academic Plan; supported and helped recruit a stellar group of University Deans; led the implementation of new promotion and tenure guidelines, the effort to retain excellent faculty and to recruit diverse new faculty members; and,
WHEREAS, Provost Carney further contributed to enhancing the University's excellence through his support for the arts, especially Carolina Performing Arts and the Rite of Spring at 100 Celebration; through his efforts to make globalization an enduring campus priority; and his expansion of the distance education enterprise; and,
WHEREAS, Provost Carney deployed budget cuts in ways that preserved the classroom experience for students; and was a steady, kind and fair hand during turbulent times, welcoming faculty and students who had ideas and concerns and earning their unfailing respect and admiration; and,

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WHEREAS, Provost Carney helped the Trustees to understand critical issues related to the management of the University including tuition, faculty retention, academic priorities; and, **WHEREAS**, Provost Carney has performed his job with uncommon grace, never-failing courtesy, and dogged determination; and now returns to the relative serenity of classroom and lab;

NOW THEREFORE BE IT RESOLVED that members of the Board of Trustees of the University of North Carolina at Chapel Hill express their genuine and profound thanks to Bruce W. Carney for his service as Provost and 30 years of dedication to the University and wishes him the very best in future endeavors.

On motion of Ms. Hyde, and seconded by Ms. Shuping-Russell, the Board approved adoption of the resolution and applauded Provost Carney.

**RESOLUTION OF APPRECIATION
ASSOCIATE VICE CHANCELLOR CAROLYN W. ELFLAND
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Carolyn W. Elfland has served the University of North Carolina at Chapel Hill for forty-four years, most recently as associate vice chancellor for campus services, and now departs for a well-deserved retirement; and,

WHEREAS, Associate Vice Chancellor Elfland oversaw critical decades of growth and expansion for the University, managing University service and auxiliary units, including Energy Services; Facilities Services; Environment, Health and Safety; Public Safety; Student Stores; the Carolina Inn; Horace Williams Airport; and Trademark Licensing; and,

WHEREAS, Associate Vice Chancellor Elfland contributed to the University's sustainability efforts through her guidance of the University's Landfill Gas Project, a collaboration with Orange County; and her championship of the reclaimed water project with Orange Water and Sewer Authority; both of which have reduced the University's environmental impact and improved our community; and,

WHEREAS, Associate Vice Chancellor Elfland helped the University position itself for the future by identifying and implementing cost-saving steps in campus operations aligned with the Carolina Counts initiative; authoring a wind-to-energy study requested by the State Legislature, and an \$800 million composite study of deferred maintenance for all facilities at Carolina; and,

WHEREAS, Associate Vice Chancellor Elfland represented the University on important matters with the Town of Chapel Hill and surrounding communities, such as serving on the Chapel Hill Public Transit Partner's Committee;

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of the University of North Carolina at Chapel Hill thanks Carolyn Elfland for her effective counsel, extraordinary contributions and tireless service and wishes her the very best in her retirement.

On motion of Dr. Lerner, and duly seconded, the Board approved adoption of the resolution and applauded Ms. Elfland.

[A copy of Chair Hargrove's remarks is located in the Office of the Assistant Secretary.]

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REPORT OF THE NOMINATING COMMITTEE

Chair Hargrove called on Trustee Hyde to present the following proposed slate of officers for the term July 2013 to July 2014.

W. Lowry Caudill, Chair
J. Alston Gardner, Vice Chair
Sallie Shuping-Russell, Secretary

The Board will approve the nominations at the July Board meeting.

CHANCELLOR'S REMARKS

- **Special Thanks.** To the departing trustees, Provost Carney, and Carolyn Elfland, thank you for your service and your tireless efforts to make Carolina great.
- **21st Century Visioning.** Last fall, we launched a visioning process on three important topics: college access and completion, undergraduate education models and how research can help solve the world's problems. This week we'll receive the committees' interim reports, and we'll share them with Chancellor-Elect Folt. She'll provide direction on where the committees go from here.
- **Employee Survey Results.** Earlier this semester we distributed a survey to employees to find out how we're doing with setting goals, leadership, communications and decision-making. We had a great response rate from our employees — we heard from 3,000 or 28% of our 11,000 permanent faculty and staff. These findings surpass the results of the previous employee survey conducted three years ago as part of Carolina Counts. Here are some other takeaways:

- Three-fourths believe the University has both a compelling vision and the talent needed for future success.
- 79 percent would recommend Carolina as a place to work.
- 66 percent believe this is a highly effective organization.

Employees also noted some things we can improve on, including how to make the decision-making process faster and smoother. I agree with that. We've shared a full copy of the results with the board, and we will also get them to Chancellor-Elect Folt.

- **Child-care facility expansion.** This month we held the ribbon-cutting for the expansion of the University Child Care Center. I had fun playing the guitar and singing with the preschoolers. On behalf of our University and UNC Health Care employees and their families, thank you for supporting the center and its growth. Your approval a year ago of the project's design allows 40 additional children to receive the highest quality of education and care at the five-star facility. We're really proud of the work we do there.

- **Chancellor's Science Scholars.** We are launching a new scholarship program for incoming students called the Chancellor's Science Scholars. The inaugural class of 25 students will be on campus this summer to get a jump start on academics. The students are aspiring scientists, researchers and doctors selected from the top 10% of the 15,000 early action applications we received. One of the goals of the program, led by our Undergraduate Admissions office, is to increase the number of minorities in science. The idea is modeled after the nationally recognized Meyerhoff Scholars Program at the University of Maryland-Baltimore County.

- **Loren Shealy.** She is a member of our field hockey team and was named the Sports Illustrated female college athlete player of the year. She is a Robertson Scholar. She was one of five female college athletes throughout the country to be recognized. Congratulations to her coach, Karen Shelton. Her interview can be viewed at: <http://sportsillustrated.cnn.com/college-athlete-of-the-year/news/20130522/loren-shealy-college-athlete-of-the-year/>

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Chancellor Thorp called on Secretary Clay to read the following resolution:

**RESOLUTION OF APPRECIATION
JACKIE OVERTON
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
May 23, 2013**

WHEREAS, Jackie Overton has served with distinction as Chair of the Employee Forum since 2010, revitalizing the organization and bringing a new era of civility and professionalism to Forum operations; and,

WHEREAS, Ms. Overton brought the employee's perspective to Board deliberations, advising the Budget, Finance and Audit Committee and building a strong bridge of communication and interaction between Trustees, Administrators and employees; and,

WHEREAS, Ms. Overton has served as a staff representative on multiple University search committees, including the Housekeeping Director Search Committee which selected Darius Dixon, and the Chancellor's Search Committee which selected Carol Folt as the University's next leader; and,

WHEREAS, Ms. Overton organized a celebration of the Employee Forum's 20th anniversary, bringing four chancellors together including Forum founder Chancellor Emeritus Paul Hardin, along with senior administrators, decades of Forum Delegates and other Forum friends; and,

WHEREAS, Ms. Overton represented staff employees with honor through her addresses at University Day in 2011 and 2012, thrilling those who heard her; and,

WHEREAS, Ms. Overton, a Carolina alumna and employee of the Department of Public Safety, who has been part of our community for more than 35 years, has worked tirelessly on behalf of all of the University's employees, emphasizing openness, respect, community and true Tar Heel spirit;

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees extends to Jackie Overton its deep appreciation for her service and leadership, and congratulates her on a job well done.

On motion of Ms. Shuping-Russell, and duly seconded, the Board approved adoption of the resolution and applauded Ms. Overton.

STUDENT BODY PRESIDENT'S REMARKS

Mr. Lambden began by saying that he was honored to have the privilege and the opportunity to address the Board. Mr. Lambden spoke about why he came to Carolina and then highlighted his platform goals: affordability, academics, and safety. [A copy of Mr. Lambden's remarks is located in the Office of the Assistant Secretary.]

REPORT OF THE EXTERNAL RELATIONS & ADVANCEMENT COMMITTEE

Mr. Curtis, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

• **Development Update.** Interim Vice Chancellor for University Advancement, Julia Grumbles gave the following report:

FY 2013 Progress Report	5/13/13	5/13/12	% change
o New Commitments	\$233,217,702	\$252,858,920	-12%
o Gifts Received	\$207,881,912	\$208,899,654	0%
o Pipeline	\$353,049,949 proposals in the pipeline		

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She also mentioned the upcoming campaign.

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.

- **Update on Performing Arts at Carolina.** Emil Kang, Executive Director for the Arts, gave the report and spoke about the successful year they have had.

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.

REPORT OF THE BUDGET, FINANCE, & AUDIT COMMITTEE

Ms. Shuping-Russell, Committee Chair, moved ratification by the Board of the following 3 items which were brought forth as a motion formerly approved by the committee. Mr. Lambden seconded the motion and each item carried.

- **Ordinance Governing Traffic & Parking.** Carolyn Elfland, Associate Vice Chancellor for Campus Services, proposed revisions to the Ordinance Regulating Traffic and Parking to be effective August 15, 2013. The only substantive change from the current ordinance is the addition of provisions governing electric vehicles.

(ATTACHMENT B)

- **Withdrawal from Quasi-Endowment.** Karol Gray, Vice Chancellor for Finance and Administration, reported that the Division of Rheumatology, Allergy, and Immunology is requesting approval to withdraw \$70,000 for use in training and research in arthritis. The funds will be used for salary support for research fellows. The Board of Trustees of the Endowment Fund approved this withdrawal by mail ballot on May 15, 2013.

(ATTACHMENT C)

- **Board of Visitors Elections.** Julia Grumbles, Interim Vice Chancellor for University Advancement, presented the Board of Visitors election list for the Class of 2017. Dr. Michael Zollicoffer of Baltimore, Maryland will serve as chair and Richard Margerison of Dallas, Texas will serve as vice chair.

Nancy Robertson Abbey
Ibraz Rafiq Bandukwala
Jill Becker
Kerry Dean Bird
Adele Currin Bonnie
Mary L. Boone
Charles Palmer Brown
Robert Preston Bryan III
Cassandra Quin Butts
Mary Louise Snell Cohen
Paul William F. Coughlin
Lisa Loudermilk deGolian
Samuel Bobbitt Dixon
Daryl Wayne Evans
Lisa Langley Fey

Robert Earl James, Jr.
Thane Edmund Kerner
Zee Buchanan Lamb
John Dailey Lyon, Jr.
Denise Morris Martin
Robert Cabeen H. Mathews III
Bettie Kay Raybon McKaig
Margaret Leighton McNairy
Charles Henry Mercer, Jr.
David McDaniel Moore II
William Merrette Moore, Jr.
Tom Murry
James Edward Nance
Caroline Cockrell Orr
Wanda Simms Page

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Roy DeVonne Flood, Jr.	P. Tilghman Pope
Margaret B. McKinnon Gardner	David Gwyn Roberts
Harold Edward Glass	A. Douglas Rothwell
Leigh Jenkins Goodwyn	J.M. Bryan Taylor
Jennifer Lloyd Halsey	Claude Edward Teague III
John Robert Hand	Malcolm Kwame Turner
Roderick Neil Hargrove	Roland Harris Vaughan Jr.
Edward Albert Heidt, Jr.	Edgar Garcia Villanueva
Patty Maynard Hill	Robert Ambrose Wicker

(ATTACHMENT D)

Ms. Shuping-Russell, Committee Chair, moved ratification by the Board of the following item which was brought forth as a motion formerly approved by the committee. Mr. Grauer seconded the motion and the item carried.

• **Revised Policy on Non-Salary and Deferred Compensation for EPA Employees.** Matt Brody, Associate Vice Chancellor for Human Resources, reported that by UNC System policy 300.2.14, each campus is required to have a policy on non-salary and deferred compensation. Non-salary compensation covers items of monetary value provided to employees beyond base salary and salary supplements for additional duties. Deferred compensation refers to items of monetary value provided at some future date. Our proposed policy does not authorize any deferred compensation except that which would be specifically authorized by BOG. The proposed policy was developed by the Office of Human Resources in consultation with Office of University Counsel, the Office of the University Controller, and University Procurement Services. We used a similar policy at NC State University as a basis for our revisions and then made adjustments to reflect UNC-CH-specific needs and organizational differences. The proposed policy has been reviewed by UNC General Administration and approved for presentation to BOT. The revised policy, if approved by BOT, will be effective on June 1st.

(ATTACHMENT E)

Ms. Shuping-Russell, Committee Chair, moved ratification by the Board of the following item which was brought forth as a motion formerly approved by the committee. Mr. Grauer seconded the motion and the item carried.

• **Proposed Schedules of Incentive Pay for Department of Athletic Coaches and Staff.** Bubba Cunningham, Athletic Director, recommended the following:

- Proposals for incentive compensation plan
- Proposals are part of the implementation of the "Carolina Leads" strategic plan for athletics
- Strategic plan goals are very aggressive both academically and athletically
 - All teams - Top 3 in the ACC in team APR
 - All teams - Top 10 nationally in team APR
 - All teams – top 3 in the ACC in athletic competition
 - All teams – top 3 nationally in athletic competition
 - Win Championships
 - Administration – relentlessly pursue resources to achieve top 3/top 10
- Goal is to provide mechanism for performance-based incentive compensation for EPA "at-will" senior level administrators and head coaches based on specific metrics
- Proposals are not intended to be guaranteed compensation
- Compensation approval would be at the discretion of the Director of Athletics

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- Consistent with other university systems at the BCS level
(ATTACHMENT F)

Ms. Shuping-Russell presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Remarks from Employee Forum Chair.** Jackie Overton, Employee Forum Chair, provided updates on Forum presentations, retirements, community garden and upcoming events. After three and a half years, she will be stepping down as employee forum chair.

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.

- **Board of Visitors Update.** Bill Hobbs, Chair of the Board of Visitors, highlighted student recruitment, state relations, and career services.

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.

- **Financial Update.** Karol Gray, Vice Chancellor for Finance and Administration, provided a financial update:

State Outlook

- General Fund revenue through three quarters was 8% above projection at \$110 Million. However, the Medicaid shortfall has risen from \$135 Million to \$248 Million which will be offset by the higher than expected tax revenue.

Financial Update

- A three year comparison of both actual revenues and actual expenditures for July through March.
- Over the three years, state appropriations have declined and tuition and fees have increased. All other revenues have remained relatively consistent.
- Expenditures have increased slightly due to the 2012-13 salary increase of 2.2%.
- An analysis of the FY2012-13 year to date budget compare to actuals for both revenue and expenditures. For the first nine months of this fiscal year, all trending patterns are on target at approximately 76% for both revenues and expenditures.
- Impact of a 2% to 5% budget cut on the University. A 5% cut of general fund state appropriations equates to a \$25.5 Million budget reduction.

R&R Update

- An update of the status of the \$9 Million in R&R allocation the University received for FY2012-13. The funding was assigned to 12 projects in a variety of categories. Three of those projects have been completed and remaining projects are on target from completion by fiscal year end.

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.

- **Internal Audit Report.** Phyllis Petree, Director of Internal Audit, presented a summary of internal audit projects completed or in progress between December 17, 2012 and March 24, 2013. Two unplanned audits were added to the audit schedule, additional work needed to support Internal Audit IT systems, and the follow-up of previously issued audit findings has

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taken longer than projected due to the age of some findings and changes in previously audit areas. As a result, two routine audits and two annual projects will be deferred to fiscal year 2013/14. The audit of Advancement expenses completed during this time frame identified significant control weaknesses issues which have been corrected. These issues were previously reported to the Board. Other projects have identified less significant control issues
(ATTACHMENT G)

- **Development Update-** Julia Grumbles provided an update on Development. The highlights are as follows:

FY 2013 Progress Report	5/13/13	5/13/12	% change
o New Commitments	\$233,217,702	\$252,858,920	-12%
o Gifts Received	\$207,881,912	\$208,899,654	0%
o Pipeline	\$353,049,949 proposals in the pipeline		

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.

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the committee's report on the following items, which were presented previously to the committee for information only (no formal action was requested at that time).

- **Faculty Chair Remarks.** Jan Boxill highlighted the following:
 - o **Honor System Reform Suite-** Andy Perrin, Associate Professor of Sociology, gave the summary. He highlighted the reform effort, survey findings, recommendations, proposed implementation, and possible future changes.
 - o **Drop/Add policy-** In an effort to standardize the "Course Adjustment Periods" [i.e. Drop/Add period] across the system, to "foster undergraduate student success," the General Administration has proposed that both the drop and add periods must be concluded by the census date. The census date is the official university enrollment reporting date, and resource allocations are based on this figure. For us, that would mean reducing the no-penalty drop period from the current 8 weeks to only 2 weeks. While it may be reasonable to standardize some policies across the 17 campuses, this one is not. To now ask us to adopt a "one-size fits all" policy is bad decision making, especially if the objective of the GA is to foster student success. We also have the highest 4-6 year graduation rate of the system. The policy is set to go into effect Fall 2014, and greatly concerns us here at UNC-Chapel Hill. This policy decision is made to promote student success and for cost/benefit, but as I hope you can see it does neither, and more importantly, it is not based on empirical data or rigorous research; UNC-Chapel Hill's policy is.

Chair Hargrove, along with other trustees, recommended that we invite General Administration to explain the decision and present their findings on why this is appropriate.

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.

- **Graduate School Update: International Students and Student Achievement.** Steve Matson, Dean of the Graduate School reported that enrollment of international students at UNC-CH is about a third of the national average; lack of tuition support impedes international

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enrollment; and the global visiting students program for graduate students is designed to increase international graduate student population.

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.

- **Graduate Education: A Student Perspective.** Michael Bertucci and Kiran Bhardwaj, outgoing and incoming president of the Graduate & Professional Student Federation (GPSF) respectively, spoke about what today's graduate student looks like. They are research assistants, teaching assistants, mentors, community members, spouses/parents, and ultimately students. They reported that there are currently 10,755 graduate and professional students, or 37% of the student population.

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.

BUILDINGS AND GROUNDS COMMITTEE- COMMITTEE OF THE WHOLE

Dr. Clay, Committee Chair, called on Anna Wu, Assistant Vice Chancellor for Facilities Operations, Planning and Construction, to present the following action items to the committee:

- **Designer Selection- Howell Hall Renovation.** The project will renovate portion of Howell Hall for the Department of Psychology. The project budget is \$5.3M and will be funded by University Funds. The committee recommended the selection of three firms in the following priority order:

1. Hoke/New Visions Architects Durham, NC
2. HH Architecture Raleigh, NC
3. Ratio Architects Raleigh, NC

They were selected for the past performance on similar projects, extensive knowledge of applicable building codes, and their team structure.

(ATTACHMENT H)

- **Designer Selection- Burnett Womack Ground Floor Renovation.** This project will renovate portion of the Ground Floor for the Clinical and Translational Research Center (CTRC). The project budget is \$1.0M and will be funded by University Funds. The committee recommended the selection of three firms in the following priority order:

1. Wagner Architecture New Hill, NC
2. Flad Architects Raleigh, NC
3. Perkins + Will Charlotte, NC

The firms were selected for their strong team, their understanding of the project and their experience, in depth knowledge of clinical operation of CTRC, and their team structure

(ATTACHMENT I)

- **Designer Selection- Aycock Family Medicine Renovation.** This project will renovate the Aycock Family Medicine Center clinical areas to improve patient care, add clinical capacity and provide extensive after-hour care. The project budget is \$1.5M and will be funded by University Funds. The committee recommended the selection of three firms in the following priority order:

1. EYP/ BJAC Raleigh, NC
2. HH Architecture Raleigh, NC
3. Peterson Associates Charlotte, NC

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The firms were selected for their strong team, their understanding of the project and their experience in all the project areas.

(ATTACHMENT J)

• **Designer Selection (Advanced Planning)- Wilson Hall annex Dedicated Makeup Air System.** This project will determine the feasibility of installing a dedicated makeup air system for Wilson Hall Annex Building to improve indoor air quality. The Advance Planning budget is \$100,000 and will be funded by University Funds. The committee recommended the selection of three firms in the following priority order:

1. Sigma Engineering Solutions, PC Morrisville, NC
2. Engineered Designs, Inc. Cary, NC
3. Stanford White, Inc. Raleigh, NC

The firms were selected for the past performance on similar projects, in depth knowledge of building systems, proposed design approach, and their team structure.

(ATTACHMENT K)

• **Designer Selection- North Chiller Plant Capacity Upgrade.** UNC-CH Energy Services identified the need to increase by 4,500 tons the chilled water production capacity of the North Chiller Plant. New work will include the installation of two new chillers and associated variable speed drives, disconnects controls, piping, and building utilities. The project must be completed by March 2015. The total project budget is \$4,500,000 funded from Utility Receipts. The committee recommended the selection of three firms in the following priority order:

1. Affiliated Engineers Chapel Hill, NC
2. Engineered Designs, Inc. Cary, NC
3. RMF Engineering Raleigh, NC

The firms were selected for their strong team, their understanding of the project and their experience in all the project areas.

(ATTACHMENT L)

Jeff Kidd, Director of the UNC Property Office, presented the following items for action:

• **Acquisition by Lease of Office Space for UNC-CH, Carolina Population Center, Measure Evaluation Project.** Request for approval to lease approximately 15,000 square feet of office space at a location to be determined for the UNC-CH, Carolina Population Center, Measure Evaluation Project. The expected lease term will be three-years, with an option to renew, commencing September 1, 2013 or as soon as possession is taken. The initial annual rent cost is not expected to exceed \$400,000, not including utilities or janitorial service. Typical rent escalation is 2% - 3% per annum.

(ATTACHMENT M)

• **Acquisition by Lease of Office Space for UNC-CH, Carolina Population Center.** Request for approval to lease to lease approximately 25,000 square feet of office space at a location to be determined for the UNC-CH, Carolina Population Center. The expected lease term will be three-years, with an option to renew, commencing October 1, 2013 or as soon as possession is taken. The initial annual rent cost is not expected to exceed \$650,000, not including utilities or janitorial service. Typical rent escalation is 2% - 3% per annum.

(ATTACHMENT N)

Mr. Grauer moved approval of all seven items. The motion was duly seconded and each item carried.

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Trustee Curtis asked for more information on the Buildings & Grounds process and what channels these items go through before coming to the trustees. It will be discussed at a later time.

MOTION TO CONVENE IN CLOSED SESSION

On motion of Secretary Clay, and seconded by Mr. Townsend, 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 BUDGET, FINANCE & AUDIT COMMITTEE

William Richardson Davie Award Nominations

Sallie Shuping-Russell, Committee Chair, presented the names that were discussed at the Budget, Finance & Audit Committee concerning the Davie Award. The Board then selected and approved five candidates for the William Richardson Davie Award which will be presented on November 13, 2013. [A copy of the Davie Award information is filed in the Office of the Assistant Secretary.]

Report of the Naming Committee

Sallie Shuping-Russell presented naming recommendations which were previously presented to the Budget, Finance & Audit Committee and approved by the committee. Ms. Shuping-Russell moved ratification by the Board of the naming recommendations. The motion carried. [A copy of the Report of the Naming Committee is filed in the Office of the Assistant Secretary.]

REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE

Mr. Gardner, Committee Chair, presented the personnel and salary approvals dated May 13, 2013, for the Board's consideration. The actions will be voted on in open session.

(ATTACHMENTS O-P-Q-R)

LEGAL ADVICE

General Counsel Leslie Strohm advised the Board on several legal matters.

EXECUTIVE CLOSED SESSION

Chair Hargrove convened the Board in Executive Closed Session to discuss personnel and legal matters.

RECONVENE MEETING IN OPEN SESSION

Chair Hargrove 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 May 13, 2013, which were discussed earlier in closed session. Mr. Lambden seconded the motion and it carried.

- Personnel Actions and Actions Conferring Tenure.

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(ATTACHMENT O)

- Compensation Actions.

(ATTACHMENT P)

- For Information items.

(ATTACHMENT Q)

- Walk-on Item.

(ATTACHMENT R)

- **Naming of the Provost.** Mr. Landis moved approval of naming Jim Dean as Provost. The motion was duly seconded and it carried.

(ATTACHMENT S)

- **Naming of the Vice Chancellor for Information Technology.** Ms. Shuping-Russell moved approval of Chris Kielt as vice chancellor. The motion was duly seconded and it carried.

(ATTACHMENT T)

Chair Hargrove 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 Hargrove adjourned the meeting at 12:41 p.m.


Assistant Secretary